

Measuring your capabilities in Fleet Safety Management

ACC Fleet Saver Audit Standard Guidelines

1 July 2017





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Complying with the Workplace Safety Management Practices Audit Standards set out in this document should not be relied on to satisfy compliance with legal and other obligations of the employer. It is the responsibility of the individual employer to be satisfied that these legal and other obligations are met.

Introduction

The guidelines provide further clarification and information to employers who are the registered owners of heavy goods vehicles (HGV) and workers on the requirements of the ACC Fleet Saver programme's (ACC Fleet Saver) audit standards. This includes employers and workers who are already part of the Workplace Safety Management Practices or the Accredited Employers Programme and for employers who are considering entry into any of these programmes.

The guidelines should be read together with the audit standards for each of the following programmes: Workplace Safety Management Practices Audit Standards (ACC 442) and Accredited Employers Programme Audit Standards (ACC 440).

ACC Fleet Saver's audit standards comprise of nine (9) critical elements as shown in the table below. The critical elements cover essential sections of on-road and workplace health and safety and provide a framework for building successful and sustainable safety management practices.

| Number | Name | Objective |
|--------|---|---|
| 1 | Registered person commitment to safety management practices | The registered person is able to demonstrate a commitment to health and safety practices that is regularly reviewed and evaluated to ensure continuous improvement in on-road and workplace safety management and injury prevention practices. |
| 2 | Fleet Safe driving practices | There are systems in place to promote safe and fuel-efficient driving practices as well as systems for reporting and investigating on-road incidents and crashes. Regular reviews of fleet performance are undertaken to promote continuous improvement in all areas of fleet safety. |
| 3 | Fleet vehicle selection and maintenance | The registered person has documented processes in place to ensure that safety, injury prevention and fuel efficiency are considered in the selection, replacement and ongoing maintenance of fleet vehicles. |
| 4 | Risk and hazard identification, assessment, and management | The registered person systematically identifies, assesses, and manages on-road and workplace risks and hazards over which he or she has authority or influence. Workers are provided with appropriate and adequate information, training, and supervision to be able to work safely. |

Continued ...

| Number | Name | Objective |
|--------|--|---|
| 5 | Incident and injury reporting, recording and investigation | There is a system for the reporting, recording and investigation of all incidents and injuries. Investigations and corrective actions are undertaken to promote continuous improvement in health and safety and injury prevention. |
| 6 | Worker participation in health and safety management | Workers have ongoing opportunities to participate in the development, implementation, and review of on-road and workplace health and safety practices. |
| 7 | Emergency planning and readiness | The registered person has identified the potential on-road and workplace emergency situations and has emergency plans in place to deal with these. |
| 8 | Contractor and sub-contractor management | The registered person has systems in place to manage contractors and sub-contractors to ensure they do not cause harm to registered person's workers. All contractors and sub-contractors are required to comply with the registered person's health and safety requirements. |
| 9 | Workplace observation | On-road and workplace health and safety systems have been implemented and are understood by workers. |

Critical elements 2 and 3 are specific to the heavy road transport sector. The other critical elements are modelled on the ACC Workplace Safety Management Practices (WSMP) programme.

Who are the guidelines for?

The guidelines are primarily for employers who are mainly known as registered owners of HGVs in this programme, and workers who are seeking to understand ACC's Fleet Saver audit standards and how these tailored standards might be applied to fleet on-road and workplace practices.

They may also be useful to other people who are interested in on-road and workplace safety management under ACC's Fleet Saver programme and other suite of safety programmes (Accredited Employer Programme, Workplace Safety Management Practices and Workplace Safety Discount programmes) including auditors and health and safety practitioners.




How do I read the guidelines?

The numbering used in these guidelines refers directly to the numbering of the critical elements and the verifications in the audit standards for the ACC Fleet Saver programme.

There are nine critical elements in the ACC Fleet Saver standards each with varying numbers of Bronze, Silver, and Gold verifications to be met. These critical elements cover essential sections of on-road and workplace safety and provide a framework for building successful and sustainable on-road and workplace safety management practices.

Levels of achievement

Within the audit standards there are three (3) levels of achievement which are shaded to differentiate them from each other.

| | |
|---|---|
| The registered owner has developed and implemented policies and procedures that demonstrate their commitment to continuously improve on-road and workplace safety, and injury prevention. |  |
| The registered owner has systems in place to enable continuous improvement through training and other means. | Silver  |
| The registered owner has advanced systems in place that demonstrate continuous improvement in on-road and workplace health and safety. | Gold  |

Guideline information has been separated under Bronze, Silver and Gold headings for each of the critical elements, so numbering may not always be sequential. It may appear that numbers from the audit standards are missing, they have been addressed further on in the same critical element, but under either the Silver or Gold sub-heading.

How can the guidelines help?

The ACC audit standards are tailored standards for the heavy road transport sector and they have been designed this way so that there is a benchmark that can be applied to all participating employers (registered owners).

However, because of this, the standards are open to some interpretation as they are applied to different industry types within the heavy road transport sector.

These guidelines will help you to understand what ACC is looking for in each requirement so that you can interpret what it means for your own business.

How should the guidelines be used?

The guidelines should always be viewed alongside the audit standards to provide explanation and clarification. For dual audits, the guidelines will be easier to understand if they are read together with either the Workplace Safety Management Practices or Accredited Employers Programme Audit Standards.

Benefits of each audit standard

The following explains some of the key points for each standard.

| Performance Standard | Benefits |
|--|--|
| 1. Registered person commitment to safety management practices | Board and senior management commitment is essential if the potential benefits are to be realised and sustained in the long term. |

Continued ...

| Performance Standard | Benefits |
|---|--|
| 2. Fleet safe driving practices | Drivers can have a major influence on fleet safety, profitability, and fuel use. Evidence shows that an aggressive driver can have more than twice as many crashes and use up to 30% more fuel than a non-aggressive driver. |
| 3. Fleet vehicle selection and maintenance | Considerable safety, fuel efficiency, and financial benefits will occur if a systematic approach is taken to vehicle selection and maintenance |
| 4. Risk and hazard identification, assessment and management | The need to address workplace injuries is well established. Standards 4 to 9 are the transport equivalents of the ACC WSMP critical elements. |
| 5. Incident and injury reporting, recording and investigation | Understanding what caused an event and what can be done to prevent a similar event occurring again is vital for continuous improvement and a proven road safety and injury prevention tool. |
| 6. Worker participation in health and safety management | Driver health and wellness has a major influence on safety, fuel efficiency, staff retention, and fleet profitability. This is especially important with an aging workforce. |
| 7. Emergency planning and readiness | It is essential to have the systems in place to deal with environmental disasters or catastrophic situations such as: earthquakes, floods, a major road crash, chemical spills. |
| 8. Contractor and sub-contractor management | The chain of responsibility and health and safety in employment requirements place obligations on principals (fleet operators), contractors and sub-contractors individually and collectively. This standard will support that the appropriate contractual arrangements and systems are in place. |
| 9. Workplace observation | It is one thing to implement robust health and safety practices into a business but another to understand their purpose by everyone who is employed in a workplace, irrespective of the role they carry out. Communicating is essential and shows the true meaning of a workplace that has a thriving health and safety culture! |

What if I have more questions?

You are welcome to contact your ACC Relationship Manager, or call our toll free number 0800 222 776. Please provide your name, contact details and specific queries on the guidelines. One of our specialists will be in touch with you to answer your queries. Alternately the following websites may assist you with any queries about any of the initiatives mentioned in this document:

* www.acc.co.nz

* www.fleetsafety.govt.nz

* www.nzta.govt.nz

* www.eecabusiness.govt.nz/heavy-vehicles.

Important notes

Achieving the standards set out under the ACC Fleet Saver programme does not mean that a registered owner of a heavy fleet business is also compliant with any other legislation, including the Health and Safety at Work Act 2015. Registered owners will still need to ensure compliance with all of the legislation which applies to them.

These guidelines are not intended to be an additional level of verification to the audit standards and should not be used or viewed in this way.

CRITICAL ELEMENT 1:

Registered Person's Commitment to Safety Management Practices

Objective

The registered owner is able to demonstrate a commitment to health and safety practices with health and safety practices that are regularly reviewed and evaluated to ensure continuous improvement in on-road and workplace safety management and injury prevention practices.

1.1

Health and safety documents outline the registered owner's commitment to health and safety and injury prevention.

Bronze



1.1.1

Registered owner commitment to health and safety is the foundation on which effective safety management practices are built. A documented commitment from management to health and safety provides a starting point for developing, implementing and reviewing health and safety systems and procedures.

Health and safety documentation, such as a policy or a statement of commitment is required to outline the importance the registered owner places on health and safety. The document needs to be signed, authorised and dated by a senior management representative (usually the Chief Executive Officer [CEO] or similar).

Workers need to be provided with ongoing opportunities to be involved in the development, implementation and monitoring of workplace health and safety. Joint ownership between management and workers is likely to instil a greater level of commitment to sustainable health and safety improvements. To support the active involvement of workers in health and safety, documentation needs to include the registered owner's commitment to involving worker representatives.

The registered owner's commitment should:

- be clear and concise
- be easily understood
- be accessible to all workers
- include the roles and responsibilities of all parties
- be reviewed every two years to reflect any relevant changes.

Verification – policy document, health and safety documents, a statement of commitment (or similar) that includes all of the points outlined in the verification.

1.2

PCBU and/or Officer plus Senior management responsibilities for health and safety and for injury prevention are assigned and reviewed.

Bronze



1.2.1

Designating an individual as responsible for health and safety at a senior level further reinforces a registered owner's commitment. This person or role needs the support, delegation, resources and training to be able to coordinate and manage workplace health and safety and drive a workplace culture that is focused on continuous improvement.

Verification – health and safety documentation, an organisational chart, individual job description or related information about the role.

Gold



1.2.2

To reinforce the importance the registered owner places on health and safety, each manager should have health and safety responsibilities included in their job description (or similar). At a gold level, the registered owner will need to provide evidence that the performance of individual managers has been reviewed against their fleet and workplace health and safety responsibilities. While it is not necessary for registered owners to provide details of private performance review information, registered owners will need to demonstrate actual reviews have taken place.

Verification – completed performance reviews, minutes of meetings from individual reviews.

1.2.3

Senior managers are required to maintain a good understanding of on-road and workplace health and safety and injury prevention issues and keep up-to-date with health and safety requirements.

Verification – evidence of participation in health and safety training, seminars or conferences that have occurred within the previous two years.

1.3

There is a commitment to the accurate reporting and recording of on-road and workplace incidents and injuries.

Bronze



1.3.1

Promoting the accurate reporting of incidents and injuries is the responsibility of people at all levels within an organisation. Health and safety documentation is required to specifically include this requirement.

Verification – health and safety documents, policy documents, statement of commitment or equivalent information.

1.4

There is a commitment to support the safe and early return to work of injured workers.

Bronze



1.4.1

A coordinated safe and early return to work is beneficial not only for an injured person but also for registered owners. For the individual there are a number of financial and psychosocial advantages. For the registered owner, there are benefits in terms of maintaining levels of productivity, reduced training costs and greater management of workplace levies.

At a bronze level, health and safety documents should specify the registered owner's commitment to working with injured workers (and ACC) and supporting an early return to work when it is appropriate.

Verification – health and safety documents, policy documents, statement of commitment.

Silver



1.4.2

Information needs to be provided to management about how to support injured workers who are returning to work. This information may include:

- what safe and early return to work is
- how this impacts on the injured person and the registered owner
- the roles and responsibilities of management and other workers in supporting this process.

Verification – training documents, pamphlets, minutes of meetings, other relevant information.

Gold



1.4.3

At a gold level, evidence is required that a registered owner has been involved in supporting a return to work for injured workers.

For registered owners new to ACC Fleet Saver, the auditor will look at evidence for the previous six months to determine if the registered owner has been involved in supporting a return to work. For registered owners undergoing renewal ACC Fleet Saver audits, the auditor will look at the 4 year time period between audits to determine if this requirement is met. This verification will be “not applicable” for workplaces where there have not been any injured workers requiring return to work support.

Verification – minutes of meetings, rehabilitation plans that include the registered owner’s involvement, emails or letters from the ACC case manager.

1.5

Health and safety practices are reviewed and implementation of those practices is monitored.

Bronze



1.5.1

Undertaking a review of health and safety practices and performance enables a registered owner to assess whether the systems and processes they have in place are sufficient and adequate to manage the health and safety requirements and risk of the business. It also enables benchmarks to be set, improvements to be measured and, ultimately, continuous improvements to occur.

At a bronze level, a registered owner needs to have procedures in place to review health and safety systems. The following may be considered (for example):

- how the review will occur (e.g. through an annual review meeting)
- who will undertake the review; and
- type of information the review will consider (e.g. audit results, injury performance, risk or hazard reporting).

Verification – procedural documents, flowcharts.

Gold

1.5.2

At a gold level a registered owner is required to review health and safety practices following a critical event (such as a downgrade in their Operator Rating System [ORS], notifiable event (death, injury/illness, incident) or a major incident involving property damage for example) and may consider:

- the contributing factors to the injury, incident or event
- whether current policies and systems are sufficient to prevent or minimise a recurrence
- whether additional information or training is required.

Operator Rating System (ORS) link – where a critical event has been identified in the ORS report, e.g. significant roadside inspection failings, downgrade in ORS score, reoccurring driver or vehicle issues identified via ORS, the employer should undertake policy and systems reviews to address the failing.

Verification – flowcharts, minutes of meetings, records of review.

1.6

Health and safety objectives or projects that are appropriate to the size and type of the business and are related to identified risks and hazards. (NB: objectives should be specific, measurable, achievable, realistic and time-framed – i.e. 'SMART').

Bronze



1.6.1

At a bronze level, registered owners are required to set health and safety objectives (e.g. projects, goals or targets) that aim to improve a particular aspect of health and safety. Objectives should be SMART – that is specific (clear about what the registered owner is aiming to achieve), measurable (so the registered owner will know if the objective has been achieved), achievable (something that is able to be met given available resources), realistic (a goal that is reasonable to achieve) and time bound (for a defined period of time).

For smaller registered owners, objectives may relate to the management of particular risks and hazards. In a larger organisation, overall objectives set at a head office level will relate to organisation-wide targets, with more specific targets being set for individual work areas.

A plan to achieve the objectives and/or projects is also required. The plan may outline:

- the activities that will be undertaken to achieve the objectives
- responsibilities
- allocation of resources
- how outcomes will be monitored and evaluated
- time frames for completion.

Verification – documented objectives and/or projects, a plan for achieving the objectives.

Silver



1.6.2

To ensure continuous improvement in health and safety, evidence is required that objectives have been reviewed and updated annually. The review may consider:

- have previous objectives been met and if not, why not?
- are objectives helping to achieve overall health and safety goals?
- what is appropriate for the coming year?

Verification – minutes of meetings, planning documents, updated objectives, planning material.

Gold



1.6.3

At a gold level, evidence is required to verify the involvement of management and worker representatives in the setting and reviewing of health and safety objectives and/or projects. This joint review and setting of objectives promotes a strong, joint commitment to achieving the agreed goals.

Verification – minutes of meetings, joint sign-off on agreed objectives, updated objectives, planning material, evidence of feedback from workers/worker representatives.

1.7

The registered owner has knowledge of current health and safety information including legislation, codes of practice and other relevant information.

Silver



1.7.1

There may be a range of different legislative and regulatory standards a registered owner needs to comply with depending on the type of business they are in. The registered owner is required to ensure ongoing compliance with legislation and relevant standards or codes of practice. A procedure is required to ensure health and safety information is identified and that reviews of health and safety information occur on a regular basis so systems and documented processes remain up-to-date, relevant and reflect current legislation. This procedure may include:

- how information will be identified

- how reviews will be undertaken
- responsibilities for review
- timeframes for review
- how compliance is measured
- the use of internal or external health and safety specialists following the introduction of significant changes.

Verification – procedural documents, membership to a body that monitors industry changes, a list of specific websites or contacts relevant to the business that are periodically reviewed, job descriptions.

1.7.2

Where applicable, evidence is required of any changes made to health and safety information that may have occurred following reviews.

Verification – changes to documented processes or procedures, notifications to staff regarding any changes.

1.8.

There is a system for controlling and updating health and safety related documents and information.

Silver



1.8.1

A system is required to outline how health and safety documents will be reviewed, updated and authorised. The system should consider:

- how documents are updated
- how outdated documents are recalled so that obsolete documents are not in use
- how information is disseminated in the workplace.

In a small organisation this responsibility may fall to the manager. However, in a large multi-site organisation this function should be managed centrally.

Verification – a documented process, flowcharts.

1.8.2

To ensure all areas of the workplace are using current health and safety information, document control should be the responsibility of a particular person or role, with all updates or changes to documents made from a central point within the organisation.

Verification – a documented process, job descriptions, flowcharts.

1.9.

The Fleet Saver audit standard requirements are met and maintained while the registered owner is in the ACC Fleet Saver programme.

Bronze



1.9.1

A fundamental requirement of the ACC Fleet Saver programme is for a registered owner to meet and maintain the requirements of the ACC Fleet Saver audit standard. For this reason, annual self-assessments need to be undertaken by management and worker representatives to verify audit standard requirements continue to be met. This procedure is valuable in maintaining health and safety standards and in sending a clear signal about the importance of joint involvement and commitment to health and safety.

The procedure to undertake a self-assessment should consider:

- who will participate in the self-assessment
- the process for undertaking the self-assessment
- how findings will be reviewed
- responsibilities for any necessary amendments
- reporting and dissemination of information
- timeframes for self-assessments.

If a self-assessment identifies that audit standard requirements are not met, recommendations for improvement should be identified and implemented.

Verification – procedural documents.

1.9.2

Evidence is required that management and worker representatives complete a self-assessment annually. In renewal audits, the auditor will need to verify a self-assessment has been completed each year that the registered owner is in the ACC Fleet Saver programme – not just prior to an audit taking place.

Verification – completed self-assessments, signed declarations (or similar).

CRITICAL ELEMENT 2:

Fleet Safe Driving Practices

OBJECTIVE

There are systems in place to promote safe and fuel-efficient driving practices as well as systems for reporting and investigating on-road incidents and crashes. Regular reviews of fleet performance are undertaken to promote continuous improvement in all areas of fleet safety. (Note: the reporting, recording and investigation of workplace incidents and injuries are covered in Critical Element 5 – Incident and Injury Reporting, Recording and Investigation).

Safe driving and fuel efficient driving are closely related - both require drivers to observe and anticipate the situation ahead, manage speed and maintain vehicles in good condition. The difference in fuel consumption between good and poor drivers can be as much as 35%. On average, improvements in drivers' skills and behaviour will reduce fuel costs by 5%-7% and halve the number and severity of crashes.

2.1

Health and safety documents outline the registered owner's commitment to fleet safety.

Bronze



2.1.1

Documentation, such as a policy, a statement of commitment or other health and safety documentation should outline the importance the registered owner places on fleet safety. The document needs to be signed, authorised and dated by a senior management representative (usually the CEO).

Verification – policy document, health and safety documents, a statement of commitment (or similar) that includes all of the verifications specified.

2.1.2

Designating an individual as responsible for fleet safety at a senior level further reinforces a registered owner's commitment. This person or role needs support, delegation, resources and training to be able to coordinate and manage fleet health and safety and drive a workplace culture that is focused on continuous improvement.

Verification – expectations outlined in documents, agreements, an organisational chart, or individual job descriptions.

2.2

There are driver development systems in place to promote safe and fuel-efficient driving practices.

Bronze



2.2.1

Evidence is required that workers are provided with appropriate training around safe and fuel-efficient driving. Training may consider specific loading and unloading practices and information relevant to each transport sector e.g. hazardous goods, log transport, dairy industry, line haul and stock transport. The type and level of training required will depend on the individual driver's experience, the vehicle being driven, the load carried and whether there have been any recent accidents or infringements.

Information should be provided on the registered owner's policies and procedures around mobile phone use during driving, speeding, drugs and alcohol, stress related impairment, fatigue, and may include courses such as defensive driving, or vehicle familiarisation training prior to use.

Induction training provided by other registered owners to enable drivers to access their worksites is not sufficient on its own to meet this requirement.

Verification – training information, training records.

Silver



2.2.2

Evidence is required that workers are provided with ongoing training around safe driving practices at least once every 24 months. Training may be in-house or held with an external provider.

Verification – training information, training records.

Gold



2.2.3

Evidence is required that workers are provided with ongoing training around safe driving practices at least every 12 months. Training may be in-house or held with an external provider.

Verification – training information, training records.

2.2.4

As part of the recruitment and selection process, registered owners are required to check the driving history of new recruits, and to undertake an on-road driving evaluation before a person is hired. The

evaluation should be specific to the job tasks that will be required (e.g. line haul, logging, milk, local deliveries).

Verification – a documented recruitment process, checklists, competency tests results, reference checking sheets.

2.3

There is a procedure for reporting, recording and investigating road traffic incidents, near misses and crashes (Note: this may be part of the workplace incident, reporting and recording system).

Bronze



2.3.1

A procedure is required that outlines the reporting and recording requirements for on-road incidents, crashes, or near misses. The procedure should include information such as:

- a definition or explanation of an “incident”, “crash”, or “near miss”
- timeframes for reporting
- designated responsibilities for response
- seeking medical assistance
- how to report and record an incident, crash or near miss
- notification to the Ministry of Business, Innovation and Employment (MBIE), WorkSafe NZ (OSH) of serious harm (e.g. who is responsible for doing this, the method of notification, the timeframes involved)
- notification to the NZ Police (for Commercial Vehicle Investigation Unit [CVIU] information).

Reporting forms should be readily available and accessible to all workers. Workers need to know where these forms are located and how to complete them.

2.3.2

To verify the implementation of systems, the registered owner will need to provide evidence of completed road incident and injury (accident) investigation reports (if accidents have occurred). Where an investigation has been undertaken (i.e. by the Ministry of Business Innovation and Employment [MBIE], WorkSafe NZ, or the NZ Police for Commercial Vehicle Investigation Unit [CVIU]), the auditor will need to view these.

Verification – completed incident and injury (accident) investigation reports, correspondence with MBIE, WorkSafe NZ or the NZ Police for CVIU information.

2-3-3

Evidence is required that any corrective actions or improvements identified following an investigation have been implemented.

Verification – injury prevention initiatives, changes to policies or procedures, staff notifications, training.

Silver



2-3-4

At a silver level, a person or role should be designated to ensure any corrective actions are undertaken. Corrective actions should be undertaken within a specified timeframe and may include driver training or some other type of injury prevention initiative.

Verification – job descriptions, flow charts, completed corrective actions that are signed and dated.

Gold



2-3-5

Senior management involvement is required in the corrective action process so there is a high level understanding of risk and hazard management and to ensure resources are made available for any necessary changes or improvements to safety management practices.

For some registered owners, a senior management representative may lead or take part in the investigation, but where this is not the usual practice, results of an investigation should be reported to senior management on completion.

Verification – Minutes of meetings, signed corrective actions sheets or similar.

2.4

There is a procedure to monitor and review driver and fleet safety performance and encourage continuous improvement.

Bronze



2.4.1

A procedure is required to monitor driver performance. The procedure may consider:

- how monitoring will occur
- the factors that will be considered when monitoring driver performance
- how often monitoring will be undertaken
- responsibilities for undertaking monitoring
- if there will be positive or negative penalties for drivers (e.g. prizes or a bonus scheme for safe and fuel efficient driving)
- how feedback will be provided to workers
- procedures following poor driving performance.

Factors that may be considered when assessing driver performance include:

- repairs and/or panel work required
- infringements or demerit points received
- ORS information
- fuel usage in comparison to others undertaking similar journeys
- informal monitoring feedback systems (e.g. licence checking, or o800 How's my Driving, etc)
- data from onboard driver monitoring systems.

Verification – procedural documents, documented systems.

2.4.2

A procedure is required to monitor and manage driver infringements. The procedure should:

- define the type of infringements that need to be reported
- outline how infringements are reported and recorded
- identify how driver infringements will be monitored
- outline how infringements will be dealt with.

Operator Rating System (ORS) link – the procedure should include how ORS information is used in the monitoring of driver performance. Consider responsibilities for management of ORS information, how issues are to be managed and assigned responsibilities, timeframes for management, methods to rectify issues, and means of monitoring performance when issues are identified.

Verification – procedural documents.

2.4.3

Evidence is required that the procedures for monitoring and managing driver infringements have been implemented. If driver infringements have occurred, appropriate action (as defined by the registered owner) should have occurred.

Operator Rating System (ORS) link – confirms if the procedure in 2.4.2 is followed and the effectiveness of the procedure.

Verification – completed reviews, signed checklists or similar.

2.4.4

Undertaking a review of fleet safety performance enables a registered owner to assess whether the systems and processes in place are effective and sufficient, to measure improvements, to set benchmarks and encourage continuous improvement.

At a bronze level, the procedure to review fleet safety performance should consider:

- crash data analysis
- vehicle repair costs
- traffic infringements
- fuel consumption
- collated data from onboard driver monitoring systems
- fleet inspection results (including ORS information where appropriate)
- lessons from other companies/operators (e.g. Log Truck Safety Council safety alerts or participation at local cluster groups).

Operator Rating System (ORS) link – ORS data should be included in the review of fleet performance. Opportunities for improvement should be identified as well as methods for improving performance. Responsibilities for managing corrective actions, timeframes and review periods should be included.

Verification – procedural documents, flowcharts.

Silver



2.4.5

At a silver level, evidence is required that fleet safety performance is reviewed at least annually.

Operator Rating System (ORS) link – annual reviews should consider the ORS ratings over the past year, assessment of performance in relation to ORS data, and whether actions taken to improve performance have been effective and completed as anticipated.

Verification – minutes of meetings, records of review.

Gold



2.4.6

To reinforce the importance the registered owner places on fleet safety, evidence is required that the performance of individual drivers is reviewed.

While it is not necessary to provide details of private performance review information, registered owners will need to demonstrate that actual reviews have taken place.

Verification – completed performance reviews, minutes of meetings from individual reviews, in-cab assessments.

2.5

There is active journey management and scheduling to ensure that drivers do not have to speed and that safety is considered during route planning.

Bronze



2.5.1

Effective journey planning is one of the best ways to improve the safety and fuel efficiency performance of a fleet. Fleet operators need to optimise work schedules and travel requirements to minimise road risks and encourage compliance with speed limits, working time regulations and other road safety rules and regulations and where possible, to avoid the times of day when falling asleep at the wheel is most likely (2am - 6am and 2pm - 4pm). The registered owner is required to have a list (or similar) of the type of factors that are considered which includes:

- how far drivers have to travel
- shift scheduling
- setting rosters that ensure drivers have sufficient time for sleep between shifts

- the availability of overnight stops and appropriate accommodation
- the effects of heavy city traffic and poor roads on stress and fatigue
- how delays are managed and communicated
- processes to avoid driving in adverse weather conditions.

Verification – lists, documents, checklists.

2.5.2

Evidence is required that the registered owner has considered the points outlined in 2.5.1 when completing schedules.

Verification – shift documents, route planning information.

2.6

There is a procedure to manage driver fatigue and ensure workers are fit for duty.

Bronze



2.6.1

Fatigue and stress can be an issue for drivers if not managed properly. Fatigue can impair driving long before a driver falls asleep at the wheel. Registered owners need to implement a procedure to manage fatigue and promote fitness for duty. This should include:

- undertaking regular driver health checks (e.g. eyesight, blood pressure checks)
- providing information to workers about the importance of managing fatigue (e.g. raising awareness about how factors such as fatigue, time pressure, not taking breaks and not managing stress can affect driving)
- ensuring compliance with driving hours and rest break requirements
- regular review of driving hours and log books to confirm compliance
- managing staff that are not fit for duty.

Verification – procedural documents, examples of active screening for and diagnosis of sleep disorders, training records.

Gold



2.6.2

Obesity, stress, cardiovascular problems and hearing impairment are health issues that can affect truck drivers. Workplace health and wellness programme are a proactive and beneficial way a registered owner can support their workers to remain healthy. At a gold level, evidence is required that the registered owner participates in programmes to support the health and wellness of drivers.

Verification – participation in health and well-being programmes that address age-related changes, sleeping patterns, physical fitness, stress management, diet (e.g. ACC Fit for the Road programme).

2.7

There are systems to monitor fuel consumption and speed.

Gold



2.7.1

At a gold level, fleets should be monitored against key performance indicators that include at least fuel consumption (km/litre or equivalent) and speed. Reports should be produced at least monthly (for example) and used by managers, drivers and other staff to improve performance. Monitoring may be manual or automated (e.g. GPS-based telemetric systems).

Verification – evidence of formal monitoring programmes of fuel consumption and real time speed and analysis of results (may be either electronic or paper-based).

CRITICAL ELEMENT 3:

Fleet Vehicle Selection and Maintenance

OBJECTIVE

The registered owner has documented processes in place to ensure that safety, injury prevention and fuel efficiency are considered in the selection, replacement and ongoing maintenance of fleet vehicles.

3.1

There is a documented process to consider safety, injury prevention and fuel efficiency in the selection and replacement of fleet vehicles.

Bronze



3.1.1

Selecting the right vehicle can have a significant effect on long-term profitability and safety. On this basis, evidence is required that the registered owner considers safety requirements when purchasing or replacing vehicles.

Verification – checklists with safety criteria outlined, capital expenditure forms, evidence of criteria for selection that include safety.

Silver



3.1.2

At a silver level, a registered owner is required to have a documented process outlining the factors that are considered when purchasing vehicles. For example:

| Issue | Evidence |
|---|--|
| 1. Operating environment and vehicle layout | A systematic process is used to determine the overall weight, dimension and body type of the vehicle. This should take into account the intended use of the vehicle, the location where it will be used, whole of life costs, Road User Charges and other factors that affect the general layout of the vehicle. |

Continued ...

* Please refer to the definitions on pages 23 and 24 if you require further clarification.

| Issue | Evidence |
|--|--|
| 2. Operating environment and vehicle layout | A systematic process is used to determine the overall weight, dimension and body type of the vehicle. This should take into account the intended use of the vehicle, the location where it will be used, whole of life costs, Road User Charges and other factors that affect the general layout of the vehicle. |
| 3. Road safety | Road safety requirements include consideration of: <ul style="list-style-type: none"> • load securing equipment • features that affect normal driving (handling, etc.) • active safety features such as ABS and electronic stability control • passive safety features such as seat belts, under-run protection and vehicle crashworthiness. |
| 4. Injury prevention | This includes consideration of factors such as: <ul style="list-style-type: none"> • cab access • in-cab noise levels • seat ergonomics (ride comfort, fatigue etc) • minimisation of potential distractions • load securing • minimisation of lifting • safe access to the load space or inspection hatches, if required • loading and unloading systems or inspection hatches, including safe zones. |
| 5. Vehicle performance (including fuel efficiency) | This includes determining: <ul style="list-style-type: none"> • engine size • gearing • aerodynamics • speed limiting • tyres • and other factors that influence the performance and fuel efficiency of the vehicle. |

Verification – design criteria that outline safety criteria, a documented process and/or checklists that include consideration of the above issues.

3.2

There is a documented process to ensure fleet vehicles are roadworthy.

Bronze



3.2.1

Inspecting vehicles before they are used each day ensures vehicles are in a roadworthy condition. These checks can be relatively simple and drivers should be encouraged to be involved in this process of inspection, reporting and maintaining vehicle roadworthiness standards. The NZ Transport Agency Roadside Inspection Guidelines for Heavy Vehicles provides a basis for daily walk-around inspections.

Any fault should be reported to a supervisor (or similar) who will decide whether the vehicle is safe to enter service or needs to be repaired first. Vehicles should not be used if serious faults are found. Each driver who subsequently uses a vehicle during the day should also carry out a quick visual walk-around check of the outside and interior of the vehicle before using it.

The documented process to inspect vehicles may consider:

- the person/role responsible for undertaking daily inspections (e.g. the driver of the vehicle, the manager)
- when inspections are undertaken
- how inspections are reported and recorded.

Any faults detected during a trip should be added to the daily vehicle check sheet and a vehicle fault record should identify if repairs have been undertaken.

Operator Rating System (ORS) link – vehicles should be in roadworthy condition at all times. Faults found at roadside inspections, Certificate of Fitness inspections, or faults that relate to a crash all contribute to lower ORS ratings. Faults that arose as a consequence of a crash do not contribute to the ORS ratings. ORS ratings are therefore an indication of the effectiveness of the inspection process.

Verification – a documented process, flowcharts.

3.2.2

Repairing faults promptly not only ensures the vehicle is safe and in good condition but also reinforces the registered owner's commitment to safety. Reported faults need to be assessed for priority with the repairs undertaken according to the level of risk.

A documented process to undertake repairs may consider:

- who faults or repairs are reported to
- how risk is determined
- how repairs are prioritized
- timeframes for repairs
- how to verify repairs have occurred.

Operator Rating System (ORS) link – similar to 3.2.1, vehicles should be in roadworthy condition at all times. Faults found at legal inspections contribute to lower ORS ratings. ORS ratings are therefore an indication of the effectiveness of the risk assessment and the overall effectiveness of the process in action

Verification – a documented process, flowcharts, job descriptions

3.2.3

Evidence is required that daily inspections are undertaken and repairs are completed in a timely manner.

Operator Rating System (ORS) link – similar to 3.2.1 and 3.2.2, vehicles should be inspected and in roadworthy condition at all times. Faults found at legal inspections contribute to lower ORS ratings. ORS ratings are therefore an indication of the effectiveness of the daily inspection and repair process.

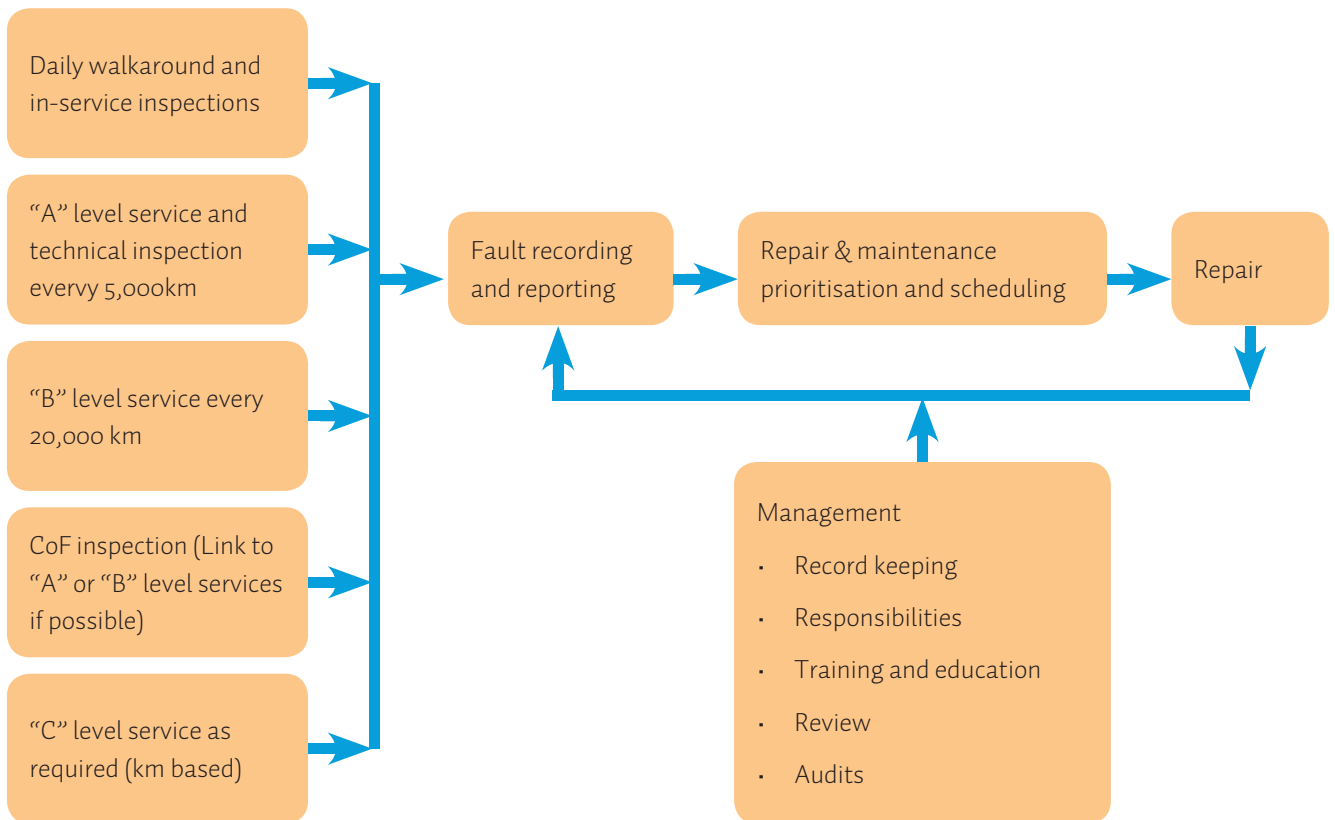
Verification – completed checklists, mechanical reports, documented schedules, review/ reminders.

3.2.4

Periodic maintenance and Certificate of Fitness (CoF) inspections need to be scheduled, performed and recorded (includes A, B and C level inspections).

Operator Rating System (ORS) link – similar to 3.2.1, 3.2.2 and 3.2.3, vehicles should be in roadworthy condition at all times. Faults found at legal inspections contribute to lower ORS ratings. ORS ratings are therefore an indication of the effectiveness of the maintenance programme.

The diagram below summarises the steps of the maintenance management standard.



Periodic maintenance of vehicles may include:

'A' level inspection

- Items recommended by the vehicle manufacturer such as fluid levels
- Safety items such as brakes, tyres, couplings and steering (these checks should include all of the CoF inspection items)
- Undertaken on every heavy vehicle every 5,000km.

'B' level and 'C' level inspections

More extensive inspections that normally include the items inspected during the A level inspection and additional items recommended by the vehicle manufacturer and body builder. Undertaken on every heavy vehicle every 20,000km or at the intervals specified by the vehicle manufacturer.

Verification – evidence of completed inspections, checks at the appropriate intervals.

3.2.5

A documented bring-up/reminder process is required for recurring maintenance and vehicle certification requirements.

Operator Rating System (ORS) link – similar to 3.2.1, 3.2.2, 3.2.3 and 3.2.4, vehicles should be in roadworthy condition at all times. Faults found at legal inspections contribute to lower ORS ratings. ORS ratings are therefore an indication of the effectiveness of the system for reminding when maintenance and vehicle inspections are due. Poor ORS scores may indicate that this element is not being met.

Verification – a bring-up/reminder process, a spreadsheet with dates and requirements outlined or a schedule that covers all vehicles and required inspections.

3-3

Fleet vehicles are equipped with appropriate safety and emergency equipment.

Bronze



3-3-1

The type of safety and emergency equipment contained in a vehicle will vary depending on the load being carried and type of operation. Consideration should be given to the inclusion of:

- a fire extinguisher suitable for vehicle-related fires
- a first aid kit
- a high viz reflectorised vest
- an emergency triangle
- a means of communication
- a torch.

Verification – evidence of an assessment of the emergency equipment to be located in each fleet vehicle (e.g. a list).

3-3-2

Drivers need to be provided with information and basic training on the use of the safety equipment in vehicles. For example, fire extinguisher use, how to administer basic first aid to victims at a scene before professional help arrives.

Internal training provided by a skilled and competent trainer is sufficient to meet this requirement.

Verification – training records, information, certifications.

Gold



3-3-3

Evidence is required that information or training on the use of the emergency equipment contained in vehicles is provided to fleet drivers at least once every 24 months.

Internal training provided by a skilled and competent trainer is sufficient to meet this requirement.

Verification – training records, certifications dated within the previous two years.

CRITICAL ELEMENT 4:

Risk and hazard Identification, Assessment and Management

OBJECTIVE

The registered owner systematically identifies, assesses, and manages on-road and workplace risks and hazards over which he or she has authority or influence. Workers are provided with appropriate and adequate information, training, and supervision to be able to work safely.

4.1.

The registered owner systematically identifies and records actual and potential on-road and workplace risks and hazards.

Bronze



4.1.1

A documented procedure is required to identify the actual and potential on-road and workplace risks and hazards workers may be exposed to (e.g. chemical, physical, biological, psychological and ergonomic). Hazards can be identified by task, area or procedure.

The documented procedure may outline:

- the ways in which risks and hazards are identified
- responsibilities for risk and hazard identification
- how risks and hazards are reported and recorded.

Work-related road safety applies to anyone who drives as part of their work. On-road risks and hazards need to be managed, as much as possible, in the same way as other workplace risks and hazards.

Registered owners may identify risks and hazards in the following way:

Risks and hazards to the driver:

- getting in and out of the cab
- visibility when outside of the cab
- prevention of driver musculo-skeletal pain and injuries/inactivity
- loading and unloading equipment and procedures
- in-cab vibration, noise, seating, etc.

Risks and hazards to other workers, contractors or subcontractors:

- loading and unloading equipment and procedures

- site safety
- facilities management

Risks and hazards to other road users

- hazardous load signs
- traffic warnings if vehicle has a breakdown
- procedures and equipment to deal with spills.

The introduction to the workplace of new or modified equipment, material, services or work practices or procedures can potentially lead to unidentified and unmanaged hazards and risks.

The employer needs to have a procedure/s for identifying, considering and managing the hazards or risk potential of these changes before they are introduced.

This procedure/s may include:

- the person/s to be consulted about planned changes and the information that may be needed
- the design and implementation of changes
- the impacts of changes on health and safety
- any training needed to minimise the potential for harm*
- reviews and evaluations of hazard management and/or risk assessment systems
- a formal sign-off that the procedure/s has been completed before changes are implemented.

The procedure is to include the definition for notifiable event from the Health and Safety at Work Act 2015.

Verification – a documented process, completed risk or hazard forms/registers with an appropriate range of risks and hazards.

4.1.2

A risk/hazard register should exist in either electronic or hard copy form, that confirms the day-to-day operation of the risk and hazard identification procedure. This procedure should consider the actual and potential on-road and workplace risks and hazards faced by workers. The risk/hazard register needs to be current and accessible to workers throughout the workplace.

Verification – completed risk or hazard forms/registers with an appropriate range of risks or hazards.

Silver



4.1.3

At a silver level, the risk and hazard register is required to be regularly (as appropriate for the particular risk or hazard) reviewed and updated.

Verification – completed risk or hazard inspection checklists, updated registers.

4.2

There are appropriate controls in place for risks or hazards that may result in a notifiable event or incident based on the hierarchy in health and safety legislation to:

- a) eliminate the risk or hazard
- b) minimise the risk or hazard by:
 - substitute
 - isolate
 - engineering
 - administrative
 - PPE

Bronze



4.2.1

The types of general and special hazards and/or risks that could be encountered in the workplace include chemical, physical, biological, psychological and ergonomic.

The employer is to have a procedure for identifying these hazards and/or risks. This could include, for example:

- analysing work tasks, occupations and the work environment
- gathering accident and incident data
- gathering feedback from workers
- reviewing Safety Data Sheets (SDS)

The employer should have a procedure/s for developing controls for hazards and/or risks in the workplace.

The procedure/s may consider:

- the personnel and skill levels required to develop and implement controls
- ways to determine the most appropriate controls, considering the available expert information and resources
- the review procedure and frequency for the controls.

Verification – procedural documents, evidence of consideration of the range of controls for risks or hazards.

4.2.2

The risk or hazard register (or another similar document) needs to identify which risks or hazards may result in a notifiable event or incident and outline their controls.

Verification – risk or hazard registers clearly identify any risks or hazards that may result in a notifiable event or incident along with appropriate controls.

4.2.3

Where risks or hazards that may result in a notifiable event or incident and require use of safety equipment or personal protective equipment (PPE), a documented process needs to be in place to verify how the equipment is issued, used, renewed and maintained.

This documented process may consider:

- the equipment required
- when it must be used
- any training required for those required to use the PPE
- the date equipment is issued
- the service or replacement timeframes
- how the equipment is stored and maintained.

Verification – a documented process, records of issue of equipment.

Silver



4.2.4

Any risks or hazards that may result in a notifiable event or incident that are controlled by minimisation need to be regularly reviewed. A schedule or timetable is required so there is ongoing monitoring and review of the effectiveness of controls. This is to ensure the identified controls are sufficient and still effective and whether minimised risks or hazards can be eliminated.

Verification – review timetables, completed risk or hazard inspection checklists, updated registers or similar.

4.3

There are appropriately trained or experienced people leading the identification and management of risks or hazards.

Bronze



4.3.1

To ensure risks or hazards are identified and managed appropriately, it is necessary that the people responsible for this have received suitable training or have sufficient experience and knowledge to carry out this function.

Verification – training records, confirmation of experience.

4.3.2

Where specialist knowledge to identify and manage risks or hazards is not available internally, a documented process is required to outline when and how external advice will be sought.

Verification – a documented process, flowcharts, evidence of specialist advice of documentation.

Gold



4.3.3

At a gold level, evidence is required that those leading risk or hazard management have been provided with training or have increased experience in risk and hazard management within the previous two years.

Verification – training records, evidence of experience etc within the previous two years.

4.4.

Health and safety information specific to the workplace is available to all workers.

Bronze



4.4.1

It is important all workers are aware of relevant health and safety policies, procedures and information. Site-specific health and safety information should be available in the workplace (e.g. emergency signage, posters, safety data sheets [SDS]) with workers aware of how to access further information if they want to. This may involve the use of intranet, having a manual available, or information on how to contact the health and safety manager (or similar) who can direct workers to additional information.

Verification – information displayed in the workplace, libraries, intranet, health and safety manual available.

4.5.

There are ongoing opportunities for worker representatives to be involved in the identification and management of risks and hazards.

Bronze



4.5.1

Evidence is required to demonstrate that worker representatives are involved in the risk and hazard identification and management process.

Verification – evidence of joint identification and review of risks and hazards, minutes of meetings, memos about previous review meetings where participation was invited or similar.

4.6.

Health monitoring is undertaken in relation to specific tasks as required.

Bronze



4.6.1

Health monitoring is undertaken to ensure a worker's health is not affected by exposure to particular tasks. Registered owners need to have a documented process to identify tasks where health monitoring and ongoing regular testing of workers may be necessary because specific workplace risks and hazards cannot be eliminated. For example, workers working in high noise areas may be exposed to potential loss of hearing. Annual hearing tests may alert the registered owner to problems with protective equipment or compliance in wearing the protection, which may need to be managed.

A documented process is required that:

- determines if health monitoring is required in relation to specific tasks
- describes how and when monitoring will be undertaken
- outlines how workers will be provided with feedback.

Verification – a documented process and monitoring of results if appropriate.

Silver



4.6.2

Pre-employment screening is undertaken so the potential for work-related illness or injury through exposure to particular tasks is minimised. For example, pre-employment lung function tests may be required for new workers whose role may expose them to inhaled hazards.

Exit testing should help to identify any changes in a worker's health that may have occurred as a result of exposure to certain risks or hazards. For example, a final hearing test may be completed for workers and compared to their entry or pre-employment test or regular tests for those working in high-noise areas. Undertaking exit testing may also limit a registered owner's liability in relation to accident compensation claims.

Testing should also occur following exposure to any critical event.

The documented process should:

- determine if pre-employment screening is required
- provide a rationale for pre-employment screening if it is required
- describe how the testing will be undertaken
- outline the type of critical events that require workers to be tested (for example, after a major fire or chemical spill)
- verify how workers will be notified of any sub-optimal results
- outline how any medical or vocational needs of affected workers will be managed
- link sub-optimal test results into the risk and hazard management processes.

Verification – a documented process and records of completed testing (where applicable).

4.7.

There is appropriate health and safety training for new workers and workers transferring to a new work area, role or task.

Bronze



4.7.1

Induction needs to be provided to all new workers or workers transferring to a new work environment, role or task so they do not endanger themselves, others or equipment.

The content and timing of a worker's induction should be based on the tasks they will undertake and the risks and hazards they may be exposed to. A worker should not be able to commence work without first being given the necessary safety training and information on procedures relevant to their work area.

Verification – induction forms that include the contents of critical element 4.7.1, signed training records or similar.

4.7.2

It is important those responsible for training or supervising staff are suitably trained and/or experienced themselves. Health and safety documents should confirm that only appropriately qualified or experienced people are able to supervise workers undergoing on-the-job training. This documentation may consider:

- the skills and competencies required to supervise a particular task
- how skills and experience are assessed
- when to use an internal or external trainer
- responsibility for supervision.

Verification – a documented process, guideline document, records of internal trainers.

4.7.3

It is important new workers, or those undergoing on-the-job training, are supervised until the registered owner is confident they are able to work safely. This supervision should be done by skilled and experienced staff.

Verification – a documented process, flowcharts, identification of on-the-job supervisors/ buddy trainers.

4.8.

There is training in relation to risks and hazards associated with specific tasks, roles or areas of work.

Bronze



4.8.1

In addition to training on general workplace health and safety requirements, other specific health and safety training required for specific roles, tasks or areas of work needs to be identified. For example, training to safely handle chemicals or use specialised vehicles or equipment. Identifying training needs may involve completing a needs analysis for each job task to ensure the skills and knowledge for each job is identified.

Verification – training needs analysis, flowcharts, process documents, training matrix.

4.8.2

Evidence is required to confirm task-specific training has occurred.

Verification – signed training records, certifications, training matrices.

4-9-

Health and safety information and training are provided in a manner that ensures key messages are understood, taking into account language, literacy, vision, hearing and other variables.

Bronze



4-9.1

When providing training, the registered owner needs to consider the particular needs of their workforce - such as those who may be non-English speaking, those with limited literacy, comprehension or who may be hearing impaired, etc. Confirmation is required to demonstrate workers have understood the health and safety information and training.

Verification – signed training records, questionnaires, practical skills demonstrations.

Silver



4-9.2

At a silver level, a bring-up or reminder system (in either electronic or hardcopy form) should identify when particular qualifications, certificates and/or specific training are due for renewal. For example, forklift licences, first aid certificates or similar.

Verification – a bring-up/reminder process, a spreadsheet with dates and requirements outlined.

Gold



4-9.3

At a gold level, a registered owner is required to demonstrate workers have achieved competency following training. This may include undertaking:

- quizzes or interviews
- written questionnaires or tests
- practical demonstrations and application in the workplace
- certificates of attainment, licences or other similar competency tests.

Verification – evidence of any of the above.

4.10

Exposure of visitors to workplace risks or hazards is minimised.

Bronze



4.10.1

Registered owners need to ensure the safety of visitors and the general public in all work areas. This may include the provision of signage, visitor control, escorting restrictions, security log books or visitors register for all work sites. Emergency procedures need to be covered with site visitors. Where required, appropriate personal protective equipment (PPE) should be made available and provided to all visitors (e.g. high visibility clothing, hard hat, and safety boots). Designated areas of work such as truck safety zones should be identified, clear and, where appropriate, entry should only be to designated personnel.

Verification – visitor control procedures, signed visitor registers, evidence the company health and safety video has been viewed, provision of PPE, designated exclusion zones.

CRITICAL ELEMENT 5:

Incident and Injury Reporting, Recording and Investigation

OBJECTIVE

There is a system for the reporting, recording and investigation of all incidents and injuries. Investigations and corrective actions are undertaken to promote continuous improvement in health and safety and injury prevention. (Note: the reporting, recording and investigation of on-road incidents, injuries and crashes are covered in Critical Element 2 – Fleet Safe Driving Practices).

5.1.

There is a system for reporting and recording incidents, injuries, work-related illnesses and near misses.

Bronze



5.1.1

A procedure is required to outline the reporting and recording requirements for incidents, injuries, near misses and gradual process injuries, work-related illnesses and near misses. The procedure should include:

- a definition or explanation of an “incident”, “injury”, “near miss” and “work-related illness”
- timeframes for reporting
- designated responsibilities for injury response
- how to seek medical assistance
- how to report and record an incident or injury
- how to notify the Ministry of Business Innovation and Employment (MBIE) or WorkSafe NZ of a notifiable event or incident (e.g. who is responsible for doing this, the method of notification and the timeframes involved).

Reporting forms should be readily available and accessible in the workplace (in either hardcopy or electronic form) and all workers need to know where these forms are located and how to complete them.

If the employer has had any serious harm (up to and including 31 March 2016) or notifiable incidents (from 1 April 2016), within the previous 24 months, copies of notification forms and reports should be made available for the auditor to review.

Verification – a documented process, completed forms, MBIE or WorkSafe NZ notifications (where applicable).

5.2.

Workers understand their responsibilities for reporting and recording workplace and on-road incidents, injuries, and work-related illnesses.

Bronze



5.2.1

Workers need to understand the process outlined in 5.1.1, that is:

- what needs to be reported
- when it needs to be reported
- who to report it to
- how to access and complete any forms required.

Verification – staff notifications, internal memos, induction information.

5.3.

Injuries to workers, and incidents that result in harm (or could have resulted in harm) to a worker are investigated.

Bronze



5.3.1

Carrying out an effective investigation into incidents allows the registered owner to identify what contributed to the incident and to take steps to prevent it happening again. Procedures should include:

- how to determine which incidents/injuries require an investigation
- the method of investigation (e.g. by who, when, and within what timeframe)
- the role of the injured person and work colleagues in the investigation (where appropriate)
- gathering information from witnesses
- how to access further information or expertise
- links from the investigation process into risk and hazard management
- reporting results of the investigation to senior management and workers.

Investigators need to be designated and able to competently undertake investigations. Examples of incident and injury investigations should be available for the auditor to view – particularly those that have involved MBIE or WorkSafe NZ.

Verification – procedures, investigation reports to verify incidents have been investigated.

Silver



5-3-2

At a silver level, evidence is required that in-depth incident investigation and follow up occurs so that root causes and chain of responsibility are identified.

Verification – investigation reports, minutes of meetings.

5-4-

Corrective actions are undertaken in relation to any deficiencies identified during an investigation.

Bronze



5-4.1

A procedure needs to verify how corrective actions or improvements are implemented following an investigation. This procedure may include:

- responsibility for undertaking corrective action
- timeframes for completion
- any feedback into the risk or hazard register, injury prevention and training where necessary.

Recommendations for improvement as part of an investigation may include procedural changes, amendment to risk or hazard controls, injury prevention measures, additional training or information etc.

Verification – a documented process, evidence of investigations that identify corrective actions, updates to risk and/or hazard register.

Silver



5-4.2

The procedure to undertake corrective actions should:

- assign responsibility to a designated person or role
- be time-bound
- signed
- dated.

Where corrective actions indicate a need for training and/or injury prevention measures, there is evidence that these have been undertaken.

Verification – job descriptions, a documented process, flow charts, evidence of allocation and close out of corrective actions following incidents.

Gold



5-4-3

Senior management involvement is required in the corrective action process so there is a high level understanding of risk and hazard management and to ensure resources are made available for any necessary changes or improvements to workplace safety management practices.

For some registered owners, a senior management representative may lead or take part in the investigation, but where this is not the usual practice, results of an investigation should be reported to senior management on completion.

Verification – Minutes of meetings, signed corrective actions sheets or similar.

5-5

Injury and incident data are reviewed to identify trends and provide information that can be used in injury prevention initiatives.

Bronze



5-5.1

The collation of incident and injury information enables a registered owner to understand the scope of injury issues across the whole organisation, to identify trends and to prioritise injury prevention initiatives and resources to the most appropriate areas. At a bronze level, a registered owner is required to collate all incident and injury data from all work areas, business divisions and worksites together.

Verification – a documented process, evidence that data from all areas is collated centrally.

Silver



5-5.2

Evidence is required that incident and injury data is reviewed at least every 12 months.

Verification – minutes of meetings, review timetables, injury statistic analysis, reports.

Gold



5-5-3

Evidence is required that incident and injury data is provided to senior management if there is an indication of serious issues or trends that require further attention.

Verification – minutes of meetings, injury statistic analysis, reports, a documented process.

CRITICAL ELEMENT 6:

Worker Participation in Health and Safety Management

OBJECTIVE

Workers have ongoing opportunities to participate in the development, implementation, and review of on-road and workplace health and safety practices.

6.1.

There is regular ongoing consultation and communication between management and workers regarding health and safety.

Bronze



6.1.1

Successful and sustainable workplace health and safety includes active worker involvement, joint responsibility and senior management commitment. It is important there is regular consultation and opportunities for ongoing two-way communication between management and workers to promote and enable meaningful discussion about health and safety issues. At a minimum, these forums should occur on a quarterly (or 3-monthly basis).

Where a registered owner has many work areas or multiple sites, forums should exist so there are opportunities for worker participation throughout an organisation. The number of health and safety forums should be appropriate to the size, type and geographic spread of the business so that all workers have an opportunity to voice concerns and offer opinions on health and safety issues. For large registered owners there may be a steering committee or executive health and safety group made up of senior managers and worker representatives to determine health and safety policies and procedures. This group may then feed back into smaller onsite groups and vice versa. Smaller registered owners may choose to have traditional health and safety committees while other methods may include regular team meetings, or toolbox meetings, where health and safety is a standard agenda item.

Verification – minutes of meetings, agendas.

6.2.

There is an agreed and documented process for workers to be involved in the development, monitoring, and review of health and safety practices.

Bronze



6.2.1

Workers should be encouraged to be involved in all aspects of health and safety and a documented procedure to elect or endorse health and safety representative's needs to be agreed to by workers. The documented procedure may consider:

- how to determine who will be involved – election, selection and endorsement procedures
- responsibilities
- time-frames for involvement in the position
- the re-selection or election procedure
- channel and procedure to raise issues of concern
- communication of information to other employees.

The procedure should reflect the legislative requirements for worker representation.

Verification – a documented process with sign-off from the relevant parties.

Important to note: while the health and safety in employment legislation requires an agreed process for registered owners with more than 30 workers or if a worker requests it, it is a requirement of the Fleet Saver audit standard that all ACC Fleet Saver registered owners (regardless of their worker numbers) have a documented process that has been agreed to by the relevant parties.

6.2.2

Information on the way workers can be involved in health and safety needs to be communicated and available to all staff so everyone understands the process and how to be involved.

Verification – induction information, notices in the workplace, intranet, newsletters.

Gold



6.2.3

At a gold level, evidence is required to verify that the involvement of worker representatives in the development, monitoring and review of health and safety occurs at least annually.

Verification – minutes of meetings, joint development and delivery of health and safety training and/or information, evidence of worker involvement in review and planning.

6.3.

Health and safety training is provided to workers actively involved in health and safety management.

Gold



6.3.1

To enable workers actively involved in health and safety to contribute effectively, it is important appropriate training is provided. At a gold level, evidence is required that workers involved in health and safety (on a committee for example) have undertaken training or refresher courses within the previous two years.

Verification – training records, certificates, meeting agendas or similar from the previous two years.

CRITICAL ELEMENT 7:

Emergency Planning and Readiness

OBJECTIVE

The registered owner has identified the potential on-road and workplace emergency situations and has emergency plans in place to deal with these.

7.1.

There is an emergency plan that identifies potential emergency situations and meets relevant emergency service requirements.

Bronze



7.1.1

Registered owners need to demonstrate consideration of the emergency situations relevant to their workers, job tasks and workplace. Possible emergencies may include:

- fire
- natural disasters
- man-made emergencies including robbery, chemical spill, gas leak, injury, etc.

Specific emergencies facing fleet drivers should also be identified and may include:

- earth movement or slips, flooding or heavy snowfall
- road crashes
- vehicle breakdowns
- loss of load
- chemical spills.

Verification – emergency plans, lists of potential emergencies.

7.1.2

Each potential emergency is required to have a response plan to deal with it in place. A different response is likely to be required for each type of emergency, for example a fire versus motor vehicle accident. Emergency plans need to consider:

- emergency service requirements
- emergency exits, assembly points
- safety on the road, securing the scene, preventing escalation of the emergency
- responsibilities for responses
- communication requirements, including equipment, contact numbers.

Verification – emergency plans.

7.2.

There are procedures, equipment and trained staff to deal with emergency situations.

Bronze



7.2.1

Emergency procedures need to be communicated to workers so they know what to do if an emergency occurs.

Verification – induction records, evacuation plans, signage and relevant information displayed in the workplace, in vehicles, onsite, and inside in-cab folders that are provided to workers.

7.2.2

Designated management and workers need to be assigned and trained to manage each potential emergency situations (e.g. to ensure the building/worksite is clear, contact emergency services, liaise with emergency services, etc).

Verification – lists of wardens, training records.

Silver



7.2.3

At a silver level, the managers and workers designated to take control in an emergency situation are required to have received refresher training within the previous year. Internal training provided by a skilled and competent trainer is sufficient to meet this requirement.

Verification – training agendas, minutes of meetings, certificates.

Gold



7.2.4

At a gold level, specific emergency training needs to be provided to designated personnel. For e.g. a course that has included New Zealand Qualifications Authority (NZQA) unit standards:

6400 - Manage first aid in emergency situations, and

26551 - Provide first aid for life threatening conditions, and

26552 - Demonstrate knowledge of common first aid conditions and how to respond to them

Alternatively:

6400 - Manage first aid in emergency situations, and

6401 - Provide first aid, and

6402 - Provide resuscitation level 2.

Verification – certificates, records of attendance, agendas or similar.

7.3

There is periodic testing and review of emergency procedures.

Bronze



7.3.1

To ensure all workers are aware of how to respond in an emergency situation, emergency drills/exercises are required to be undertaken at least every six months. Practice drills or exercises should take place for different types of emergency situations – not only those involving fire. This may include medical emergencies, armed hold ups, vehicle accident/incident response.

Where an registered owner occupies only one part of a building or site and evacuation drills are not undertaken by the building or site owner at least six monthly, the registered owner will need to instigate evacuation drills/exercises to cover their own workers, regardless of the size of the company, or who has control of the building or site.

Verification – records of evacuation drills or exercises, minutes of meetings.



7-3.2

Following emergency drills or actual emergencies, a debrief should occur to consider feedback from designated wardens and other stakeholders to identify whether there are any areas for improvement. Where areas for improvement are identified, evidence is required that emergency response procedures and plans have been updated.

Verification – records of updated procedures, minutes of meetings.

CRITICAL ELEMENT 8:

Contractor and Sub-Contractor Management

OBJECTIVE

The registered owner has systems in place to manage contractors and sub-contractors to ensure they do not cause harm to anyone. All contractors and sub-contractors are required to comply with the registered owner's health and safety requirements.

8.1.

Health and safety inductions are undertaken for all contractors and sub-contractors, including contractors and sub-contractors carrying out one-off maintenance (or similar).

Bronze



8.1.1

Almost all workplaces deal with contractors. This may vary from intermittent one-off maintenance contractors, to daily interactions with contracted fleet drivers. Procedures are required to ensure all contractors receive appropriate health and safety induction prior to entering a site.

Varying levels of contractor induction may be required depending on the areas of the workplace the contractor will have access to, the work being undertaken, the types of freight being transported and the level of contact with workers etc. For example, a one-off maintenance contractor may receive a brief induction and be accompanied throughout their time on-site while a detailed health and safety induction may be required for contracted fleet drivers who are providing ongoing work or will have interactions with workers.

The information provided to contractors should include any site-specific rules (such as speed restrictions, restricted areas of work), emergency procedures, risk and hazard reporting and recording, responsibilities, etc. In addition, key risks and hazards likely to be faced by contractors should be covered (e.g. heavy machinery operating, production plants, moving vehicles).

Verification – induction procedures outlining how contractors are managed, induction records, verification of viewing health and safety videos.

8.1.2

A person who has understanding of the particular risks and hazards in the workplace and the information that needs to be conveyed to contractors should be designated to ensure contractor inductions occur. This may be a contracts manager depending on the workplace risks and hazards and the contract work being undertaken.

Verification – procedural documents, job description, flow charts.

8.2.

Criteria to select contractors include an assessment of their safety, injury prevention and fuel-efficiency practices (where applicable).

Silver



8.2.1

Cost should not be the only consideration when selecting a contractor. The registered owner needs to demonstrate that health and safety, injury prevention and fuel efficiency practices (and any other relevant information as identified by the registered owner) form part of the selection criteria when deciding which contractor to use. This may include:

- the ACC Fleet Saver or WSMP status of the contractor
- the health and safety training or registrations of the company
- the health and safety performance of the contractor over the previous 24 months.

Verification – flowcharts, documented criteria, checklists.

8.2.2

Evidence is required that contractor's provide details of their safety, injury prevention and fuel efficiency practices as part of the documented tendering process.

Verification – examples of tender documents with subsequent contracts, evidence of criteria and/or assessments of contractors.

8.3.

Health and safety expectations and responsibilities are included in contracts.

Silver



8.3.1

Actual contracts (or other similar documents) need to include the health and safety requirements of the registered owner. Clear responsibilities and expectations should be set out in relation to the work

being carried out to ensure contractors comply with health and safety standards and do not endanger anyone, by any action or inaction. This may include responsibilities such as:

- reporting all risks and hazards
- reporting any incidents and injuries
- adhering to the health and safety requirements of the registered owner at all times.

Verification – contracts that include health and safety requirements.

8.3.2

At a silver level, it is important the registered owner monitors the performance of contractors to ensure requirements are being met and maintained. This review may include assessing incident and injury data relating to risks and hazards introduced by the contractor, feedback from workers and review of contractor monitoring reports.

Verification – contract evaluations, reviews, checklists, monitoring of speed/fuel efficiency.

Gold



8.3.3

Where contracts have finished and/or work is completed, the registered owner needs to demonstrate that health and safety performance has been part of post-contract evaluations.

Verification – exit interview documents, minutes of meetings, completed reviews.

CRITICAL ELEMENT 9:

Workplace Observation

OBJECTIVE

On-road and workplace health and safety systems have been implemented and are understood by workers.

9.1.

On-road and workplace health and safety systems have been implemented and are understood by workers.

Bronze



9.1.1 to 9.1.10

The auditor will view each of the verifications identified below during a walk-around at each site selected for audit.

Practical examples of workplace systems and behaviour should confirm the implementation of the systems and processes reviewed during the audit.

The auditor will talk to some workers while they are undertaking the observation to confirm that documented systems are operational and understood throughout the workplace.

Verifications (NB: all criteria are required to meet the bronze level requirements)

1. Selection and review of risks and significant hazards and related controls.
2. Systems and documentation include actual and potential on-road and workplace risks and hazards, and identify those that are high and significant, respectively.
3. Safety and emergency equipment is in vehicles.
4. Vehicles have current certifications (e.g. Certificate of Fitness).
5. Evidence of personal protective equipment in use (where appropriate).
6. Restricted areas of work are clearly marked.
7. Incident and injury (accident) registers are available in the workplace.

Continued ...

Verifications (NB: all criteria are required to meet the bronze level requirements)

8. Security logbooks, visitor registers (or similar) and appropriate PPE is provided.
9. Emergency evacuation procedures are clearly outlined (e.g. signs, posters)
10. Confirmation with workers.

Glossary

Employee

An individual directly employed by the employer (PCBU) and who the employer (PCBU) pays the workplace levies for.

Evidence

Clear documentation (electronic or hard copy, and includes photographs or other media) to show the written procedures (or processes) are occurring in the workplace.

Evidence is not verbal discussion.

Management

Those roles (including senior management) that are in charge of others e.g. manager, team leader, supervisor, foreperson 2IC (or similar)

Notifiable event

Death, injury/illness, incident - Includes any work related injury or near miss that did or could result in a need for professional medical treatment.

NB: Refer to *Health and Safety at Work Act 2015 sections 23-25 for definitions of notifiable event, notifiable injury/illness and notifiable incident.*

Officer/s

Includes any other person occupying a position in relation to the business or undertaking that allows the person to exercise significant influence over the management of the business or undertaking (for example, a chief executive). It includes for example:

- a company - any person occupying the position of a director of the company by whatever name called
- a partnership (other than a limited partnership) - any partner
- a limited partnership - any general partner.

A business or undertaking can have more than one officer.

Every officer has a duty – it is not a joint duty. Officers have a duty because they make decisions about policy and investment that can affect workers' health and safety.

Person Conducting a Business or Undertaking (PCBU)

Despite its name, a PCBU will usually be a business entity, such as a company, rather than an individual person. A person will be a PCBU if they are a sole trader or a self-employed person.

Examples include:

- A retail or service business
- A wholesale business
- A manufacturing business
- An import or export business
- An owner-driver of their own courier business
- A fast food franchisor and the operator of the fast food outlet (the franchisee)
- A self-employed person operating their own business (e.g. contractor, consultant, tradesperson)
- A government department or crown agency
- A local or regional council
- A school
- A partnership
- A not-for-profit organisation employing paid staff.

Procedure

A process or series of steps that is clearly documented in either hard copy text format, electronic text format, or a series of hard copy or electronic flowcharts, diagrams, picture-form representations or similar, or any combination of these.

Senior management

The management level within a business or organisation that reports directly to the most senior manager (e.g. CEO or board), and has the authority to make resources available for health and safety management. This description may also include the next tier of managers in a large multi-site organisation.

Workers

The HSWA defines workers as an individual who carries out work in any capacity for a PCBU, including work as—

- an employee; or
- a contractor or subcontractor; or
- an employee of a contractor or subcontractor; or
- an employee of a labour hire company who has been assigned to work in the business or undertaking; or
- an outworker (including a homeworker); or
- an apprentice or a trainee; or
- a person gaining work experience or undertaking a work trial; or
- a volunteer worker; or
- a person of a prescribed class.

NB: Refer to Health and Safety at Work Act 2015 section 19 for full meaning of worker





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