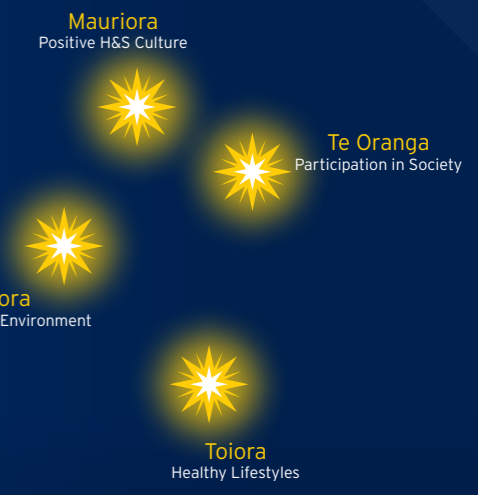


# Health + Safety Framework

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Te Mana Whakahaere  
Autonomy/Self Responsibility

Te Pae Mahutonga  
HEALTH AND SAFETY AT  
THE UNIVERSITY OF OTAGO

# Health Safety Framework

## Foreword

The University of Otago is committed to providing a safe and healthy environment for students, staff and visitors. While legislative compliance is imperative, the University seeks to go beyond compliance to embed health and safety into its culture and practices, so as to ensure an outstanding learning and working environment.

The University will achieve its health and safety aspirations through:

the adoption of a holistic framework to underpin and contribute to the health and well-being of the University community – Te Pae Mahutonga

a commitment to a Health and Safety Governance Charter – Kawanatanga

an adherence to an overarching Health and Safety Policy and suite of supporting policy documents

clear definitions of health and safety roles and responsibilities within the University, and

appropriate resourcing to support effective health and safety practices across the University.

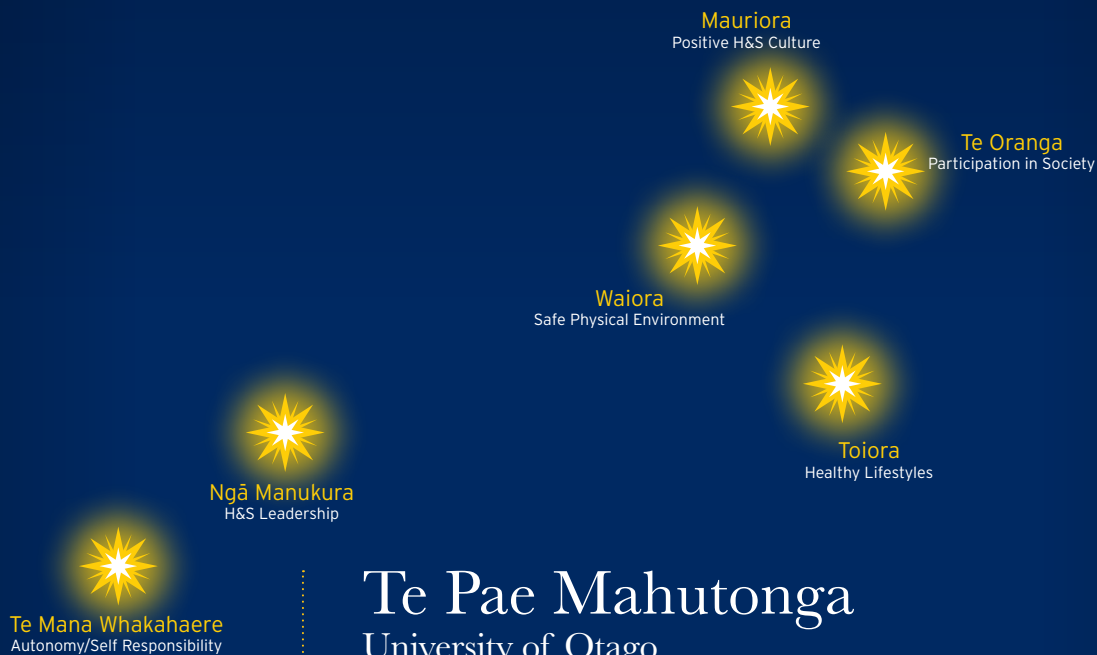
The responsibility for health and safety lies with us all: from the University's Council and leadership to individual staff and students. Through our collective efforts we can entrench health, safety and well-being into the fabric of the University, and build further on our deserved reputation for excellence and outstanding experiences.



Dr Royden Somerville QC  
Chancellor



Professor Harlene Hayne  
Vice-Chancellor



## Te Pae Mahutonga

### University of Otago Occupational Health and Safety Framework

Te Pae Mahutonga, the Southern Cross, is easily recognised in the Otago skies. The constellation has four central stars arranged in a cross and two separate stars, the Pointers, arranged in a straight line, and has long been used as a navigational aid.

The symbol of the Southern Cross has been developed as a Māori model of health; Te Pae Mahutonga, by Sir Mason Durie (1999). The two pointer stars represent Te Mana Whakahaere - autonomy and self-responsibility for health and Ngā Manukura – leadership. The four cross stars represent the key areas of Māori health: Mauriora – cultural identity, Waiora – physical environment, Toiora – healthy lifestyles, and Te Oranga - participation in society.

Traditionally within New Zealand, health and safety has been compliance driven, and the record shows that this is not a successful approach, as evidenced by the Pike River independent taskforce report. It is clear that health and safety needs to be about people, and looking after people at work, and that there is a moral obligation for the prevention of any harm in the workplace. Te Pae Mahutonga provides a New Zealand specific, integrated model that can be applied to health and safety at the University.

The University of Otago is a unique workplace community, and the charter and strategic deliverables need to be about people and achievements, and the striving for excellence in research and teaching. The University of Otago health and safety systems should not only prevent harm, but should also increase the benefits of working. Te Pae Mahutonga is a holistic model of health that embraces and enhances health and wellbeing, inclusive of safety.

« He aha te mea  
nui o te ao?

He tangata!  
He tangata!  
He tangata!



# Health Safety Framework

## Te Mana Whakahaere: Autonomy/Self Responsibility

Health and safety should be fully integrated into the activities of the university. Everyone is required to be involved and responsible for their own health and safety and that of their colleagues. There needs to be a sense of ownership and control, with an opportunity to participate freely in determining how health and safety is managed. As individual capability levels grow, so will health and safety performance.

### Health and Safety Te Mana Whakahaere would mean that:

- Everyone takes responsibility for working in a safe manner and looking after their work colleagues.
- Everyone is empowered to report any health and safety improvements and be aware that they will be listened to.
- Everyone reports events – incidents, injury, illness and near misses.
- Everyone is willing to be involved in audits, inspections and investigations.
- Everyone knows where to get information and assistance with health and safety.
- A ‘no blame’ culture exists with no fear about reporting events.

## Ngā Manukura: Leadership

A mature safety culture that has strong leadership and demonstrates commitment and support for providing a safe and healthy workplace moves an organisation's health and safety system from being reactive and compliance driven, to being enabling and continually improving health and safety.

### Health and Safety Ngā Manukura would mean that:

- Management commitment to health and safety is evident (budget, resources and time).
- Health and safety is treated seriously and is a standing agenda item at meetings.
- Regard is had for individuals' personal and work problems, and there is direct and rapid action to identify and resolve individual problems in a caring and concerned manner.
- There is visible management, with managers appearing in the workplace and communicating about health and safety.
- Managers have an open door policy for reporting health and safety issues and concerns, and appropriate structures are in place (committees, Departmental Health & Safety Officers (DHSOs), and managers who will act on health and safety issues).
- Health and safety goals are not compromised by work demands and contribute positively to the University.

## Mauriora: Positive Health and Safety Culture

The identity and culture of the University influences staff, students and the communities in which they are based. This includes how the University values health and safety and how it demonstrates these values.

### Health and Safety Mauriora would mean that:

The University of Otago is a people first University, which provides a safe and healthy place of work that aims not only at preventing harm, but also at increasing the health and well-being of staff, students and the community.

- The University of Otago provides leadership for the way health and safety is implemented in the tertiary sector in NZ.
- Health and safety at the University of Otago enhances and enables safe research and teaching, and will not stifle research and other activities.
- The University of Otago develops and supports staff and students so they are aware of health and safety.

## Waiora: Physical Environment

The University of Otago provides a safe environment and workplace for all staff, students and others. The work environment is free of contaminants, and occupational health is fostered to prevent the effects of work related ill health.

### Health and Safety Waiora would mean that:

- The environment is clean and free of contaminants.
- Work tasks are designed to ensure a safe working environment.
- Activities are appropriately assessed to ensure a safe work environment.
- When buildings are planned and designed, end user input will be utilised to ensure they are fit for purpose.
- Health and safety systems are monitored, audited and continually improved.

## Toiora: Healthy Lifestyles

The University of Otago encourages healthy lifestyles within the University community. Wellbeing and health improvement initiatives need to be delivered through the workplace.

### Health and Safety Toiora would mean that:

- Staff with non-work related injury and/or illness are supported to remain at work or return to work, alongside the Accident Compensation Corporation (ACC) Partnership Programme.
- A flexible management approach is implemented to allow staff to care for family and those that are important to them, in times of need.
- Health initiatives are available to staff.
- Smoking cessation support is available and free to staff and students.

## Te Oranga: Participation in Society

Community service and participation is a requirement of the University's strategic direction and the 'Town and Gown' relationship is very important. Producing health and safety conscious and competent graduates directly improves health and safety in New Zealand workplaces.

### Health and Safety Te Oranga would mean that:

- University of Otago graduates are recognised as health and safety conscious and prepared.
- The University of Otago is a leader in health and safety in the tertiary sector.
- The University of Otago works in partnership with contractors and community partners to actively manage risks to health and safety.
- The community recognises the University as being health and safety conscious.

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« A mature safety culture that has strong leadership moves an organisation from a reactive and compliance driven focus Health and Safety system, to an enabling and continuous improvement culture. »

## Health and Safety Governance Charter – Kawanatanga

- 1.1 As the University's governing body, the Council is responsible for the health and safety of all persons within the University community. This includes staff, students, visitors, and others on campuses or affected by work activities conducted by the University.

The Council is required to:

- gain an understanding, in respect of health and safety, of the nature of the operations of the business or undertakings of the University, and generally, of the hazards and risks associated with those operations
- satisfy itself that the University has appropriate policies and practices for health and safety in place, and has effective measures to implement and review them
- ensure that a Health and Safety Committee is established, meets regularly, receives regular management reports, and reports directly to Council
- ensure that there are effective mechanisms by which staff are consulted on health and safety, and that staff understand their responsibilities in respect of managing risks to health and safety
- ensure that facilities are provided to enable staff to appoint health and safety representatives and to enable these representatives to discharge their responsibilities
- ensure reviews and audits are undertaken to verify that the statutory obligations and policies of the University are being met
- ensure the ongoing development of up-to-date health and safety risk management plans.

- 1.2 In discharging these responsibilities, the Council is advised in particular by the Vice-Chancellor, the Chief Operating Officer, and the Head, Health and Safety Compliance.

The Council will:

- receive regular reports from the Head, Health and Safety Compliance, the Health & Safety and Ethics Compliance Committee, and the Audit and Risk Committee
- be kept up to date with the key risks or dangerous activities undertaken across the University campuses
- ensure that the University has appropriate processes for receiving and considering information regarding incidents, hazards and risks, and for responding in a timely way to that information
- be notified of any incidents carrying significant risk to health and safety, of any enforcement action taken against the University by WorkSafe New Zealand, the Ministry of Primary Industries, Accident Compensation Corporation, Environmental Protection Authority, Maritime New Zealand, the Fire Authority, the New Zealand Police Authority, and other relevant authorities, and of the action taken in respect of such incidents or enforcement action
- ensure that the University has available, and utilises, appropriate resources and processes to eliminate or minimise risks to health and safety from work carried out as part of the conduct of its business or undertakings
- ensure that the implementation of health and safety policies and practices are reasonably resourced.

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◀ the Council is responsible for the health and safety of all persons within the University community ▶



## Health and Safety Policy

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|                                  |                                    |
|----------------------------------|------------------------------------|
| Category or Type                 | Health and Safety                  |
| Originally approved by, and date | Council, October 2016              |
| Date Policy will take effect     | 11 October 2016                    |
| Last approved revision           | 6 September 2016                   |
| Sponsor                          | Chief Operating Officer            |
| Responsible Officer              | Head, Health and Safety Compliance |
| Review date                      | 11 October 2021                    |

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### Purpose

The health, safety and welfare of workers and students is of prime importance at the University of Otago, and it is the University's intention, to meet the legislative requirements, to strive for excellence in health and safety management and to be a national leader within the tertiary sector.

### Organisational Scope

All University of Otago workplaces, workers, students, visitors, and members of the public lawfully on University sites.

### Policy Content

1. It is the policy of the University, so far as is reasonably practicable, to protect the health, safety and welfare of all workers, students, and people on site, and to act in compliance with our legal obligations, including New Zealand standards and codes of practice relevant to the University.
2. Within this policy, the University aims to manage effectively the risk of hazards arising from its facilities or activities, and in particular the University will:
  - a. provide and maintain a safe working environment, plant and systems for workers, students and visitors that are safe and without risk to health
  - b. provide such information, instruction, training and supervision as is necessary, to ensure that risks of hazards to health and safety are identified, understood and managed effectively
  - c. establish health and safety objectives which will be reviewed each year through internal audit processes and performance review processes to ensure continual improvement in health and safety management
  - d. support workers through the provision of resources to achieve the required health and safety objective outcomes
  - e. require accurate reporting, notification and investigation of all injuries and incidents
  - f. provide prompt, effective work-based rehabilitation for all work-related injuries, and non-work injuries where appropriate and possible

- g. provide the training and information necessary to the University's leaders to ensure an appropriate level of competency in health and safety related matters
  - h. foster and encourage education in safe working practices for students who in turn will become workers when they leave the University
  - i. provide adequate consultation processes for health and safety matters, and actively encourage participation of students, and workers and their representatives, including union representation
  - j. provide a comprehensive occupational health and safety management system
3. All University of Otago workers have responsibilities under the legislation requiring that no action, or inaction by the worker, causes harm to themselves or any others in the workplace. In particular, the University of Otago requires all workers to:
- a. report all incidents and injuries as soon as practicable after the event
  - b. participate in the health and safety management systems in operation within the University, including the wearing of safety equipment provided
  - c. report to relevant health and safety staff any identified risks to health and safety of staff, students or visitors
  - d. actively participate in rehabilitation for work related injuries/illnesses.
4. The University's health and safety performance will be monitored and reviewed by:
- a. quarterly reports to Council and the Vice Chancellor's Advisory Group from the Head, Health and Safety Compliance on health and safety performance
  - b. the annual health and safety performance report including goal setting and achievements, policy reviews, significant events, corrective actions and auditing results
  - c. external audits including the annual ACC audit process.

## Related Policies, Procedures and Forms

### Legislation

Health and Safety at Work Act 2015

### University

Health and Safety Policies and Guidelines

### Additional

ACC Partnership Programme Agreement

## Contact for further information about this Policy

If you have any queries regarding the content of this policy or need further clarification, contact Andrea McMillan (Head, Health and Safety Compliance) at [andrea.mcmillan@otago.ac.nz](mailto:andrea.mcmillan@otago.ac.nz) or (03) 479 7380.

## Health and Safety Roles and Responsibilities

This document outlines the specific health and safety responsibilities by position within the University of Otago Occupational Health and Safety Management System.

### Council (Officers of the University)

The Council is the University's governing body and has overall responsibility for managing the University's corporate risks, including those related to health and safety. Council has delegated responsibility for deciding the University's health and safety management strategy and formulating safety policy to the Vice-Chancellor and the University management.

### Vice Chancellor (Officer of the University, PCBU)

The Vice-Chancellor (VC) is the employer of all staff and is the person with legal responsibility for conducting a business or undertaking (PCBU), and along with the University Council is responsible for ensuring that relevant health and safety legislation is complied with by the University.

#### The Vice-Chancellor must ensure that:

- the University has in place relevant policies and methods for managing any resource to enable the health and safety of staff, students and authorised visitors to the University.
- The Vice-Chancellor must ensure that strategies, systems, resources and procedures are in place to provide for the implementation of any policies and associated protocols involving health and safety.
- all policies and procedures in respect of managing risks to health and safety are communicated to staff.
- the University Health & Safety and Ethics Compliance Committee is kept fully informed of any relevant matter involving the identification, assessment and management of risks to health and safety involving the University.
- the policies for managing risks to health and safety are reviewed on a biennial basis.
- there is no impediment within the reporting systems to anyone raising a matter relating to risks to health and safety.

The Vice-Chancellor also has the authority to take whatever executive action is considered necessary to manage risks to individuals and/or to the University community. In exceptional circumstances, this may include summarily closing down University buildings, sites, operations or activities.

On a day-to-day basis, the Vice-Chancellor delegates this executive action to senior members of staff. In the absence of the Vice-Chancellor an Acting Vice-Chancellor is always nominated.

## Senior Management

Senior Management (VC, DVCs, PVCs, Directors, COO, CFO) have key health and safety responsibilities for developing, implementing and improving the University's health and safety system as an integral part of day-to-day operations, with support from the Central Health and Safety Team. This is achieved through:

- complying with the requirements of University Health and Safety policies, codes of practice, compliance manuals, guidelines and procedures
- providing leadership and direction in matters of health and safety
- allocating the necessary human and financial resources for health and safety
- developing staff commitment to achieving excellent health and safety standards
- developing a clear chain of responsibility for health and safety matters through normal line management channels
- establishing and achieving overall health and safety goals and objectives as part of the business and/or strategic plans for their areas of responsibility
- including measureable health and safety objectives in the overall performance objectives of staff
- demonstrating a commitment to continually improving health and safety performance
- demonstrating a commitment to the accurate reporting and recording of health and safety matters
- supporting health and safety committees within their division/departments
- participating in regular documented health and safety management audits and taking steps to remedy any deficiencies
- sustaining interest in and communications about health and safety through their division
- supporting staff member participation in health and safety activities
- formally acknowledging excellence in health and safety.

## Deans, Centre Directors

Deans and Centre Directors in the academic structure generally have other line management reporting lines, and report to a senior manager. As the area of influence and span of management is generally broader than Heads of Departments (HoDs), these positions have similar requirements to senior management and include:

- complying with the requirements of University Health and Safety policies, codes of practice, compliance manuals, guidelines and procedures
- providing leadership and direction on health and safety matters
- allocating sufficient resources for health and safety management
- establishing health and safety reporting processes from Line Managers on safety actions, compliance and incidents
- including measureable health and safety objectives in the overall performance objectives of staff

- demonstrating a commitment to continually improving health and safety performance
- demonstrating a commitment to the accurate reporting and recording of health and safety matters
- participating in regular documented health and safety management audits and taking steps to remedy any deficiencies
- sustaining interest in and communications about health and safety through their division
- supporting staff member participation in health and safety activities.

## Line Managers

Line Managers, (HODs, Managers) are responsible for taking reasonably practicable steps to create a safe and healthy work environment. These include:

- complying with the requirements of University Health and Safety policies, codes of practice, compliance manuals, guidelines and procedures
- implementing hazard/risk management procedures in every work area under their control. This includes formalising regular reviews of currently identified hazards and arranging for new processes, equipment or chemicals to be assessed for action and potential hazards prior to use
- taking reasonably practicable steps to eliminate hazards and risks, and where this is not possible, taking all reasonable practicable steps to minimise the risks and hazards
- informing staff, students (and contractors in appropriate circumstances) of any hazards to health and safety which are known to be associated with the key work they perform and the steps to be taken to control any such hazard
- ensuring that all staff members receive appropriate training and are involved in the improvement of systems and practices where relevant
- ensuring that unsafe acts and unsafe conditions are appropriately addressed
- conducting health and safety inspections and audits as scheduled and taking steps to remedy deficiencies as recommended
- ensuring all events are recorded accurately, investigated and reported
- ensuring that the health and safety implications of new research or novel technology are fully considered.

## Supervisors

Supervisors are any staff who have direct or indirect supervision of other staff or students. Supervisors are critical in relaying the importance of health and safety and their responsibilities include:

- representing the University as an employer while supervising staff or students in any University of Otago workplace
- providing a safe place of work for staff, students or others authorised to be in that place of work

- providing health and safety training to ensure competence for the work to be carried out in a safe manner. Where there is insufficient competence, adequate supervision of tasks is required
- being aware of the hazards and controls involved in the area of work
- ensuring all hazard controls are adhered to
- reporting any near hits, incidents or injuries to any person authorised to be in the place of work
- complying with the requirements of University Health and Safety policies, codes of practice, compliance manuals, guidelines and procedures
- providing feedback on areas of concern or areas requiring improvement to health and safety systems.

### Lecturers/Tutors and Demonstrators

Teaching, tutoring and demonstrating positions have specific health and safety responsibilities for staff and students involved. Anywhere that these activities take place becomes a place of work and the legislation applies. Responsibilities include:

- complying with the requirements of University Health and Safety policies, codes of practice, compliance manuals, guidelines and procedures
- the emergency evacuation of the lecture space
- the assessment of health and safety risks and implementing the appropriate controls for the activities associated with teaching.

### Principal Investigators (PIs)

PIs often have direct and indirect supervision of staff and students similar to that of Supervisors. In addition they must ensure that:

- they comply with the requirements of University Health and Safety policies, codes of practice, compliance manuals, guidelines and procedures
- all project proposals and grant applications take full account of the health and safety risks so the proposed research and the likely costs of mitigating these risks are included in the proposal/grant application
- an initial risk assessment is completed, all hazardous activities are assessed, and controls are identified and implemented before work commences
- all risk assessments and control procedures are regularly reviewed and properly documented, and these records are managed appropriately
- individuals are properly supervised until they have received the necessary instruction, information and training to ensure that they are competent to carry out their work.

## Individuals (staff, students and contractors)

All staff, students, visitors and contractors have responsibilities under the Health and Safety at Work Act 2015 and the University of Otago Occupational Health and Safety Management System (OHSMS) for:

- becoming familiar with and abiding by all applicable University policies and guidelines and relevant statutory obligations
- following established procedures to ensure safe performance of a given task
- reporting all events (injury, illness, near misses, incidents) regardless of severity
- reporting hazards which may result in an injury, illness, spill or fire
- advising colleagues and relevant staff members when unsafe acts and /or conditions occur
- correcting unsafe conditions when appropriate, possible and safe to do so; and behaving in a manner which does not endanger the health and safety of themselves, other employees or students
- In addition, for contractors, there may be specific requirements for site safety plans and work procedures to be documented and approved by the University, and
- contractors are required to report all incidents on site, including near misses, and have specific reporting responsibilities to external agencies (such as MBIE).

## Visiting workers

The University has a legal duty to safeguard the health and safety of all visitors to its premises.

- Visiting workers are expected to comply with safety procedures in the same manner as employees.
- When visiting staff disregard safety provisions, they are exposing the University to risk, and departments are required to take actions to address this risk.

## Staff who engage or manage contractors

Contractors on site have responsibility for ensuring that their work does not cause harm to their own employees, as well as to staff, students and visitors in the place of work. Contractors are managed through the University of Otago Health and Safety Compliant Contractors Policy and Procedure to ensure that all contractors engaged on site meet health and safety practice requirements.

- Only approved contractors are engaged for work on site
- Contractors attend an induction and must abide by the Health and Safety requirements of the University while on site.
- Regular monitoring of contractors is conducted to ensure safety standards are met
- Any incidents involving contractors are reported
- Where contractors are exposing the University to unacceptable risk, staff engaging contractors have the right to stop the work until resolved.

# Health Safety Framework

## Departmental Health & Safety Officers (DHSO)

DHSOs have specific health and safety responsibilities within their department/work area. All DHSOs should have the DHSO job description requirements included in their job description and have a time allocation to allow them to complete the related tasks. The tasks include:

- complete hazard identification and maintain the hazards register within Vault including reviews of the register and hazard auditing
- maintain the incident register through Vault for the department and to complete investigations
- report hazard management issues that require further controls to the HOD/Manager
- implement health and safety initiatives from the University Health and Safety Team
- liaise with Departmental Emergency Wardens to ensure emergency procedures are in place and practiced as necessary
- ensure that effective health and safety training, information and supervision is available to those who require it
- complete the induction of new staff with respect to the health and safety requirements
- act as a resource for information on health and safety matters
- liaise with other departments and organisations as necessary.

## Workplace First Aiders

First Aiders in departments are responsible for the provision of first aid care to anyone injured in their place of work. First Aiders are required to complete a Comprehensive First Aid Course (unit standard 6400, 6401 and 6402) and are specifically designated as the First Aider in the workplace. Depending on the department, the First Aider may or may not be responsible for the first aid kits in the department.

## Fire Wardens/Building Wardens

Building Wardens and Emergency Wardens are designated responders in the event of the fire alarm sounding or any other reason for evacuation of a building. They are trained in the evacuation of their particular building and liaise with the Fire Service. Fire drills are required to be held every semester.

## Health and Safety Representatives

Health and Safety Representatives are elected as per the Employee Participation Agreement, as an alternative mechanism to report any health and safety concerns, and to further health and safety management and delivery. Health and Safety Representatives:

- are an additional contact point for staff and students to raise health and safety issues
- provide support to DHSOs in the provision of health and safety information
- facilitate increased involvement by employees and their representatives in health and safety matters.



## Glossary

**ACC:** The Accident Compensation Corporation which provides comprehensive, no fault personal injury cover for all New Zealand residents and visitors to New Zealand.

**CFO:** Chief Financial Officer.

**COO:** Chief Operating Officer.

**DHSO's:** Departmental Health and Safety Officers.

**DVC:** Deputy Vice-Chancellor.

**Health and safety systems:** refer to Occupational Health and Safety System.

**HOD's:** Heads of Departments.

**MBIE:** Ministry of Business, Innovation and Employment.

**Ministry of Business, Innovation and Employment:** The Government led business-facing agency whose purpose is to grow the New Zealand economy to provide a better standard of living.

**Officer:** In the Health and Safety at Work Act 2015 this means:

- (a) if the PCBU is –
- (i) a company, any person occupying the position of a director of the company by whatever name called;
  - (ii) a partnership (other than a limited partnership), any partner;
  - (iii) a limited partnership, any general partner;
  - (iv) a body corporate or an unincorporated body, other than a company, partnership, or limited partnership, any person occupying a position in the body that is comparable with that of a director of a company; and
- (b) includes any other person occupying a position in relation to the business or undertaking that allows the person to exercise significant influence over the management of the business or undertaking (for example, a chief executive); but
- (c) does not include a Minister of the Crown acting in that capacity; and
- (d) to avoid doubt, does not include a person who merely advises or makes recommendations to a person referred to in paragraph (a) or (b).

**OSHMS:** Occupational Health and Safety System.

**Occupational Health and Safety System:** the structures, planning, procedures, activities and resources the University applies to the improvement and maintenance of Occupational Health and Safety (OHS) performance and standards across the University.

**PCBU:** Person conducting a business or undertaking. In the Health and Safety at Work Act 2015 this means a person conducting a business or undertaking:

- (i) whether the person conducts a business or undertaking alone or with others; and
- (ii) whether or not the business or undertaking is conducted for profit or gain;

But does not include:

- (i) a person to the extent that the person is employed or engaged solely as a worker in, or as an officer of, the business or undertaking;
- (ii) a volunteer association;
- (iii) an occupier of a home to the extent that the occupier employs or engages another person solely to do residential work;
- (iv) a statutory officer to the extent that the officer is a worker in, or an officer of, the business or undertaking;
- (v) a person, or class of persons, that is declared by regulations not to be a PCBU for the purposes of this Act or any provision of this Act.

**PVC:** Pro Vice-Chancellor.

**Safety culture:** The attitude, beliefs, perceptions and values that employees share in relation to safety in the workplace. Often described by the phrase “the way we do things around here”.

**VC:** Vice-Chancellor.