

Te Pūrongo o Mahi Haumarū Aotearoa

WorkSafe Quarterly Report (1 January to 31 March 2021)

External Facing Deliverables

The **Kaimahi Hauora (Work-Related Health)** inspectors team, who are based across the country, commenced this Quarter. The Human Factors/ Ergonomics Lead has also started in their role. Both have been quick to make an impact, with the Kaimahi Hauora team tackling notifications using upstream interventions (e.g. working with senior leaders in large organisations,) and utilising our Mentally Healthy work position statement.

WorkSafe has worked closely with the Ministry of Health, and now have their acknowledgement of the gap in public funding for **Occupational Health** professions within New Zealand. Health has included WorkSafe's findings on Occupational Carcinogens and Airborne disease in its recently published report.

WorkSafe has responded well to each of the changes in **COVID-19** alert levels during the quarter. Work has been ongoing to provide clarity to our stakeholders on our roles and responsibilities in relation to the pandemic.

A major **Harm Reduction** focus has been the roll out of a national Forklift Roadshow. The planned 18 events across the country, reaching 1,055 businesses, focused in areas where greatest harm has taken place. Given the success, the applicability of this model in other areas is being considered. The roadshow has been integrated with other regulatory interventions (e.g. media campaigns and General Inspectorate to maximise the impact).

The first **Te Kāhu Mātai** (Partners Council) meeting, a group formed of WorkSafe social and Tiriti partners, takes place in Q4 and an update on this first significant meeting will be provided in the next report.

The significant work on unlocking the potential of **Health and Safety Representatives** (HSRs) has progressed with further workshops and engagement, moving from a worker perspective in Q3 to engaging with businesses. Discussions with businesses are critical to understanding the roadblocks to greater utilisation of HSRs to improve worker engagement, reduce harm and increase productivity – the way work is done.

Progress against our Strategic Measures

- Of our 16 **Statement of Performance Expectation** (SPE) measures, 11 are on-track. The remaining five measure results not available at this point due to survey timing and will be reported when the results are available.
- Our eight Annual **Statement of Intent** (SOI) measures are not available this quarter due to the timings of survey results. WorkSafe is continuing work to deliver a new Strategic Framework and Statement of Intent for 1 July 2021.

Organisational Enablers

Good progress has been made in WorkSafe's multi-year **Digital Transformation Programme**. Following the Independent Gateway Review, the contingency funding drawdown was approved by Ministers. Core enablers are well underway and include: appointment of a new General Manager of Digital Transformation; project planning for our digital independence from MBIE; and ongoing device rollout to our people.

The **Centralised File Support Unit** (CFSU) commenced. All investigation files will be reviewed for evidential sufficiency, quality and completeness. Feedback from our people is positive as the CFSU team provides efficiencies and quality gains to Legal and Inspectors.

In Q4 we will be finalising our new **Strategic Outcomes Framework, Statement of Intent** and **Statement of Performance Expectations** documents. From Q1 2021/22 our reporting will be aligned to the refreshed framework and measures.

Challenges and Opportunities

WorkSafe's scope of responsibilities is wide and our resources are finite. In this context, effective regulation means balancing new and emerging work alongside core delivery and modernisation activity to ensure we deliver across competing priorities.

New work requirements have emerged in Q3 which required prioritisation, including the **Strategic Baseline Review**, supporting MBIE's review of the **Adventure Activities** regimes, and working with **David Laurenson QC** on the review of WorkSafe's regulation of Adventure Activities leading up to the Whakaari / White Island eruption. Responding to **COVID-19** outbreaks and supporting MBIE's consideration of an expanded COVID-19 role for WorkSafe has also required staff attention, necessitating a trade-off against other activity.

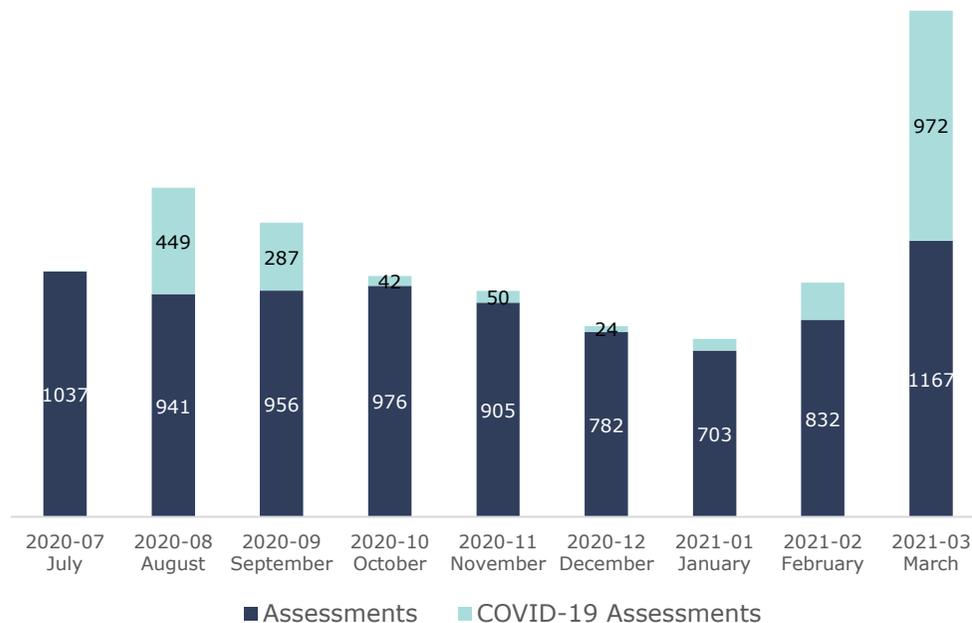
We have balanced these demands by engaging, early where possible, to ensure work is scoped and designed well to limit downstream impact. There is opportunity to build on internal processes to support prioritisation across the business to help bridge the gap between expectations and resourcing.

Ngā Mātaitanga puta noa i nga Mahi

Interventions across Operations

Assessment Activity – General Inspectorate (GI)

General assessment numbers 2020/21 YTD



Assessment numbers are following the regular annual cycle, taking into consideration the quieter months of December – February, relating to the holiday period.

Q3 saw an increase in assessments relating to COVID-19. The rise in number of assessments reflects the increase in complaints received as a result of the changing alert levels.

% of assessments that resulted in enforcement

Enforcement Type	# issued YTD
HSWA Improvement notice	2,865
Directive Letter	1,172
Verbal Direction	1,035
HSWA Prohibition notice	735
Sustained Compliance Letter	691
HSWA Non-Disturbance Notice	70
HSNO Compliance Order	2

March 2019/20

51%

March 2020/21

47%*

The expected range is 45-55%
*Excludes COVID-19 assessments

% of assessments that include interaction with a worker or representative

Target

80%

March 2020/21

87%

86% of the assessment files reviewed (where a worker was available) are meeting the highest quality standard for their Health and Safety Representative (HSR)/worker engagements.

To receive this score, inspectors are required to engage with workers to assess how well the requirements for Worker Engagement Participation and Representation (WEPR) are being met.

Ngā Mātaitanga puta noa i nga Mahi

Interventions across Operations

Investigations activity YTD

Specialist Interventions (SI)

Investigations in Specialist Interventions (SI) originate from notifiable events. SI manage Duty Holder Reviews, complex investigations, Centralised File Support Unit, Regulatory Assurance, Enforceable Undertakings, Major Critical Response and Victims and Coronial activities in the Operations Group.

Total opened in Q3 2019/20	31
Total opened in Q3 2020/21	39
Total opened in 2020/21	115

General Inspectorate (GI)

The General Inspectorate may commence an investigation into a PCBU after a series of compliance issues.

Total opened in 2019/20 Q3 YTD	11
Total opened in 2020/21 Q3 YTD	8

High Hazards, Energy and Public Safety (Investigations and Enquiries)

Energy Safety investigations have a broad scope. They range from basic enquiries and recording data for monitoring and trend analysis, through to complex, involved investigations for fatalities or major events such as the Christchurch gas explosions.

Energy Safety	566
MHF	8 Investigations
Extractives	1 investigation 5 early enquiries

Total opened year to date

Operations activity of late

In Q3, WorkSafe, New Zealand Police and Oranga Tamariki undertook a joint visit of the **Zirka Circus** site to follow up concerns of the living and working conditions for young Chinese workers. Enforcement measures were required and including two prohibition notices and an improvement notice.

The first Court appearance for the parties charged by WorkSafe following the investigation into the **Whakaari/White Island** tragedy was originally set down for December 2020, but was adjourned to March 2021. The defendants are yet to enter pleas to the charges. The next court hearing will be in June in Whakatane, and is scheduled to consider the appropriate venue for future hearings.

WorkSafe continues to actively engage with **Gloriavale**. In Q3 WorkSafe Inspectors undertook further assessments of companies under the Christian Church Trust to ensure they are meeting their health and safety obligations.

Central Plumbing Limited had installed a gas water heater without proper ventilation or a flue. This resulted in the unit releasing carbon monoxide within the shower unit causing the death of a 12 year-old child. **Michael Cartwright** had signed off the heater unit as compliant with relevant regulations without inspecting the unit or inquiring into its installation. Both defendants were charged under the Plumbers, Gasfitters, and Drainlayers Act 2006 with intentionally or negligently doing gasfitting in a manner that is dangerous to life. This was a high profile prosecution and received significant media attention.

Arataki me te Whakatikatika

Guidance and Education Development

Work Programme Overview

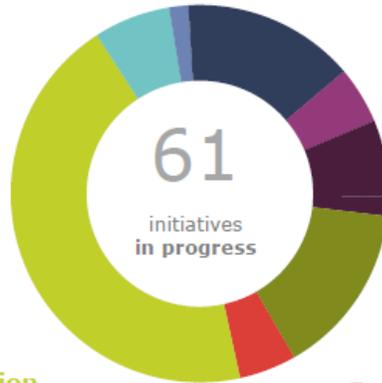
GED has **61** initiatives in progress this financial year (2020/21). Most run over out years, and produce several products per initiative.

9 are related to **hazardous substances**

1 are related to **adventure activities**

4 are initiatives to update **legacy guidance**

27 contribute towards our **harm reduction action plan**



3 are related to **high hazards and energy safety**

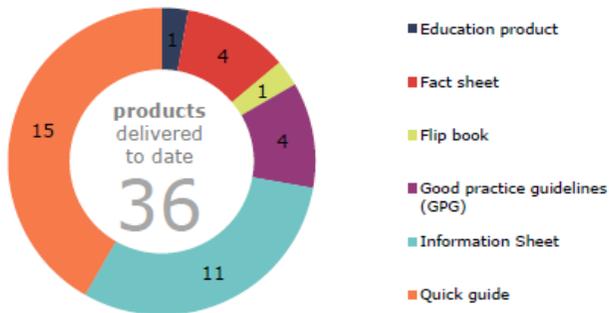
4 support the **worker engagement, participation and representation action plan**

9 contribute towards our **work related health strategic plan**

3 initiatives have **stopped**

Products delivered by the **61** initiatives

GED is delivering multiple products across all initiatives. So far this financial year we have delivered:



During Q3 the team completed 25 initiatives ranging from Reference Guides, Fact Sheets and Quick Guides across areas including Working in and Around Vehicles (WIAV), Hazardous Substances, Vibration and Health and Exposure Monitoring.

Upcoming guidance to be published in Q4 includes Safe work with Lifts, Escalators and Moving Walkways, Shift work, Welding, Agriculture and further Hazardous Substances publications.

90% of the work programme is currently on track with 10% at an amber status, made up of;

- 2 projects that were amber when the report was run, are moving back to green.
- 1 project (hazardous substances waste guidance) is amber due to team capacity. We will look at re-prioritising the hazardous substances guidance area.
- 1 project (maintenance and updates to the online SafePlus tool) is amber due to a contract issue with the supplier. This issue is currently being resolved.

Taura Here Waka: Te ahu whakamua

Progress against our Strategic Delivery Plan

We'll choose the most effective interventions

Priority	Q2	Q3	Milestones	Key message for the quarter
Programme				
Accelerated Silicosis <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(B19 – Modernisation Funding)</i>	●	●	WorkSafe inspectors completed visits to 113 businesses known to fabricate engineered stone A 6-month review of the Accelerated Silicosis Assessment Pathway	WorkSafe inspectors undertook assessments to ensure safe work practices were being maintained and provided workers with information on how to have their health assessed during their second visits. The uptake of workers visiting their doctor and having a claim lodged with ACC under the Assessment Pathway has been lower than expected. WorkSafe, ACC and the Ministry of Health, in conjunction with the Dust Diseases Task Force, are exploring ways to increase fabricators' access to the Assessment Pathway.
Mentally Healthy Work <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(B19 – Modernisation Funding)</i>	●	●	Scoping and development of an ACoP on Mentally Healthy Work (MHW) began	Developing a range of resources to assist PCBUs and workers to recognise and address psychosocial risks. Developing a new module on mentally health work in Pathways Awarua, the Tertiary Education Commission literacy tool for tertiary students. Human Rights Commission Psychosocial Research Partnership project is amber due to impacts of Covid-19 on timeline, resourcing and recruitment. Site visits with participating Early Childhood Education and Community Mental Health organisations commenced. Working from Home and Work-Related Stress guidance underway
Carcinogens Multifaceted Interventions <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(B19 – Modernisation Funding)</i>	●	●	Carcinogens Survey cognitive testing completed	The results of the survey will be available in Q1 2021/22. Issues highlighted when adapting the questionnaire to the New Zealand context have been resolved and currently the survey is being piloted by Research New Zealand.
SafePlus <i>(Ministerial Expectation)</i>	●	●	SafePlus Advertising campaign completed	SafePlus online and onsite promotion with PCBU case study promotions (NFA and GJ Gardner) will continue into Q4. Consultation is underway on a new product to support mentally health work called Snips.
Licensing Refrigeration <i>(Ministerial Expectation)</i>	●	●	No update this quarter.	Timeframes remain delayed due to regulations being finalised.
Agriculture Programme <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(Ministerial Expectation)</i>	●	●	Agriculture Chemicals factsheets for retailers published	Continuing work on <i>Fuels on Farms</i> guidance, aiming for publication in Q1 2021/22. Operational Policy to liaise with MBIE on the next steps in relation to Crush Protection Devices. Amber status due to delays on CPD progress.

Taura Here Waka: Te ahu whakamua

Progress against our Strategic Delivery Plan

We'll choose the most effective interventions

Priority	Q2	Q3	Milestones	Key message for the quarter
Programme				
Construction programme <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(Ministerial Expectation)</i>	●	●	Kia Oho Ake pilot confirmed with UCOL in the lower North Island in their construction trade academy sites. Construction review completed	Ongoing discussions with University College of Learning (UCOL) for a Kia Oho Ake pilot in South Island schools for Inspectorate training in their construction trade academy sites. First draft of Road Worker health and safety guidance for civil construction sector ready for external consultation via industry workshop. Final preparations are being made to commence the start of the Kaiarahi peer-to-peer mentoring pilot in April 2021. Amber status due to underspend as planned activity requires a shift in direction in line with WorkSafe priorities, yet to confirm resource and activity for the refreshed approach.
Manufacturing programme <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(Ministerial Expectation)</i>	●	●	No update this quarter.	Welding guidance due to be finalised and published early Q4. Range of guidance work progressed. Amber status due to underspend as planned activity requires a shift in direction in line with WorkSafe priorities.
Pacific Responsiveness <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Strategic Relationships)</i> <i>(SPE – Harm Prevention)</i> <i>(Ministerial Expectation)</i>	●	●	Programme re-established Phase 2 development began	Strong interest in ‘Puataunofu Come Home Safely’ education workshops. Interest is growing outside the Auckland region. Pacific Responsiveness strategic plan under development. Identifying key Manufacturing businesses with a high Pacific workforce to proactively work on delivery of Puataunofu and engaging with Pacific workers.
Vehicle Mobile Plant <i>(SPE – Harm Prevention)</i>	●	●	Vehicle-related Risks from Supply Chain Pressures research completed Site Traffic Management guidance published in February 2021	The final report by Mackie Research <i>Managing Vehicle-related Risks from Supply Chain Pressures</i> has been received which provides 13 recommendations/opportunities to address vehicle-related harm from supply chain pressures.
WEPR + Health and Safety Reps (HSR) Discovery (Insights project) <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Strategic Relationships)</i> <i>(SPE – Harm Prevention)</i> <i>(Ministerial Expectation)</i>	●	●	HSR Discovery External Reference Group met in Q3	HSR Discovery: External Reference Group will meet in April. Wider stakeholder engagement is planned. Final HSR Discovery Report incl. suite of intervention recommendations : June 2021 WEPR guidance review underway. Early evaluation findings received for Toroawhi Pilot (roving champions) in Forestry.

Taura Here Waka: Te ahu whakamua

Progress against our Strategic Delivery Plan

We'll make choices based on insights

Priority	Q2	Q3	Milestones	Key message for the quarter
Programme				
Pūmahara / Evidence-led Decision and Risk <i>(SPE – Harm Prevention)</i> <i>(SPE – Regulatory Effectiveness)</i>	●	●	External peer review completed of Pūmahara	<p>Peer review addresses whether Pūmahara is an appropriate tool to assist decision making for a really responsive risk-based regulator.</p> <p>Organisational demand analysis and detailed scoping for phase 3 (pilot) and phase 4 (roll out) has been completed with three scenarios and recommendations being considered.</p>
Project				
Foundational Research to Inform our Investment choices <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(SPE – Regulatory Effectiveness)</i> <i>(Ministerial Expectation)</i>	●	●	Psychosocial Survey commenced	Copenhagen Psychosocial Survey is on track. This survey is an internationally validated survey questionnaire of work-related psychosocial risk factors.

We'll measure what we do

Priority	Q2	Q3	Milestones	Key message for the quarter
Significant Core Activities				
Adventure Activities Re-registration	●	●	The majority of registrations have been completed (total from end of Q1 to end of Q3 is 176).	WorkSafe's capability to the re-registration process is now heavily involved in supporting the work to strengthen WorkSafe's adventure activities related operational policy, stakeholder engagement, inspector training, and resourcing.

Taura Here Waka: Te ahu whakamua

Progress against our Strategic Delivery Plan

We'll partner across Aotearoa

Priority	Q2	Q3	Milestones	Key message for the quarter
Programme				
Crown Māori Relationships <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(SPE – Strategic Relationships)</i> <i>(Ministerial Expectation)</i>	●	●	Te ara tuituinga activated between WorkSafe and mana whenua o tāmaki Makaurau.	Work is being undertaken to build capability in advance of the Maruiti Strategy being finalised. The Strategy is being consulted on with Te Kāhu Mātai partners and other stakeholders.
Mate Ohorere (Sudden death protocols)	●	●	Agreement reached between Operations and Maruiti on the protocols and whanau pani (bereaved families) engagement	A new delivery timeframe of Mate Ohorere (sudden death protocols) training for operational staff has been agreed between Operations and Maruiti due to inspectorate/investigations resource constraints. The new delivery date has changed from April to July 2021. This will see all inspectorate and investigations available to undertake training in a culturally appropriate way.
Building internal Te Ao Māori capability	●	●	Te Reo and Tikanga programmes were introduced to National Office	Te Reo and Tikanga programmes were introduced to National Office staff over the next 12 months, with plans to incorporate members of the ELT next quarter.
Te Ao Māori marae based harm prevention programmes				
Te Taitokerau (Manufacturing / Forestry),	●	●	Te Puni Kōkiri, Industry, Iwi and workers are co-designing the programme.	Positive relationships continue to be built on a regional and industry level to support kaupapa Māori harm prevention programmes.
Te Tairāwhiti (Forestry)	●	●	Te Puni Kōkiri, ACC, FISC, Eastland Wood Council and five key Principle companies, have agreed in principle to the programme. The community connect team have visited 8 of 12 crews seeking support to participate.	
Wanganui-Manawatu (Manufacturing)	●	●	First of four wānanga (learning lesson) delivered with support of Ngāti Rangī.	
Tamaki Makaurau (Construction)	●	●	City Rail Link / Link Alliance, Te Ara Tuituinga interaction with Mana Whenua (people of the land) in March has led to their support on delivery of the programme.	
Significant Core Activities				
Plant and Structures - Stage 1 <i>(SPE – Regulatory Effectiveness)</i> <i>(Ministerial Expectation)</i>	●	●	Cabinet approval to draft regulations expected Q2 2021	Regulations now expected to come in to force May 2022. WorkSafe are engaging with MBIE on implementation timeframes, and starting work on implementation planning.

Taura Here Waka: Te ahu whakamua

Progress against our Strategic Delivery Plan

We'll listen and tell our story

Priority	Q2	Q3	Milestones	Key message for the quarter
Programme				
Planning and performance framework <i>(SPE - Organisational Excellence)</i>	●	●	Completion of draft group plans	Draft strategy-aligned group level plans developed in line with the supporting guidance, templates and tools provided in preparation for cross organisational review in April.
Agriculture Marketing <i>(Health and Safety at Work Strategy)</i> <i>(SPE - Harm Prevention)</i>	●	●	Support for Central District Field Days Sponsorship of FMG Young Farmer of the Year	<p>WorkSafe attended Central Districts Field Days promoting the use of CPD's, seatbelts in farm vehicles and management of hazardous substances.</p> <p>WorkSafe continues to sponsor FMG Young Farmer of the Year in 2021. A health and safety module is run at each regional event. Regional winners are being interviewed for promotional case studies.</p>
Significant Core Activities				
Maintain and continually improve WorkSafe's website and digital channels <i>(Health and Safety at Work Strategy)</i> <i>(SPE - All)</i>	●	●	Content management updates complete	Essential website maintenance took place including system updates for the WorkSafe Data Centre and Pickled game. Maintenance on the system that runs out main website and campaign sub-sites has begun.
Engagement, Marketing and Communications <i>(Health and Safety at Work Strategy)</i> <i>(SPE - All)</i>	●	●	Media launch for seatbelts campaign and forklift safety roadshows	Garnered media coverage for the launches of two WorkSafe initiatives. A seatbelt campaign and WorkSafe's forklift safety roadshow. This included television, radio and print media with strong health and safety messaging attached.
Social Marketing Campaign <i>(Health and Safety at Work Strategy)</i> <i>(SPE - All)</i>	●	●	Go-live of phase 2 of Meerkat Campaign	<p>Launch of phase 2 of the Sense it, Stop it campaign focusing on 'why meerkats' and the launch of a seatbelt TV commercial promoting the use of seat belts in work vehicles.</p> <p>The campaigns overall effectiveness will be realised in May with the results of a Colmar Brunton campaign questionnaire across 500 workers and employers.</p>
Marketing, Advertising and Content Development <i>(Health and Safety at Work Strategy)</i> <i>(SPE - All)</i>	●	●	Brand and our story alignment began	<p>Cross-business Workshops are being held to clarify the role of Marketing and Communications and the future focus for our brand and content story.</p> <p>Amber status due to the need to move quickly to integrate and align the outcomes of this work across the core customer journeys.</p>
Māori Worker Campaign <i>(Health and Safety at Work Strategy)</i> <i>(SPE - All)</i> (Ministerial Expectation)	●	●	Safe Guy campaign has been put on hold	<p>The next version of the Safe Guy campaign has been put on hold in order to align with the latest Maruiti strategy and future brand work.</p> <p>Amber status due to campaign on hold.</p>

Taura Here Waka: Te ahu whakamua

Progress against our Strategic Delivery Plan

We'll be set up for success

Priority	Q2	Q3	Milestones	Key message for the quarter
Programme				
Leadership Development Programme <i>(SPE – Organisational Excellence)</i> <i>(Ministerial Expectation)</i>	●	●	Initial two cohorts have completed the programme	<p>Strong intra-group relationships and trust have developed. The two cohorts will be brought together in a facilitated Senior Leadership session.</p> <p>Evaluation of the programme has begun and benefits will be reported when available.</p>
Targeted Development <i>(SPE – Organisational Excellence)</i> <i>(Ministerial Expectation)</i>	●	●	Inspector Development Pathway Governance and Review Group formed	Targeted programme progressing well.
Service Design <i>(SPE – Organisational Excellence)</i> <i>(B19 – Modernisation Funding)</i>	●	●	Scope of programme endorsed	<p>Business Architecture work has progressed. Cross organisation workshops are underway to define the desired future business state. User experience (UX) approach is being co-developed with the Digital Transformation team. UX PCBU interviews will be conducted in Q4.</p> <p>Legal obligations project team are working with Operations staff to detail the obligations within the authorising environment.</p>
HRIS/Payroll and Health and Safety Solution <i>(SPE – Organisational Excellence)</i> <i>(B19 – Modernisation Funding)</i>	●	●	Human Resources Information Systems (HRIS) design phase compete AMS Payroll transition from MBIE network commenced HSW module moved to Phase 2	<p>Build and configuration nearing completion. Acceptance testing by internal teams to begin shortly.</p> <p>Phase 2 planning underway and will include the Health and Safety Module.</p> <p>Amber status reflects a health check review, the project has been re-baselined and a number of key artefacts are being updated.</p>
Digital Independence <i>(SPE – Organisational Excellence)</i> <i>(B19 – Modernisation Funding)</i>	●	●	Infringements Processing Centre migrated and implemented within the WorkSafe ICT environment	<p>Detailed discovery work is underway and 90% complete on the original 22 in-scope applications and additional applications are being discovered through this process. MBIE are actively supporting the programme and joint governance is in place.</p> <p>Overall the programme is amber due to a delay in securing the resources and the downstream impacts this has on delivery.</p>
Work Related Health Team set-up <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(B19 – Modernisation Funding)</i>	●	●	Training programme in progress for Kaimahi Hauora Team who have supported several complex investigations Managed over 50 mentally healthy work notifications	Engaged in programme of webinars with WorkSafe Victoria Psychosocial harm Inspectors to share common learnings.

Te Tauākī Aro Mahi

Statement of Performance Expectations

Activity Measures

11/16 ● SPE measures on track
5 ● Not available

Harm prevention		Target 20/21	Actual	Commentary						
1. Percentage of people who say our guidance is useful (this measure provides an indication of how we help all parts of the system understand what good health and safety practice looks like). <i>(Annual)</i>		≥ 97%	98%	● WorkSafe reports annually on guidance that was 'very useful' and 'somewhat useful'. Our target is to hold or increase on the target.						
2. Percentage of assessments that include interaction with a worker or representative. <i>(Quarterly - YTD)</i>		≥ 80%	87%	● There is a continued expectation for inspectors to speak with a worker, Health and Safety Representative or both during an assessment where available.						
3. Deliver the three Work-related Roadmap to Healthy Work sub-plans for: Carcinogens and airborne risks, Musculoskeletal disorders, Mentally Healthy Work. <i>(Quarterly - YTD)</i>	<p style="text-align: center;">Roadmap to Healthy Work sub-plans</p> <table border="1" style="width: 100%; text-align: center;"> <tr> <td>Carcinogens and airborne risks</td> <td>Musculoskeletal disorders</td> <td>Mentally Healthy Work</td> </tr> <tr> <td>✓</td> <td>✓</td> <td>✓</td> </tr> </table>	Carcinogens and airborne risks	Musculoskeletal disorders	Mentally Healthy Work	✓	✓	✓	Achieve		● Work is ongoing to provide information about the sub-plans on the WorkSafe website. No change from the last report.
Carcinogens and airborne risks	Musculoskeletal disorders	Mentally Healthy Work								
✓	✓	✓								
4. Percentage of assessments that include a focus on work-related health risks. <i>(Quarterly - YTD)</i>		65%	83%	● Work-Related Health continues to be a priority of our assessment activity. We are currently exceeding our targeted expectation in this area.						

Te Tauākī Aro Mahi

Statement of Performance Expectations

Activity Measures

Regulatory effectiveness		Target 20/21	Actual	Commentary																														
<p>5. Percentage of prosecutions that are successful. (Quarterly - YTD)</p>	<table border="1"> <caption>Percentage of successful prosecutions</caption> <thead> <tr> <th>Quarter</th> <th>Sum of Target (%)</th> <th>Sum of Result (%)</th> </tr> </thead> <tbody> <tr> <td>Q4 19/20</td> <td>80</td> <td>88</td> </tr> <tr> <td>Q1 20/21</td> <td>80</td> <td>89</td> </tr> <tr> <td>Q2 20/21</td> <td>80</td> <td>90</td> </tr> <tr> <td>Q3 20/21</td> <td>80</td> <td>91</td> </tr> <tr> <td>Q4 20/21</td> <td>80</td> <td>94</td> </tr> </tbody> </table>	Quarter	Sum of Target (%)	Sum of Result (%)	Q4 19/20	80	88	Q1 20/21	80	89	Q2 20/21	80	90	Q3 20/21	80	91	Q4 20/21	80	94	≥ 80%	94%	<p>● The figures for Q2 were reported correctly, however the Actual % was not accumulated across the quarters. It should have read as 91%.</p> <p>For Q3 2020/21 55 prosecutions initiated 49 prosecutions disposed = 46 convicted, 1 withdrawn, 2 discontinued due to an accepted enforceable undertaking</p>												
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<p>6. Percentage of [formal] investigations where a final decision is made and communicated to victims and PCBUs within 12 months of commencement. (Quarterly - YTD)</p>	<table border="1"> <caption>Percentage of investigations with final decision</caption> <thead> <tr> <th>Quarter</th> <th>Sum of Target (%)</th> <th>Sum of Result (%)</th> </tr> </thead> <tbody> <tr> <td>Q4 19/20</td> <td>100</td> <td>89</td> </tr> <tr> <td>Q1 20/21</td> <td>100</td> <td>100</td> </tr> <tr> <td>Q2 20/21</td> <td>100</td> <td>100</td> </tr> <tr> <td>Q3 20/21</td> <td>100</td> <td>100</td> </tr> <tr> <td>Q4 20/21</td> <td>100</td> <td>100</td> </tr> </tbody> </table>	Quarter	Sum of Target (%)	Sum of Result (%)	Q4 19/20	100	89	Q1 20/21	100	100	Q2 20/21	100	100	Q3 20/21	100	100	Q4 20/21	100	100	100%	100%	<p>● There have been 33 files this quarter that required WorkSafe's final decision(s) to be communicated to victims and PCBU's.</p>												
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<p>7. Percentage of energy safety investigations (notifiable/non-notifiable incidents and unsafe situations) involving gas and electricity that are completed within 60 working days. (Quarterly - YTD)</p>	<table border="1"> <caption>Percentage of energy safety investigations completed</caption> <thead> <tr> <th>Quarter</th> <th>Sum of Target (%)</th> <th>Sum of Result (%)</th> </tr> </thead> <tbody> <tr> <td>Q4 19/20</td> <td>80</td> <td>88</td> </tr> <tr> <td>Q1 20/21</td> <td>80</td> <td>96</td> </tr> <tr> <td>Q2 20/21</td> <td>80</td> <td>97</td> </tr> <tr> <td>Q3 20/21</td> <td>80</td> <td>92</td> </tr> <tr> <td>Q4 20/21</td> <td>80</td> <td>92</td> </tr> </tbody> </table>	Quarter	Sum of Target (%)	Sum of Result (%)	Q4 19/20	80	88	Q1 20/21	80	96	Q2 20/21	80	97	Q3 20/21	80	92	Q4 20/21	80	92	≥ 80%	92%	<p>● For Q3 2020/21 159 of 191 (83%) investigations have been completed within 60 working days.</p> <p>To financial year end, 505 of 549 (92%) investigations have been completed within 60 working days.</p>												
Quarter	Sum of Target (%)	Sum of Result (%)																																
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Q1 20/21	80	96																																
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Q3 20/21	80	92																																
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<p>8. Complete the assessment of all safety cases for existing Major Hazards Facility high hazard establishments by April 2021. (Quarterly)</p>	<table border="1"> <thead> <tr> <th colspan="5">Safety case review schedule</th> </tr> <tr> <th>Step in cycle</th> <th>Dec 19</th> <th>Mar 20</th> <th>Jun 20</th> <th>Oct 20</th> </tr> </thead> <tbody> <tr> <td>Not yet begun</td> <td>10</td> <td>1</td> <td>0</td> <td>0</td> </tr> <tr> <td>In progress</td> <td>5</td> <td>6</td> <td>1</td> <td>0</td> </tr> <tr> <td>Further info required</td> <td>12</td> <td>1</td> <td>0</td> <td>0</td> </tr> <tr> <td>Completed</td> <td>30</td> <td>49</td> <td>57</td> <td>57</td> </tr> </tbody> </table>	Safety case review schedule					Step in cycle	Dec 19	Mar 20	Jun 20	Oct 20	Not yet begun	10	1	0	0	In progress	5	6	1	0	Further info required	12	1	0	0	Completed	30	49	57	57	100%	100%	<p>● Target was met in Q1 2020/21. No further update to be provided prior to year end.</p>
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Completed	30	49	57	57																														

Te Tauākī Aro Mahi

Statement of Performance Expectations

Activity Measures

System leadership					Target 20/21	Actual	Commentary	
9. All WorkSafe-funded partnership agreements with sector groups establish (or have) work programmes that will deliver tripartite health and safety initiatives. (Quarterly)	Shopcare	Forestry Industry Safety Council (FISC)	Construction Health & Safety NZ (CHASNZ)	Agriculture Leaders' Health & Safety Action Group (ALHSAG)	Canterbury Health & Safety Charter	Achieve (new measure)	●	A tripartite group comprises government, business and worker representatives. In addition we have the Te Kāhu Mātai (Partners Council) and Pacific Peoples Responsiveness Advisory Group and Worker Engagement, Participation, and Representation (WEPR) as cross-sector tripartite groups.
	In progress	✓	✓	In progress	✓			
10. The member of every partnership group funded by WorkSafe 'agree' that they have tripartite arrangements. (Annual)	Survey result to be reported at year-end					Achieve	●	New Annual Measure.
Percentage of people we directly engage with who agreed WorkSafe is: (Annual)					Target 20/21	Actual 20/21		
11. Educative						Increase (> 70%)	-	The survey results are annual and will be updated when available.
12. Fair						Increase (> 91%)	-	
13. Proportionate						Increase (> 68%)	-	
14. Performing effectively						Increase (> 70%)	-	

Te Tauākī Aro Mahi

Statement of Performance Expectations

Activity Measures

Organisational excellence	Target 20/21	Actual	Commentary
<p>15. Staff engagement as measured in the 'We Say' survey results. (Annual)</p>  <p>A horizontal bar chart with a dashed blue outline. The x-axis is labeled from 0% to 100%. A solid grey bar extends to the 61% mark. The 100% mark is indicated by a dashed blue line.</p>	≥ 61%	61%	<ul style="list-style-type: none"> The 2020 We Say survey was delivered in October 2020. The Engagement Score met the 2020/21 goal at 61%.
<p>16. Progress toward achieving strategic goal of becoming a leader in New Zealand health and safety practice. (Annual)</p>  <p>A horizontal bar chart with a dashed blue outline. The x-axis is labeled from 0% to 100%. A solid grey bar extends to the 'Performing' mark. The 100% mark is indicated by a dashed blue line.</p>	Achieve 'Performing' level		<ul style="list-style-type: none"> WorkSafe's latest safe plus assessment online survey results (July 2020) show that the "Performing" level has been achieved. Actions aligned with the HSW strategy are underway to support our aim of achieving leading safe plus assessment status by year end 2021/2022. Our next safe plus self-assessment will be scheduled in Q4 2020/2021.

Te Tauāki Whakamaunga atu

Statement of Intent

Activity Measures

0 ● Sol measures on track
8 ● Results not available

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

Te Tauākī Whakamaunga atu

Statement of Intent

Activity Measures

Health and safety improves wellbeing: Our work enables good health and safety to improve people’s quality of life		Target 21/22	Actual	Commentary																												
<p>5. Workers who agreed their workplace has ways for workers to participate in health and safety and raise issues. (Biannual - WSIP) NB: This is a biannual measure, with no result reported this year.</p>	<table border="1"> <caption>Data for Measure 5</caption> <thead> <tr> <th>Year</th> <th>Result (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr><td>14/15</td><td>~80</td><td>~80</td></tr> <tr><td>15/16</td><td>~85</td><td>~80</td></tr> <tr><td>16/17</td><td>~90</td><td>~80</td></tr> <tr><td>17/18</td><td>~85</td><td>~80</td></tr> <tr><td>18/19</td><td>87</td><td>84.75</td></tr> <tr><td>19/20</td><td>~87</td><td>~80</td></tr> <tr><td>20/21</td><td>~87</td><td>~80</td></tr> <tr><td>21/22</td><td>~87</td><td>~80</td></tr> </tbody> </table>	Year	Result (%)	Target (%)	14/15	~80	~80	15/16	~85	~80	16/17	~90	~80	17/18	~85	~80	18/19	87	84.75	19/20	~87	~80	20/21	~87	~80	21/22	~87	~80	> 90%	N/A	<ul style="list-style-type: none"> We are on track to meet the 21/22 Statement of Intent target with our 18/19 result (87%) exceeding the 18/19 target (84.75%). No change from last report. 	
Year	Result (%)	Target (%)																														
14/15	~80	~80																														
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<p>6. Employers who agreed their workplace has ways for workers to participate in health and safety and raise issues. (Biannual - WSIP) NB: This is a biannual measure, with no result reported this year.</p>	<table border="1"> <caption>Data for Measure 6</caption> <thead> <tr> <th>Year</th> <th>Result (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr><td>14/15</td><td>~75</td><td>~75</td></tr> <tr><td>15/16</td><td>~75</td><td>~75</td></tr> <tr><td>16/17</td><td>~85</td><td>~75</td></tr> <tr><td>17/18</td><td>~85</td><td>~75</td></tr> <tr><td>18/19</td><td>87</td><td>84.75</td></tr> <tr><td>19/20</td><td>~87</td><td>~75</td></tr> <tr><td>20/21</td><td>~87</td><td>~75</td></tr> <tr><td>21/22</td><td>~87</td><td>~75</td></tr> </tbody> </table>	Year	Result (%)	Target (%)	14/15	~75	~75	15/16	~75	~75	16/17	~85	~75	17/18	~85	~75	18/19	87	84.75	19/20	~87	~75	20/21	~87	~75	21/22	~87	~75	> 90%	N/A	<ul style="list-style-type: none"> The result for 18/19 is not directly comparable to previous years or the target. The collection method has changed and the target population expanded to make the result more nationally representative. No change from last report. 	
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<p>7. More operators respond to potentially dangerous precursor events: Percentage of all precursor events that were adequately responded to. (Annual – High Hazards)</p>	<table border="1"> <caption>Data for Measure 7</caption> <thead> <tr> <th>Year</th> <th>Sum of Result (%)</th> <th>Sum of Target (%)</th> <th>Sum of Baseline (%)</th> </tr> </thead> <tbody> <tr><td>16/17</td><td>~95</td><td>~100</td><td>~75</td></tr> <tr><td>17/18</td><td>~75</td><td>~100</td><td>~75</td></tr> <tr><td>18/19</td><td>60</td><td>~99</td><td>~75</td></tr> <tr><td>19/20</td><td>~60</td><td>~99</td><td>~75</td></tr> <tr><td>20/21</td><td>~60</td><td>~99</td><td>~75</td></tr> <tr><td>21/22</td><td>~60</td><td>~99</td><td>~75</td></tr> </tbody> </table>	Year	Sum of Result (%)	Sum of Target (%)	Sum of Baseline (%)	16/17	~95	~100	~75	17/18	~75	~100	~75	18/19	60	~99	~75	19/20	~60	~99	~75	20/21	~60	~99	~75	21/22	~60	~99	~75	> 99%	N/A	<ul style="list-style-type: none"> The results to date are not comparable to the target measure as the definition of precursor event was changed. Interim results for this measure are not reported due to the lag time between events being notified to WorkSafe and being determined as adequately handled or not.
Year	Sum of Result (%)	Sum of Target (%)	Sum of Baseline (%)																													
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Collective approach to health and safety: Our work leads the health and safety system towards shared goals		Target 21/22	Actual	Commentary																												
<p>8. Percentage of people (workers and employers) we engage with who agreed that: WorkSafe is making a real difference to workplace health and safety in New Zealand. (Annual - SES)</p>	<table border="1"> <caption>Data for Measure 8</caption> <thead> <tr> <th>Year</th> <th>Result (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr><td>14/15</td><td>~80</td><td>~75</td></tr> <tr><td>15/16</td><td>~75</td><td>~75</td></tr> <tr><td>16/17</td><td>~80</td><td>~75</td></tr> <tr><td>17/18</td><td>~85</td><td>~75</td></tr> <tr><td>18/19</td><td>87</td><td>75</td></tr> <tr><td>19/20</td><td>~87</td><td>~75</td></tr> <tr><td>20/21</td><td>~87</td><td>~75</td></tr> <tr><td>21/22</td><td>~87</td><td>~75</td></tr> </tbody> </table>	Year	Result (%)	Target (%)	14/15	~80	~75	15/16	~75	~75	16/17	~80	~75	17/18	~85	~75	18/19	87	75	19/20	~87	~75	20/21	~87	~75	21/22	~87	~75	> 75%	N/A	<ul style="list-style-type: none"> We are on track to meet the 21/22 Statement of Intent target. No change from last report. 	
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Ngā Tūraru ā-rōpū Whakahaere

Organisational Risk

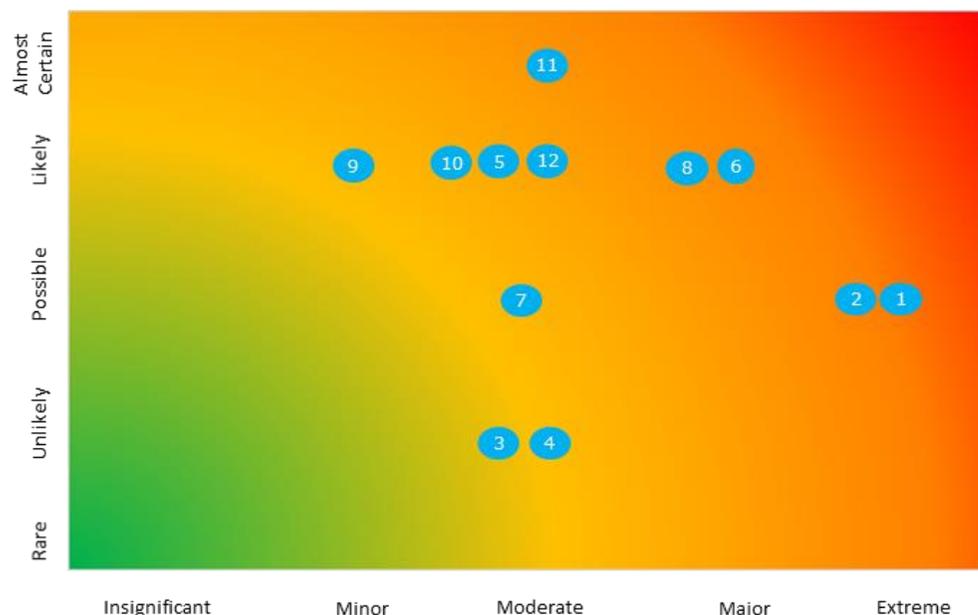
There has been no change to the residual risk ratings since the Q2 report. Effort continues to focus on the eight controls that manage the four highest risks.

WorkSafe introduced a regular operating rhythm of monitoring, assessing and updating the strategic risk profile including any environmental operating changes and impacts. During the quarter three controls were assessed as effective which did not impact on the overall consolidated control environment. Some control and action wording updates have been incorporated.

Overall progress is being made to improve design and operating effectiveness of controls. It is expected to take an estimated 12 months from January 2021 to reach a fully effective consolidated control environment for the four highest risks. Progress continues to be monitored and reported through the regular review sessions.

Based on the existing control environment the main risk on watch is **Risk 6, Funding**. Funding is an ongoing medium term challenge as we transform the organisation into a modern, insightful-led regulator which involves a substantial digital uplift. The strategic baseline review being performed by MBIE will cover WorkSafe’s role, strategy and government priorities and alignment of expenditure to this.

WorkSafe has confidence the right controls, improvement actions and mitigations are in place to manage the strategic risks effectively.



#	Risk	Residual Risk
1	Loss of support from authorising environment	High
2	Regulatory Failure (Draft)	High
3	External Engagement	Medium
4	External Culture Change	Medium
5	Prioritisation	High
6	Funding	High
7	Internal Identity	Medium
8	Projects	High
9	People & Capability	Medium
10	Internal Alignment	High
11	Processes & ICT Systems	High
12	Internal Health Safety & Wellbeing	High

Key: Current residual risk position ●

Ngā Tūraru ā-rōpū Whakahaere

Organisational Risk

Strategic Alignment	Highest Risk Summary Description / Key Controls
<p>Risk 1 We will measure what we do</p>	<p>Risk of loss of support from authorising environment;</p> <ul style="list-style-type: none"> - Performance and outcome measures are appropriate, tracked and reported along with actions to address issues or gaps to ensure delivery of targets and measures, - Performance measure outcomes and performance story is clear within reporting framework – refresh underway, - Our performance story is told to our stakeholders through a robust stakeholder engagement strategy – Control improvement actions underway, - Well understood funding envelope with agreed priorities and our delivery reported against our outcomes framework effectively – Control improvement actions underway.
<p>Risk 2 We will choose the most effective interventions</p>	<p>Risk of Regulatory Failure;</p> <ul style="list-style-type: none"> - This risk is currently in draft and work is underway to analyse, assess and capture the control environment – Risk and control improvement activities underway.
<p>Risk 6 We will measure what we do</p>	<p>Risk of insufficient funding to enable achievement of strategic objectives;</p> <ul style="list-style-type: none"> - Performance and outcome measures are appropriate, tracked and reported along with actions to address issues or gaps to ensure delivery of targets and measures, - Budgeting, forecasting and reporting monthly on baseline. New budget management mechanisms for FY21/22, - Increase organisational alignment by implementing Taura Here Waka into everyday language, framework for measurement, and driver of individual performance plans - Control improvement actions underway, - Well understood funding envelope with agreed priorities and our delivery reported against our outcomes framework effectively – Control improvement actions underway, - 2020 Budget Bid on sustainable operational funding, Whakaari Island legal proceedings, ICT double run costs and prosecution contingency fund – Control improvement actions underway, - Digital strategy and ICT roadmap (which is aligned to THW) are completed and costed with a clear plan to improve ICT capability and capacity.
<p>Risk 8 We will be set up for success</p>	<p>Risk of failing projects and achievement of objectives;</p> <ul style="list-style-type: none"> - Portfolio Project Management tool in operation with one project methodology being adopted across the organisation - Control improvement actions underway, - WorkSafe undertakes its procurement and contracting in accordance with recognised good practice - Control improvement actions underway, - Increase organisational alignment by implementing Taura Here Waka into everyday language, framework for measurement, and driver of individual performance plans - Control improvement actions underway, - Clear accountabilities, governance and leadership frameworks in place with robust reporting. Governance training provided to all governance participants, - Control improvement actions underway.

Te Tāngata, Te Ahurea, Te Marutau, me ngā Rawa

People, Culture, Safety and Property

Learning and Development

The Inspector Pathway is a career development and progression pathway for all inspectors across WorkSafe. Most elements of the Inspector Pathway will be in place by the end of June 2021 with new development programmes being introduced progressively over 2021 and early 2022.

The objectives of the Pathway are to attract and retain the right people in inspector roles; enable equitable and consistent career progression based on demonstrated capability and performance; build organisational capability and develop people's knowledge, skills and behaviours to support WorkSafe's direction and values.

This Quarter the Inspector Development Pathway Governance and Review Group has been established to oversee the sustainable implementation of the investment made in the Inspector development programme to date, and to ensure other development and training that occurs outside of the pathway is aligned.

Cohort 20 have been recruited and commence in Q4. We have built on the gains made in 2020, utilising improved organisational digital capability, a reference group to review content and adult learning principles to deliver a more flexible and fit for purpose program.

Support has been provided to the Maruiti team for the development of the WorkSafe Te Ao Māori Individual Capability Learning and Development Framework.

Senior Leadership Group Development Programme

The Initial two cohorts have completed the Senior Leadership Group (SLG) Development programme as designed. Evaluation of the programme has begun and will be reported to WorkSafe, SLG as a collective group and individually with participants for their specific goals.

The purpose of the evaluation includes assessing the benefits, making decisions about future investment in a third cohort, assessing the contract with the provider and continuous improvement for future cohorts.

Diversity & Inclusion

The plan of work to develop a Diversity and Inclusion strategy is underway. An initial survey to assess our baseline understanding of WorkSafe's current approach to Diversity and Inclusion has been completed. The respondents represented employees and managers from all business units.

Enterprise Change

In Q3 an internal secondee joined the team, as a Fixed Term Change Advisor. In their role the Change Advisor will focus on embedding the Prosci change management methodology tools, templates and resources into the organisation.

The roll-out of change management training commenced with the first People Leaders' pilot programme, and further training is under development for staff, sponsors and project teams.

Property and Facilities

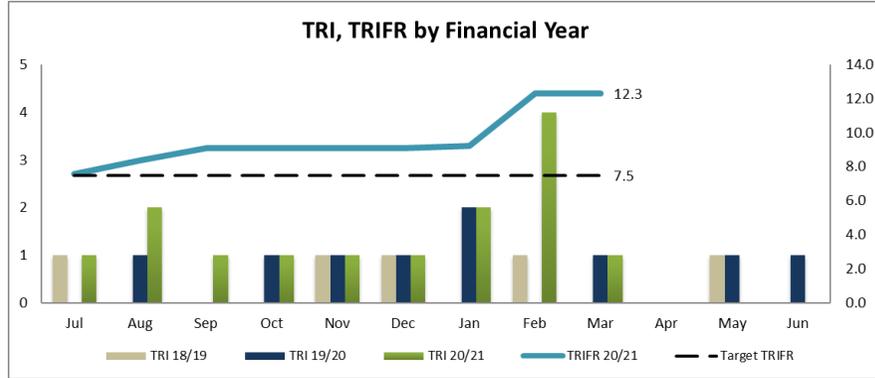
Work has commenced on the Property Strategy with the draft due for completion in June 2021.

All refurbishment and upgrade work at Wellington Head Office is now complete apart from some very minor meeting room work, which will be finished in Q4.

Te Tāngata, Te Ahurea, Te Marutau, me ngā Rawa

People, Culture, Safety and Property

Internal Health and Safety



WorkSafe’s TRIFR continues to track above target. We have had three medical treatment and four lost time injuries this quarter. The increased TRIFR coincides with a 56% increase on the total number of incidents reported this financial year (compared to the last full year), with 3 months remaining. Increased reporting is a sign of growing maturity in Health and Safety Wellbeing across WorkSafe.

The Health and Safety at Work plan is in place (1 Jan – 31 Dec 2021) with actions across all areas of the strategy.

Increased resourcing for the safety team will be in place in April.

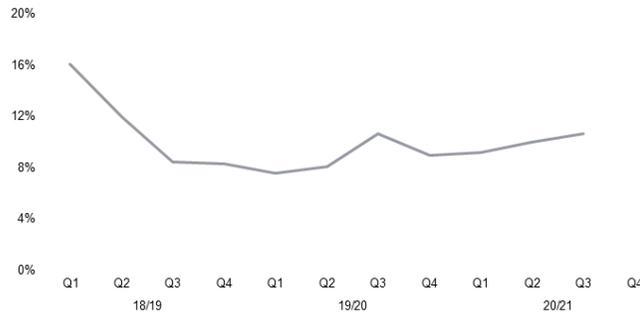
Note:

Lost Time Injury Frequency Rate (LTIFR) is the number of lost time injuries occurring per million hours worked.

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

Turnover (Voluntary) and FTE

Organisation turnover (12 month rolling)



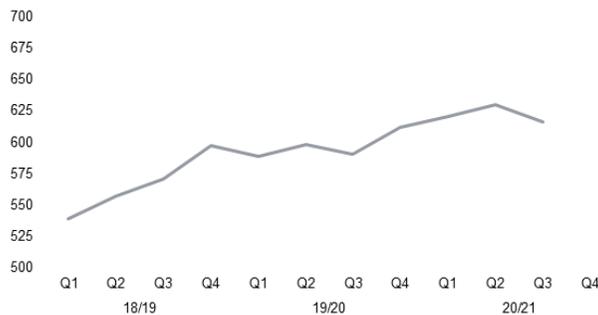
Q2 21 Q3 21 Commentary

10.0% 10.7%

Staff turnover for the 12 months to March 2021 was 10.7%. This is lower than the core public service turnover rate of 12.1%. Of the 27 voluntary leavers in Q3 there are a mixture of retirements, anticipated and regrettable leavers. Replacements are in place and information has been gathered from exit interviews. There is no specific trend in leavers from an occupational group or business unit and the numbers are consistent with leavers in Q3 2019/2020.

As a part of the HRIS off-boarding module, we will be improving our existing exit interview / survey processes to capture improved information on turnover.

Organisation FTE (perm and fixed)



630.8 617.1

Recruitment has commenced for the new Digital and ICT structure, with people appointed but not yet started.

We have a number of vacancies yet to be filled, but with recruitment underway.

Head Count as at end of Q3 (including non-FTE):

- Public facing / Frontline: 397
- Strategy / Corporate: 232

No significant change from Q2 numbers

Te Mahi Putea

WorkSafe Financial Performance

Finance Key Points

During the Q3 2020/21, the optimism bias of WorkSafe's delivery and, in turn, financial performance was identified and has resulted in WorkSafe's breakeven position at the end of the quarter (e.g. under delivery has reduced spending). Based on the estimated outturn, WorkSafe should be able to absorb the FY20/21 costs associated with the Whakaari/White Island response.

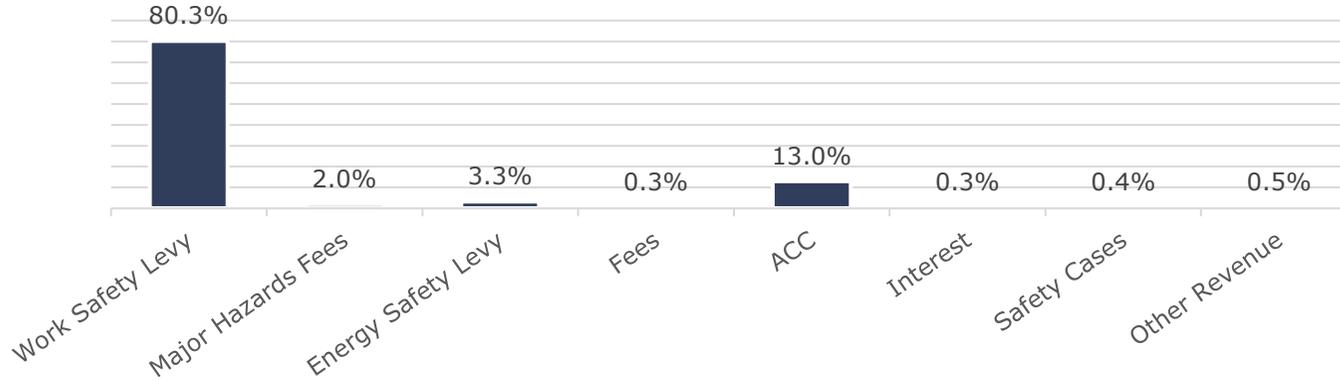
Financial Performance (Year to Date 31 March 2021)

	Actual \$000	SPE \$000	Variance \$000	Estimated Outturn	Full Year SPE \$000	Commentary
Revenue						
Revenue Crown	86,598	82,318	4,280	121,448	109,728	Crown Revenue and expenditure SPE budget does not include \$7m of additional funding for Refrigeration, B19 Harm Prevention funding and COVID-19 Response.
Interest Revenue	352	413	(61)	397	541	
Other Revenue	14,316	15,752	(1,436)	20,556	20,906	
Total Revenue	101,266	98,483	2,783	142,401	131,205	The breakeven position is \$2m higher than budget, with the key factors being:
Expenditure						
Personnel and contractors	64,438	64,990	552	88,420	87,390	a. \$4m spend to 31 March 2021 on Operation Whakaari/White Island.
Depreciation	3,237	4,098	861	4,566	6,035	b. Incurring double run costs associated with the MBIE Shared Services Fee, due to a slower than planned separation of ICT services and delays in key ICT projects.
Other expenditure	33,707	31,524	(2,183)	43,731	41,969	
Total Expenditure	101,382	100,612	(770)	136,717	135,394	c. Underspends in part offsetting the above overspends in various parts of the organisation.
Surplus/(deficit)	(116)	(2,129)	2,013	5,684	(4,189)	
In preparing the 2021/22 SPE, WorkSafe has an estimated outturn position of a \$5.7m surplus which is attributable to the inclusion of the Whakaari Budget Bid funding. Otherwise, WorkSafe is forecasting a breakeven position for FY20/21.						

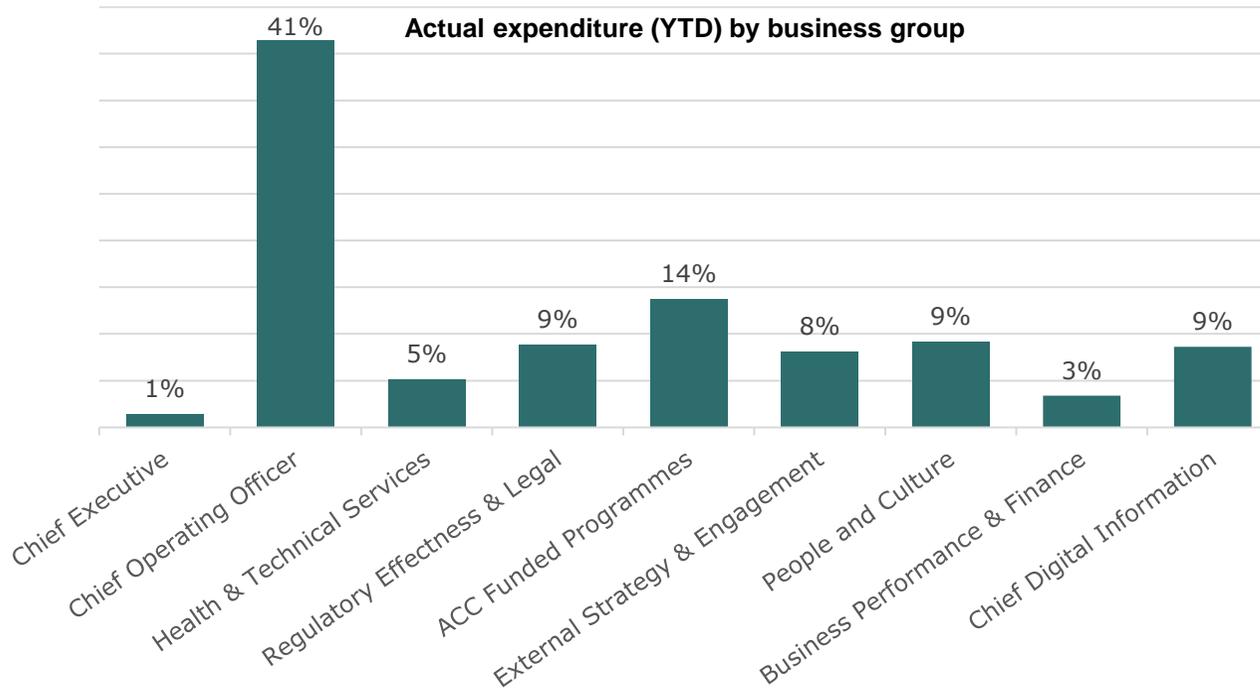
Te Mahi Putea

WorkSafe Financial Performance

YTD Actual Revenue Split



Actual expenditure (YTD) by business group



Te Mahi Putea

WorkSafe Financial Performance

Summary balance sheet (as at 31 March 2021)

	Actual \$000	Budget \$000	Variance \$000	Estimated Outturn	Full Year Budget \$000	Commentary
Cash and bank	4,755	6,028	(1,273)	5,391	5,045	
Investments	13,000	10,500	2,500	27,000	14,000	
Debtors	19,178	10,770	8,408	1,928	1,700	The debtors is made up of \$17.25m relating to ACC, \$0.127m Ministry of Justice relating to prosecution judgements and the remainder are various debtors.
Fixed Assets	20,377	25,465	(5,088)	23,007	24,847	Less spend due to delays in various projects.
Total Assets	57,310	52,763	4,547	57,326	45,592	
Creditors and Payables	6,816	6,788	(28)	7,001	5,000	Due to high accruals - particularly with ICT suppliers who are delayed in invoicing. Working with these suppliers to facilitate faster invoicing.
Employment Liabilities	5,708	5,073	(635)	4,940	6,000	
Income in Advance	13,134	11,643	(1,491)	7,166	6,693	
Long Term Loan - Refrigeration	-	-	-	-	-	
Total Liabilities	25,658	23,504	(2,154)	19,107	17,693	
Net Assets	31,652	29,259	2,393	37,451	27,199	
Equity						
Opening Equity	31,768	27,050	4,718	26,634	27,619	Last year's surplus and capital injection rolled into the opening balance.
Memorandum Accounts	-	4,337	(4,337)	5,133	4,253	
Surplus/(Deficit)	(116)	(2,129)	2,013	5,684	(4,673)	YTD Surplus.
Total Equity	31,652	29,259	2,393	37,451	27,199	

Te Mahi Putea

WorkSafe Financial Performance

Summary cash flow (as at 31 March 2021)

	Actual \$000	Budget \$000	Variance \$000	Estimated Outturn	Full Year Budget \$000	Commentary
Operating Cash Flows						
Receipts from Crown	86,598	82,318	4,280	121,448	109,758	The movements in cash reflect the lower spend in capital and operating as described above.
Receipts from Other Revenue/Interest	16	8,613	(8,597)	13,421	15,767	
Payments to Suppliers/Employees	(104,591)	(107,789)	3,198	(131,988)	(131,127)	
Net Operating Cash Flows	(17,977)	(16,858)	(1,119)	2,881	(5,602)	
Investing Cash Flows						
Net Investments	24,500	25,500	(1,000)	10,500	16,000	
Net Asset Purchase	(6,998)	(8,211)	1,213	(13,220)	(10,950)	
Net Investing Cash Flows	17,502	17,289	213	(2,720)	5,050	
Financing Cash Flows						
Capital Contribution	500	500	-	500	500	
Loan – Refrigeration	-	-	-	-	-	
Net Financing Cash Flows	500	500	-	500	500	
Cash Movement						
Net (decrease)/increase in cash	25	931	(906)	661	(51)	
Opening Cash	4,730	5,097	(367)	4,730	5,097	
Closing Cash	4,755	6,028	(1,273)	5,391	5,045	