



Te Pūrongo o Mahi Haumarū Aotearoa
WorkSafe Quarterly Report
(1 July to 30 September 2021)

WORKSAFE
Mahi Haumarū Aotearoa

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Outcomes by Impact

Our mahi takes us towards our goals that Aotearoa has healthy work, safe work, and equitable outcomes

- Work-related risks are identified, eliminated or controlled
- Health & safety is integrated into work design, set-up and practice
- Capable workforce drives sustained H&S improvement
- Workers are partners
- H&S system works for Māori, Pacific peoples and all workers
- Knowledge & insights inform practice

Significant milestones and deliverables

The operating environment was significantly impacted by responding and adapting to changing COVID-19 alert levels. WorkSafe is currently meeting the SPE requirements. During Q1 7 concerns were raised. Of those, 4 have been closed, 2 are still open pending investigation and 1 has been referred to the Inspectorate.

Approval has been given for three programmes of work (Forestry, Workers In and Around Vehicles, and Agriculture) in partnership with industry leaders to develop Health and Safety champions. WorkSafe continues to work in collaboration with Iwi, unions and community groups to address fatalities in the forestry sector. This falls under our Te Ara Tuituinga engagement framework.

WorkSafe is actively supporting three professional workforce development programmes- *Occupational Hygienists, Occupational Health Nurses and Human factor/Ergonomic Professionals*. In partnership with Health and Safety Association New Zealand, WorkSafe is getting the Health and Safety generalist programme back on track.

Health and Safety Representatives (HSR's) potential workshops and engagement held. Internal Work-Related Health Governance Group meeting took place, with initial focus on the Carcinogens and Airborne Risks Programme, this group meets 6 weekly.

Continued engagement with the Te Kāhu Mātai (Partners Council). Development of the Te Ao Māori Individual Capability Learning and Developments Framework support has also been given to the Maruiti team.

Work commissioned for research into agriculture, work organisation and task design. This is to develop the 'theories of change' and programme roadmap development .

Core Regulatory Activities

-  Lead, engage and influence [See page 8](#)
-  Educate, guide, inform and learn [See page 9](#)
-  Build capability and worker participation [See page 10](#)
-  Innovate, design, implement and evaluate [See page 11](#)
-  Authorise, oversee, assess and audit [See page 12](#)
-  Investigate, enforce and hold to account [See page 13](#)

Key enablers

Operations
[See page 3-4](#)
Dominated by COVID-19 activity- with over 1200 assessments during August and September responding to COVID-19 notifications.

Digital Transformation
[See page 7](#)
The planned migration of documents from the MBIE provided Document Management System (MAKO) to WorkSafe's new SharePoint system has been completed.

People
[See page 14-15](#)
Change management training to encourage positive change across the business groups. Plans to relocate 3 regional offices (Hamilton, Auckland and Whangarei) are in progress to be completed by mid 2022.

Risk
[See page 16](#)
Deep dive into regulatory risk undertaken. People and Capability risk 'on watch'.

Finance
[See page 17-21](#)
WorkSafe surplus of \$1.9m which is \$1.1m higher than budget. Majority of the underspend is tagged funds and/or due to project delays (some likely impacted by COVID-19). Capital expenditure continues to be lower than budget as the design, planning and approval phase of projects are taking longer than planned.

SPE Measures on track for Q1

20
— (87%)
23

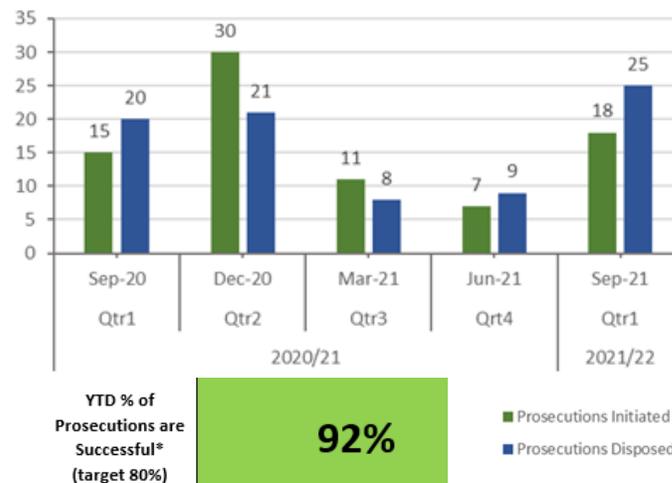
Ngā Mātaītanga puta noa i nga Mahi

Interventions across Operations

Quality Assurance and Control checks on Assessments conducted



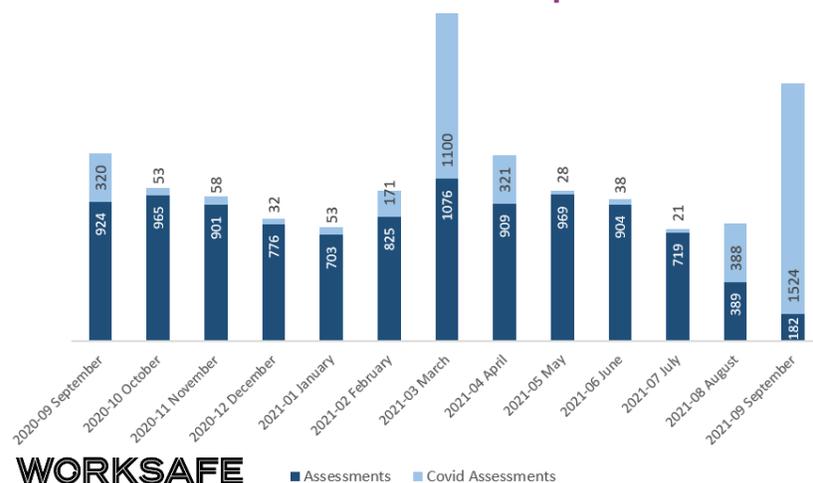
Initiated and Disposed Prosecutions by Financial Quarter



Enforcement Activity

Enforcement Type	# issued Q1 (YTD)
Verbal Direction (HSWA)	257
Verbal Direction (COVID-19 PHRA 2020)	22
Directive Letter	202
Non-Disturbance Notice	12
Written Direction (COVID-19 PHRA 2020)	0
Improvement Notice	537
Prohibition Notice	127
Sustained Compliance Letter (Written record to address underlying issue)	140
Enforceable Undertakings	0
Duty Holder Review	29
Internal Review Requests by PCBU	4
Infringement Notice (HSWA)	1
Infringement Notice (COVID-19 PHRA 2020)	0

Assessment numbers for General Inspectorate 12-month period



The General Inspectorate were trending well for face-to-face interactions up until 18 August. Due to the change in alert levels, the focus shifted to exclusive COVID-19 response through to September. We have been responding to all matters of COVID-19 breaches including but not limited to non-essential businesses operating, PPE and social distancing.

Volume of Notifications and Concerns reported to WorkSafe

Type of report	July	Aug	Sep	Q1 (YTD)
Notification of Concern about Unsafe Condition	248	180	328	756
Notification of Notifiable Incident	140	89	144	373
Notification of Notifiable Injury or Illness	232	169	483	884
COVID-19 report of breaches *Incoming via CCR	10	661	1,388	2,059
TOTALS	630	1,099	2,343	4,072

Ngā Mātaitanga puta noa i nga Mahi

Interventions across Operations

Investigations activity year to date

Specialist Interventions (SI)

Specialist Interventions manage the duty holder review, complex investigations, audit and enforceable undertakings activities in the Operations Group

**Total opened in Q1
2021/22**

22

General Inspectorate (GI)

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

**Total opened in Q1
2021/22**

2

High Hazards, Energy and Public Safety

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	Extractives	MHF	Petroleum & Gas
Total opened in Q1 2021/22	186	1	0	1

Operations activity of interest

In Q1, WorkSafe received 4,072 notifications and concerns in relation to Health and Safety. Over 2,000 of these relate to COVID-19 breaches originating from the all of Government COVID-19 Compliance Response team (AOG CCR). Operations Group have staff redirected to the AOG response team managing and coordinating the breach reports allocated to WorkSafe. There is an element of weekend work involved in the triage function. We are currently in the process transferring the oversight from Here Matatū to the COS Team, this will allow for a more sustainable delivery model going forward.

In Quarter 1, High Hazards, Energy and Public Safety engaged with mining and quarrying industries to develop a safety alert in relation to a fall-from-height incident where a contractor was seriously injured. The safety alert was the first to be developed as a video, rather than a written alert. The safety alert shares learnings from the incident, such as the importance of worker engagement, contractor management and detailed job planning, and highlights critical risks relating to working from heights that could affect many workers in a range of industries. The safety alert can be viewed on WorkSafe's website: [Contractor management and detailed job planning | WorkSafe](#).

High Hazards, Energy and Public Safety met with MBIE's New Zealand Space Agency to finalise our operational agreement and discuss how we will work together to ensure health and safety in relation to the launch of vehicles and payloads into high altitudes or outer space from New Zealand. We also attend the Space Regulatory Oversight Group meeting to discuss potential for launch facilities to fall under the MHF Regime.

WorkSafe continues to progress a Targeted Complex Intervention into Talley's group of companies to establish how they are meeting their health and safety obligations under the Health and Safety at Work Act 2015. WorkSafe recently engaged with the Board of Talley's Group Limited (TGL) in addition to carrying out assessments at various facilities. Nine site inspections were conducted on TGL business units (Talley's/Open Country Dairy/AFFCO). No major issues were encountered at any site; however, twenty (20) Improvement Notices and four (4) Sustained Compliance letters were issued. TGL has now officially engaged Safe+ to conduct an assessment programme across a representative sample of their business units. This assessment will serve as the basis of the improvement plan TGL will develop for WorkSafe to monitor

Taura Here Waka: Te ahu whakamua

Progress against our Strategic Delivery Plan

We'll choose the most effective interventions

External facing deliverables

Priority	Q1 Overall Status	Key message for the quarter
Plants and Structures	●	The project continues to engage with a wide range of stakeholders within and outside WorkSafe, to ensure that their views are captured and represented in our work. Engagement has been complicated by the impacts on alert levels and the breadth and accessibility of stakeholders.
WEPR (includes Health and Safety Representation)	●	On track. WorkSafe is connecting effectively with Health and Safety Representatives in the sector. (WEPR) Health and Safety Representatives (HSRs) report the sector is supportive and excited with the work WorkSafe is doing around connecting with HSRs.
Strong Regulatory Foundations (Regulatory Improvements)	●	This is one of WorkSafe's Hoe Nuku (priority area) and includes authorisations, exemptions and delegations. This work was identified at risk as part of regulatory risk session. Project Owners are working with the EPMO to undertake scoping and planning (includes securing resource for this work, which has been impacted by COVID-19 response work).
Airborne and Carcinogens	●	In Q1, Project Owners were working to scope and plan this programme. The first internal Work-Related Health Governance Group meeting took place. The Terms of Reference for the Group was agreed, with initial focus on the Carcinogens and Airborne Risks Programme. The Group are to meet 6-weekly.
Maruiti Strategy	●	In August, the refreshed Maruiti Strategy 2027 was approved by the ELT, the Board and agreed by Te Kahu Mātai (Partners Council). The strategy focuses on five key areas of work - Evidence-based goals, whole of organisation approach, Building Te Ao Māori capability, a Regional Partnerships focus on health and safety, and performance measurement of results. Note – this project has not reached the stage where EMPO are entering data into their PPM tool.

Taura Here Waka: Te ahu whakamua

Progress against our Strategic Delivery Plan

We'll choose the most effective interventions

Organisational Enablers

Priority	Q1 Overall Status	Key message for the quarter
Property Strategy and Implementation	●	<p>The programme is behind schedule due to COVID-19 related supply chain issues (which risks delaying occupancy in Hamilton and Auckland by approximately 2 months).</p> <p>Progress made on the Whangarei site with all 6 co-location agencies reaching agreement on most items apart from an ICT solution perspective. If this can be agreed, the anticipated relocation date will now be April 2022.</p>
Upstream Interventions	●	<p>WorkSafe continues to retain a focus on upstream interventions as part of our BAU activities. In the last Quarter we have held several engagement sessions with leadership of various industries and companies to discuss the challenges and opportunities in their specific Health and Safety risks. The aim of these targeted engagements is to educate on risk and promote harm prevention strategies. Engagements in Q1 included, amongst others, NZ Hops, Season Solutions (30 – 50 Grower and Contractor cooperative members), Tainui Group Holdings (TGH), First Gas, Talleys Group Limited and the New Zealand Space Agency.</p>
Mentally Healthy Work	●	<p>Final research report received for What Good Looks Like project. The project focuses on the positive impacts of work on health, including mental health. Development of the communication and marketing plan is underway.</p>
People / Capability Building	●	<p>Various training programmes have commenced in Q1 (e.g., Inspector Pathway Career Development), but there have been restrictions due to COVID-19 resulting in some postponements. A Diversity, Equity and Inclusion Steering Committee was formed in Q1 to take a more 'strategic' approach to diversity and inclusion.</p>
Taura Here Waka Change and Communications	●	<p>Monthly programme meetings have been set up and work on the communication plan for Taura Here Waka scope has commenced.</p>
Data and Intelligence: (Pūmahara)	●	<p>Scheduling and resourcing issues resulting from a key software developer role yet to be filled.</p>
Service Design	--	<p>Service Design programme has been reframed to facilitate improved focus on the different work streams. The 3 individual projects; Legislative Obligations, User Experience and Business Architecture will continue under separate government structures.</p>

Panoni Matihiko

Digital Transformation

WorkSafe is improving the technology that supports our mahi (work) across WorkSafe, and with partners and stakeholders through our digital transformation programme.

Outlined below is our **Taura Here Waka: Te ahu whakamua - Progress against our Strategic Delivery Plan: We'll choose the most effective interventions** (as this relates to Digital Transformation).

Priority	Q1 Overall Status	Key message for the quarter
Digital Transformation	●	Overall, the programme is on track. However, there are a high number of risks and issues (e.g., resourcing, where there is difficulty in attracting/recruiting the necessary skilled people). This is putting pressure on the programme reaching October readiness.

Outlined below are our **Progress Against Measures** for our Enabling Activities (of which there are four performance measures, as they relate to **Digital Transformation**)

Ko ngā inenga mahi

Our performance measures - Enabling activities

			Target	Benchmark	Q1	Q2	Q3	Q4
En1 (SPE-024)	The authorisation regime is live for online transactions with WorkSafe by 30 June 2022.	Overall, the Digital Transformation programme is progressing well. We are focusing on delivery of Authorisations and self-service workstreams, commencing on 4 October. Key achievements in Q1 included: <ul style="list-style-type: none"> The new intranet was successfully launched The HRIS phase two modules have been tested and moved into the pilot phase, The planned migration of data from MAKO in MBIE to the new SharePoint system in WorkSafe has been completed which will realise an annual saving of \$2.65m. Over 730 laptops were deployed to our people Planning has started around deploying new functionality around our Financial Management system. 	Achieved	New measure				
En2 (SPE-025)	The self-service portal for members of the public and persons conducting a business or undertaking is online by 30 June 2022.		Achieved	New measure				
En3 (SPE-026)	The core case management platform build has commenced by 30 June 2022.		Achieved	New measure				
En4 (SPE-027)	The Digital Independence discovery phase is complete by 30 June 2022.		Achieved	New measure				
		The latest COVID-19 lockdown is impacting some workstreams and schedules. Implementation plans are being developed to address deadlines and tight timeframes not being met.						
		SPE-027 combines various components, including the Digital Independence discovery phase which is now complete. Closure activities for the overall Digital Independence Programme is scheduled for 30 June 2022. However, some workstreams are expected to go beyond the closure date and we are working towards bringing these forward.						

Shown below is the **Performance measure- Enabling activities in relation to Pūmahara**

En5 (SPE-028)	Pūmahara (knowledge model) developed by 30 June 2022, to support effective use of WorkSafe data, evidence and expertise..	Phase 3 Pilot of the Pumahara programme has been completed. The Business Case v 0.5, revised version 0.6 and detailed PMP to be submitted 5 July 2021. Risk Workshop completed and Risk Register updated. Technical Stack/Solution for population developed. MSD epidemiological risk factors, underlying risk factors, prevalence of risk factors & qualitative risk factors collated and loaded into Pilot solution.	Achieved	New measure				
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Arahanga, whakapāpā me te whakapakepake

Lead, engage and influence

Ko ngā inenga mahi

Our performance measures

			Target	Benchmark	Q1	Q2	Q3	Q4
L1 (SPE-001)	The proportion of partnerships funded by WorkSafe that meet or exceed the agreed partnership outcomes.	Approval on three programmes of work (Forestry, Workers In and Around Vehicles and Agriculture) – working with industry leaders and system players to deliver outcomes. Pending approval on construction, manufacturing and Worker Engagement, Participation and Representation (due to resourcing issues, which are currently being met).	100%	New measure				
L2 (SPE-002)	The number of collaboratively-designed health and safety partnership arrangements established under our Te Ara Tuituinga engagement framework.	This measure is currently sitting at 50% YTD against expected outcomes. WorkSafe is currently working with iwi ,business, unions, and community groups as a collective to address fatalities and injuries in the forestry sector in Te Tairāwhiti. Current activities include planning for more marae based Kaupapa delivery of health and safety programmes to management and workers, requiring ongoing engagement and collaboration between iwi and WorkSafe	> 2	New measure				
L3 (SPE-003)	WorkSafe actively engages with government and industry leadership bodies to promote the integration of health and safety into work planning and design.	Actively incorporating the integration of Health and Safety into work planning and design.	Achieved	New measure				



Whakaako, ārahi, whakamōhio me te ako

Educate, guide, inform and learn

Ko ngā inenga mahi

Our performance measures

			Target	Benchmark	Q1	Q2	Q3	Q4
E1 (SPE-004)	The percentage of people who say our guidance is 'very useful'.	WorkSafe is developing the measure definition. Data for measure to be collected through the new provider. Contract negotiations with new provider completed. Initial planning workshops is underway.	> 60%	60%				
E2 (SPE-005)	The percentage of people we directly engage with who agree WorkSafe educates.	WorkSafe is developing the measure definition. Data for measure to be collected through the new provider. Contract negotiations with new provider completed. Initial planning workshops is underway.	> 65%	66%				
E3 (SPE-006)	The percentage of new harm prevention programmes that are evidence based.	Allan & Clarke (research firm) is engaged to support WorkSafe to ensure that new harm prevention programmes are evidence based.	100%	New measure				
E4 (SPE-007)	The proportion of published WorkSafe guidance that is aligned to one or more of our priority areas: - higher risk sectors or industries - cross-sector event-types - work-related health exposures - workers at greater risk.	100% of guidance published in Q1 were aligned with one or more of our priority areas - including work-related health/cross sector 43%, Harm Reduction Action Plan/Manufacturing 14%, work related health/manufacturing 14%, Cross sector/Hazardous substances 29%	≥ 80%	New measure				
E5 (SPE-008)	WorkSafe informs the public about where health and safety harm is occurring by publishing monthly fatality and notification statistics.	Figures on our external facing Data Centre have been updated on a monthly basis, even during the COVID-19 lockdown.	Achieved	New measure				



Kia hangaia te kaha, kia kanoahi kitea ngā kaimahi

Build capability and worker participation

Ko ngā inenga mahi

Our performance measures

		Target	Benchmark	Q1	Q2	Q3	Q4
B1 (SPE-009) The number of active health and safety professional workforce development projects that have been co-designed by WorkSafe and the relevant association.	There are three active professional workforce development projects that WorkSafe is supporting: <i>Occupational hygienists:</i> In Q1 we agreed a new 3-year occupational hygienist workforce development initiative with HASANZ and the New Zealand Occupational Hygiene Society (NZOHS). This will build on the successful initiative that ran between 2018-2021. It aims to continue to grow the number of fully qualified occupational hygienists, broaden the occupational hygiene skill base, and raise awareness and understanding of the discipline. <i>Occupational health nurses:</i> We are in year 2 of a two-year workforce development initiative with HASANZ and the New Zealand Occupational Health Nurses Association. This project is improving access to skills training for OHNs and developing a proposal for an OHN education programme that will be discussed with universities. <i>Human factor / ergonomics (HFE) professionals:</i> We are about to move into year 2 of a 3-year workforce development initiative with HASANZ and the Human Factor & Ergonomics Society of New Zealand (HFESNZ). This is aiming to increase the number of HFE professionals and develop a New Zealand-based education and training pathway, as well as updating the HFE competency framework. There is also a workforce development initiative for the health and safety generalist workforce which is currently stalled. We are working with HASANZ to get this back on track.	> 3	New measure				
		≥ 80%	79.3% (2019/20 result)				
B2 (SPE-010) The percentage of WorkSafe assessments that include interaction with a worker or representative.	This measure accounts for measures that include interactions, <i>where possible</i> . Of note, in the month of August remote (phone) assessments meant interactions were not possible as we are not conducting fact to face due to Alert level 3 & 4.						



Whakahou, whakahoahoa, whakatinana me te arotake

Innovate, design, implement and evaluate

Target Benchmark Q1 Q2 Q3 Q4

Ko ngā inenga mahi

Our performance measures

I1 (SPE-011)	The number of harm prevention programmes targeting high-risk sectors or risks that are common across sectors.	<p>Actively targeting high risk sectors and cross-cutting risks.</p> <ul style="list-style-type: none"> - Accelerated silicosis – Following second visits in late 2020/early 2021 to the 103 businesses known to be fabricating engineered stone, in Q1 during COVID-19 lockdowns, WorkSafe began remote assessments of a further 105 businesses to check whether they fabricate the stone. Approximately two thirds of these assessments have been completed with initial results show fewer than 20 of these are fabricating businesses (results to be confirmed). - WorkSafe held its first Asbestos Conference. The 2-day conference was attended by 160 people from across the public sector. It enhanced understanding and awareness of asbestos management, upskilled the audience, provided networking opportunities, and shared knowledge in the public sector. - Working from home guidance was completed and advertised through a social media campaign. As of 22 August, 2,300 users have accessed the guidance on our website. Results from site statistics, and interest in further information, suggests the right audience has been accessed. 	4	New measure	Green	Yellow	Yellow	Yellow
I2 (SPE-012)	The proportion of harm prevention programmes that actively consider health and safety outcomes for Māori and Pacific Peoples.		100%	New measure	Amber	Yellow	Yellow	Yellow
I3 (SPE-013)	The percentage of WorkSafe General Inspectorate assessments that include a focus on work-related risks.	In the month of August, the country was at Alert level 3 & 4 and majority of our assessments were remote during this time. They were reactive to notifications of COVID-19 Compliance breaches. These assessments all have a focus on work related health-risks	≥ 65%	69.1% (2019/20 result)	Green	Yellow	Yellow	Yellow
I4 (SPE-014)	The number of collaboratively designed kaupapa Māori health and safety programmes delivered.	Kaupapa Māori Programmes – This measure is currently sitting at 30% YTD against expected outcomes. WorkSafe is in the process of delivering Kaupapa Māori leadership training in the far north (Te Taitokerau) aimed at increasing work safety for Māori in the meat processing industry. Delivery has been impacted by recent COVID-19 lockdown restrictions - but at this stage a series of Marae based hui and workshops are planned for completion prior to June 2022	≥ 3 programmes	New measure	Green	Yellow	Yellow	Yellow



Whakamana, whakahaere, aromatawai me te arotake

Authorise, oversee, assess and audit

Ko ngā inenga mahi

Our performance measures

			Target	Benchmark	Q1	Q2	Q3	Q4
A1 (SPE-015)	The percentage of General Inspectorate assessments that are directed by the WorkSafe company risk model.	In Q1 the change in National Alert Level resulted in a change of the assessment focus from planned and proactive to reactive. This was in response to a surge of breach notifications in relation to the COVID-19 Public Health Response Act. Ordinarily, we would not engage in sectors such as Hospitality and Retail due to their low risk profile. WorkSafe was required to align resources to the current emerging risk.	≥ 60%	New measure	52%			
A2 (SPE-016)	The number of energy safety audits (of products, suppliers, networks, distribution systems, installations) completed.	In Q1, the Energy Safety Team conducted 173 audits of electrical and gas products, suppliers, networks, distribution systems and installations. We are on track to meet the annual target of 650 audits.	≥ 650 audits	New measure				
A3 (SPE-017)	The percentage of high hazard sites inspected compared to annual operating plan targets for major hazard facilities, petroleum and geothermal, and mining, tunnelling, and quarry sites.	The number of site inspections undertaken in August was less than planned due to COVID-19 lockdown. There is also a lag in data entry, so the full number of site inspections for the quarter hasn't yet been realised.	100%	New measure	89%			
A4 (SPE-018)	The percentage of corrective actions identified as part of the audit-process for hazardous substances compliance certifiers: - that are closed within the specified timeframe, or - where further action is taken.	WorkSafe is currently meeting the SPE criteria. However, there are two compliance certifiers employed by the same PCBU that may not meet the 3-month deadline for resolving their corrective actions, which are due to be resolved in October and November, respectively. If WorkSafe's concern is founded further action will be considered. Options include undertaking an additional audit or beginning an investigation of the certifier's ability to conduct.	100%	New measure				
A5 (SPE-019)	The percentage of complaints or concerns which indicate a possible breach of obligations by an adventure activity operator (AAO) (or a person conducting a business or undertaking that should be registered as an AAO) that are: - closed within the specified timeframe, or - where further action is taken.	We aim to acknowledge receipt of a complaint or concern within 3 working days and close out our response within 20 working days (although more time may be needed for more complex situations). During Q1, 7 concerns/complaints were received, 4 were closed within the specified timeframes, 2 remain open (but were only received on 21 September), and 1 has been referred to the Inspectorate for follow up action.	100%	New measure				



Ketuketu, whakauruhi, me te noho haepapa

Investigate, enforce and hold to account

Ko ngā inenga mahi

Our performance measures

			Target	Benchmark	Q1	Q2	Q3	Q4
H1 (SPE-020)	The percentage of investigations where a final decision is made and communicated to victims and persons conducting a business or undertaking within 12 months of commencement.	100% of Investigation decisions were communicated within 1 year of commencement.	Achieved	89% (2019/20 result)				
H2 (SPE-021)	The percentage of energy safety investigations (notifiable/non-notifiable incidents and unsafe situations) involving gas and electricity that are completed within 60 working days.	167 of 169 investigations are closed within 60 working days.	≥ 80%	87% (2019/20 result)				
H3 (SPE-022)	The WorkSafe Te Mate Ohore protocol 16 is used as a guide for determining the approach to investigating fatalities involving Māori victims.	This result is calculated based on the application of the protocol to ALL fatalities indiscriminate of ethnicity of the victim. We are currently rolling out the training to all our frontline staff, due to COVID-19 implementation has been delayed. 80 percent of staff (to-date) have received the training. The remaining staff will receive the training in Q2 – at which stage we will be able to report on this measure. WorkSafe does not currently collect and record ethnicity and given the sensitivity around confirming ethnicity at the time of a fatal workplace incident A Full-day workshop with the Maruiti Team has been completed . For each Marae based training session, at least one member of the Victims and/or Coronial Team have attended in support of the delivery of this protocol.	100%	New measure				
H4 (SPE-023)	The percentage of investigation files referred to WorkSafe's legal group to initiate a prosecution that meet agreed quality standards.	There were two files included within this reporting period, both met the agreed quality standards.	≥ 80%	New measure				

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

People, Culture, Safety and Property

Learning and Development

Traction made on the Inspector Pathway Career Development Programme with a number of skills building learning interventions delivered in Q1. However, due to COVID-19 restrictions some face-to-face workshops and practice clinics have had to be postponed.

Cohort 20 (20 trainee inspectors) completed their formal learning during Q1 and are now completing workplace structured practice.

Cohort 21 (20 trainee inspectors) commenced their training in September. COVID-19 Alert level restrictions have caused some delays in this Cohort's formal learning completion, planned for Q2, and which has now been extended to Q3.

During Q1 work got underway on developing training products to upskill the organisation in Energy Safety practices. Two modules to be launched in Q2.

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

During Q1 the Good Practice programme for the Inspectorate has been augmented with the addition of two more skills building workshops, i.e. Victim Impact Interviewing Skills and Formal Statement Writing. This brings the total Good Practice training offering for Inspectors to nine face-to-face workshops.

Senior Leadership Group Development Programme

As a result of the evaluation of the training programme in Q4 of the previous financial year, two more cohorts were identified with a third Cohort commencing their training in Q1. A fourth Cohort is planned to commence in Q2.

COVID-19 restrictions have impacted the delivery schedule of this development programme.

Diversity & Inclusion

A Diversity, Equity and Inclusion Steering Committee was formed in June and contains members from ELT, the PSA and our frontline. As part of this steering committee, an approach to diversity, equity and inclusion has been refined, conscientiously not making it a "strategy" and instead focusing efforts on an organic, developing approach. In Q2 & Q3 the SteerCo will be working across the organisation to seek engagement and input in our DEI approach through team discussions, a Hapori challenge, and articles via Bulletin and Panui.

Enterprise Change

The Enterprise Change Management (ECM) team is building change management capability, competency and maturity across WorkSafe. One of the key mechanisms for this in 2021 is the roll-out of change management training across our organisation.

ELT and SLG have completed customised workshops in change management, along with many people leaders and staff. The ECM team are now working with Leadership Teams to create action plans for positive change within their respective business groups. At the same time, we have many engagement activities underway for all staff including a newly-created SharePoint site, a Hapori ideas challenge, e-learning, an active community of practice/interest, and all-staff webinars planned to encourage everyone to understand and play a role in managing change effectively.

Property and Facilities

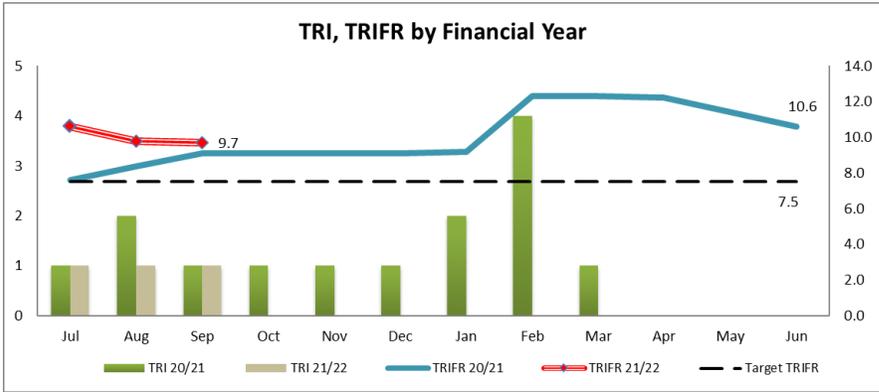
The draft National Property Strategy has been reviewed by WorkSafe's ELT and is being discussed more widely with senior leaders, This is due to be endorsed in Q2.

There are 3 regional offices to be relocated by mid 2022 i.e. Hamilton, Auckland Central and Whangarei. Planning is well advanced, business cases approved, and budgets in place.

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

People, Culture, Safety and Property

Internal Health and Safety



WorkSafe’s TRIFR is steadily decreasing, albeit still tracking above target. We have had one medical treatment and two lost time injuries this quarter. Of the 3 TRIFR incidents reported in the last quarter, 2 are mental health related and 1 was the result of a trip. The Health and Safety at Work plan is in place (1 Jan – 31 Dec 2021) with actions across all areas of the strategy. Additional Internal H&S resource is being secured to put some focus to our health-related processes

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

	Q4 21	Q1 22	Commentary
Organisation turnover (12 month rolling)	10.0%	15.1%	<p>Staff turnover for the 12 months to September 2021 was 15.1%. The Public sector turnover rate at the end of June 2021 was 12.1%. This is likely to have increased based on what we are evidencing in the market. Historically we track at or slightly below Public Sector rate.</p> <p>Of the 23 voluntary leavers in Q1 there are a mixture of anticipated and regrettable leavers. There is no specific trend across business groups or occupations.</p> <p>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.</p>

Organisation FTE (perm and fixed)	646.6	663.8	<p>Recruitment is ongoing for the Digital Transformation team including filling vacancies for new permanent roles in the ICT structure. Several new recruits have commenced with an increase to base numbers expected in Q2 and Q3. The Health and Technical Services team is also building capacity and capability to deliver on our Health strategy. Recruitment for key technical roles remains challenging, with delays in appointing to some positions. We are utilising contractors in some areas to cover key skills as an interim solution.</p> <p>Head Count as at end of Q1 (including non-FTE):</p> <ul style="list-style-type: none"> Public facing / Frontline: 374 Strategy / Corporate: 309
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Ngā Tūraru ā-rōpū Whakahaere

Organisational Risk

During Q1 the Board undertook a deep dive into regulatory risk, which revealed that some of WorkSafe's regulatory practices could be challenged (including as a result of the Laurenson Review). This signifies a tension between the amount of funding available and the ability to manage operational regulatory risk effectively.

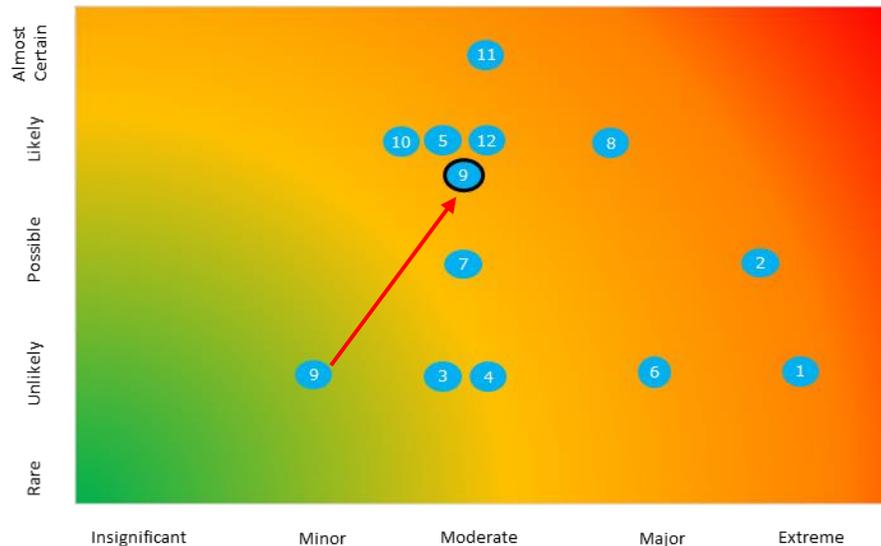
A further risk on watch is 'People and Capability'. This has increased to High due to the continued closure of borders and public sector pay restraint. Challenges include recruiting for some vacancies and an organisation staff turnover rate of 15.1%. Further, the number of large digital transformation projects underway across the public sector are competing for the same resources already in short supply and high demand. Controls in place include, embedding practices and messaging to support both retention of existing and attracting new talent.

Other insights highlighted by risk include:

- The outcome of the Strategic Baseline Review could impact sustainability of operational expenditure to ensure FTE count is at the right level to support the delivery and ongoing maintenance of transformational activities.
- Ability to support people through a high and sustained fast paced change environment.
- Clarity and consistency of messaging across all people in WorkSafe, our key stakeholders and the public.

Mapping of Residual Risk

WorkSafe's residual risk position is shown below (as at 26 October). Any changes will be tabled at ARFC in November.



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

Te Mahi Putea

WorkSafe Financial Performance

Finance Key Points

WorkSafe has a surplus of \$1.9m which is \$1.1m higher than budget.

The majority of the underspend is tagged funds and/or due to project days (some likely impacted by COVID-19). Capital expenditure continues to be lower than budget as the design, planning and approval phase of projects are taking longer than planned.

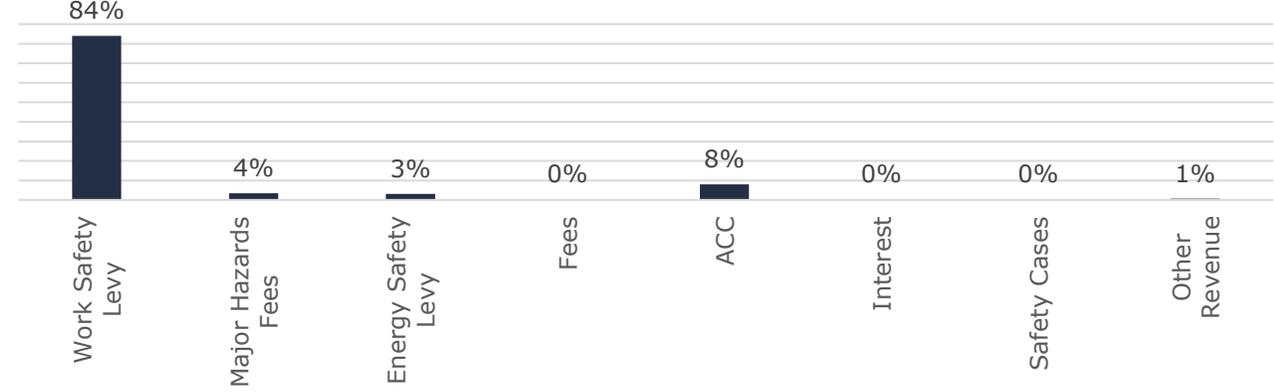
Financial Performance (Year to Date 30 September 2021)

	Actual \$000	SPE \$000	Variance \$000	Full Year SPE \$000	Commentary
Revenue					<i>Revenue:</i>
Revenue Crown	32,329	32,328	1	129,316	
Interest Revenue	73	62	11	250	
Other Revenue	3,366	4,894	(1,528)	18,681	Other revenue is lower than budgeted due to reduced ACC programme spend but offset by high Court Costs Awarded in the first quarter.
Total Revenue	35,768	37,284	(1,516)	148,247	
Expenditure					<i>Expenditure:</i>
Personnel	21,215	20,561	(654)	84,263	
Contractors	2,089	1,116	(973)	4,241	Personnel costs are high due to high recruitment costs and staff allowances. It also reflects less leave being taken but we expect this to reduce over the next two quarters.
Depreciation	1,355	1,448	93	7,355	
Other expenditure	9,127	13,152	4,025	54,001	The implications of the COVID-19 travel restrictions is having an impact on leave balances.
Total Expenditure	33,786	36,277	2,491	149,860	
Surplus/(deficit)	1,982	1,007	975	(1,613)	Contractor costs are above budget due to the tighter than expected labour market and longer planning phases on capital projects. Lower than budgeted other expenditure is reflective of lower project spend, particularly in the ACC programme due to planning/scoping of the next 3 year programme taking longer than expected.

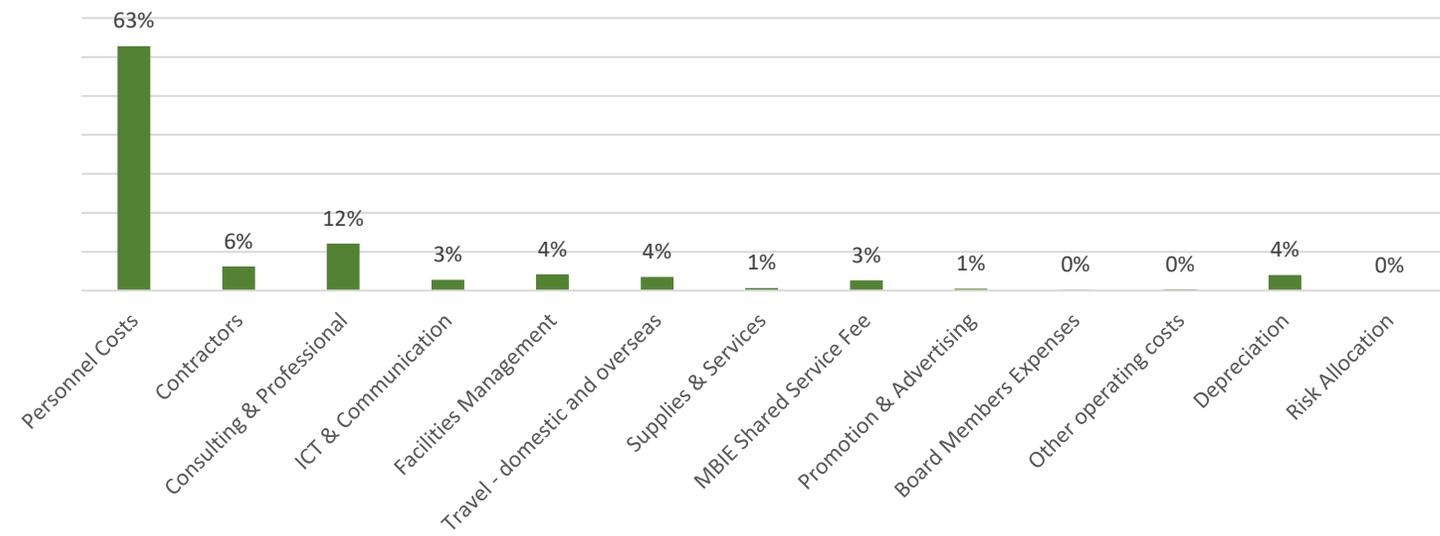
Te Mahi Putea

WorkSafe Financial Performance

YTD Actual Revenue Split



YTD Actual expenditure by category



Te Mahi Putea

WorkSafe Financial Performance

Summary balance sheet (as at 30 September 2021)

	Actual \$000	Budget \$000	Variance \$000	Full Year Budget \$000	Commentary
Cash and bank	2,282	5,171	2,889	4,125	Total cash and investments are slightly higher than budgeted, with later ACC invoicing (now likely to be raised in March) offset by slower spend in Capital, Operating and ACC.
Investments	27,150	23,500	(3,650)	24,500	
Debtors	1,049	1,563	514	1,563	MHF levies, which are invoiced at the start of each year are being collected faster than budgeted.
Fixed Assets	23,523	27,184	3,661	31,551	Prepayments are up \$0.5m on budget Under budget due to delays in capital spend
Total Assets	54,004	57,418	3,414	61,739	
Creditors and Payables	6,157	5,732	(425)	6,224	
Employment Liabilities	6,713	5,585	(1,128)	5,990	Higher leave balances reflect higher opening leave balances and has been impacted further by COVID-19
Income in Advance	5,835	8,417	2,582	1,068	Lower balance due to the budget assuming earlier invoicing of ACC as noted above, partly offset by lower ACC spend
Crown Loan	-	-	-	13,393	Draw down phased into second half of the year
Total Liabilities	18,705	19,734	1,029	26,675	
Net Assets	35,299	37,684	2,385	35,064	
Equity					
Opening Equity	26,634	26,634	-	26,634	Last year's surplus and capital injection rolled into the opening balance.
Memorandum Accounts	6,683	10,043	(3,360)	10,043	
Surplus/(Deficit)	1,982	1,007	975	(1,613)	YTD Surplus.
Total Equity	35,299	37,684	2,385	35,064	

Te Mahi Putea

WorkSafe Financial Performance

Summary cash flow (as at 30 September 2021)

	Actual \$000	Budget \$000	Variance \$000	Full Year Budget \$000	Commentary
Operating Cash Flows					
Receipts from Crown	32,329	32,329	-	129,316	The movements in cash reflect the lower spend in capital and operating as described above.
Receipts from Other Revenue/Interest	1,816	6,265	4,449	13,520	
Payments to Suppliers/Employees	(37,534)	(36,959)	575	(143,687)	
Net Operating Cash Flows	(3,389)	1,635	5,024	(851)	
Investing Cash Flows					
Net Investments	1,500	2,500	1,000	1,500	
Net Asset Purchase	(1,506)	(4,581)	(3,075)	(15,534)	
Net Investing Cash Flows	(6)	(2,081)	(2,075)	(14,034)	
Financing Cash Flows					
Capital Contribution	-	-	-	-	
Crown Loan	-	-	-	13,393	
Net Financing Cash Flows	-	-	-	13,393	
Cash Movement					
Net (decrease)/increase in cash	(3,395)	(446)	2,949	(1,492)	
Opening Cash	5,677	5,617	(60)	5,617	
Closing Cash	2,282	5,171	2,889	4,125	

Te Mahi Putea

WorkSafe Financial Performance

Summary capital spend (as at 30 September 2021)

	Actual \$000	Budget \$000	Variance \$000	Full Year Budget \$000	Commentary
ICT software	1,965	3,826	1,861	10,914	Slower than anticipated capital spend as several projects are in planning phase, and replanning of some programmes
ICT hardware	71	50	(21)	300	
Motor vehicles	-	500	500	3,000	Vehicles ordered in FY20/21 will be delivered in the 2nd quarter
Leasehold improvements	74	205	131	1,320	Spending has been delayed on 3 office relocations due to COVID-19 lockdowns, but they are now underway.
Other assets	63	-	(63)	-	Major Incident Alerting Platform & MHW Online form
Total capital spend	2,173	4,581	2,408	15,534	

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That's what we're working for.

WORKSAFE
Mahi Haumarū Aotearoa