



Health & Safety Report

Contents

1. Recommendation	3
1.1 Board Strategic Alignment	3
1.2 Executive Summary	3
1.3 Statistical Snapshot	4
2. H&S Scorecard for April 2020	5
2.1 H&S Performance Graphs	5
2.2 Lead Indicators	5
2.3 Lag Indicators	6
2.2.1. H&S Injury Scorecard – April for AT Staff	6
2.2.2. Lost Time Injuries	7
2.2.3. Incident Reporting	9
2.2.4. Top three incident classifications	10
3. Safety Critical Risk Areas Update	11
4. WorkSafe NZ Notifications	13
5. AT Staff Related Injury Incidents	14



6. H&S Activities	15
6.1 Audit Activities	15
6.2 H&S Audit Schedule	16
6.3 Board H&S Engagement Activities.....	16
6.4 Programmes of Work	16
7. Glossary	17



1. Recommendation

That the Board notes the Health and Safety (H&S) report for Auckland Transport (AT) for March and April 2020.

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1.1 Board Strategic Alignment

AUAHATANGA <i>Better, Bolder, Together</i>	<i>This report details business-wide actions, and Key Performance Indicators to assist the board in meeting their due diligence obligations</i>
MANAAKITANGA <i>We Care ... Full Stop</i>	<i>This Report demonstrates integrity associated with meeting ethical and legal obligations</i>
TIAKITANGA <i>Safe with us</i>	<i>This report comments on the work our people are undertaking and the Critical H&S Risk areas facing AT, including the work being done to address these.</i>
WHANAUNGATANGA <i>We Connect</i>	<i>This report details workplace safety audit results and reports findings and updates to the Executive Leadership Team and Board</i>

1.2 Executive Summary

This report provides a summary of H&S activities across the organisation covering:

- **H&S Events** – Over the past 12 months there has been a steady increase in the number of cases reported in Synergi; albeit a lowered number of reporting (approximately half) for the month of April compared to the previous months due to the pandemic lockdown. AT H&S team continues to capture COVID-19 related events using Synergi for case-management purposes.



In response to provide visibility of COVID-19 related cases and supporting AT staff working from home during pandemic lockdown, Synergi cases relating to AT employees are created in bulk on Mondays, Wednesdays and Fridays using information obtained from the COVID-19 Tracker and the COVID-19 mailbox. External contractors and operator events are also captured within Synergi although these events are not represented in the COVID-19 Tracker. Work has continued regarding supporting those individuals working from home with specialist ergonomic needs. The process involves an ergonomic assessment, albeit carried out remotely, utilising the skills of the Safety teams Occupational H&S Specialist. Currently 23 Auckland Transport employees have utilised this service with 16 cases now closed and 7 still active.

- H&S and BT have successfully implemented the resolution in Synergi to match Auckland Transport's new organisation structure for case triaging; including tidying cases to new hierarchy and modify divisional reporting dashboards.
- The H&S Case Management and Reporting system project has started and is being worked on with BT. Facilitated workshops will be conducted which will include functions within AT and our external partners.
- **H&S Performance** – The trends for all indicators are generally stable or improving up to March. As expected, the activity and reporting in April drops off as a direct consequence of the pandemic lockdown:
 - Drug and alcohol testing numbers (contractors and operators) were stable although some external operators were unable to upload their data as they were unable to access Synergi;
 - There were no 'not negative' results in March and April.
 - Total Recordable Injury Frequency Rates for all AT employees continues to be a stable trend from prior months.
 - There is a marginal increase in the total recordable injury frequency rate for AT employees.
 - There are three new lost time injury cases in March and none in April; with 39 lost-time injury days in total (there is one LTI in March that has 19 days carried over into April).

1.3 Statistical Snapshot

The data in this report is accurate until the end of April with the following being a brief synopsis of points of interest:



There were two WorkSafe notifiable events in this reporting period. See section 4 WorkSafe NZ Notifications for details.



2. H&S Scorecard for April 2020

The following section describes key performance areas across AT.

2.1 H&S Performance Graphs

Attachment 1 entails a summary of H&S Performance Indicators for May 2019 to April 2020.

2.2 Lead Indicators

- **Required Certifications**

The Health Safety and Wellbeing (HS&W) Essentials module has been completed by 91.3% of employees who have been with AT for 90 or more days. The Health and Safety (H&S) Synergi module has been completed by 82.6% of employees who have been with AT for 90 or more days. The Learning and Development team is going to push for completion of all Required Certifications.

- **Training**

The Working from Home e-learning module has been released and completed by 162 people in the latest month April.

- **Audits**

- A detailed Safety Audit Report on TransUrban has been prepared. The H&S Team have sought TransUrban's feedback / comments.
- The H&S Team have been engaging with the Metro Bus Services Team to start progressing audits scheduled for the other bus operators. However, the bus operators have understandably been preoccupied with the re-establishment of bus operations entering into COVID-19 Alert Level 2, consequently these audits have been pushed back to later in May
- Site visits were on hold during April. A timetable will be set in May in anticipation of level 2, as part of the commitment to safety leadership.

- **Authorisation to work (ATW)**

ATW number are increasing with the move to level 3. Of the seven ATWs processed, two are awaiting more info, and one is on hold. Hence the percentage within 10 days is lower than target.



Lead Indicators	Completed April 20	Completed in March 20	Completed in Feb 20	Target
HS&W Essentials module e-learning for active staff in ThinkTank	91.3%	90.6%	93.9%	100%
H&S Synergi module e-learning for active staff in ThinkTank	82.6%	83.4%	83.1%	100%
Number of H&S Audits progressed against plan.	100%	60%	50%	100%
Number of H&S Audit actions closed and completed	-	-	-	100%
ATW completed (within 10 working days)	57%	100%	95%	100%

2.3 Lag Indicators

Lag indicators are those indicators which measure AT's incidents in the form of past incident statistics. They are a traditional safety metric and are a snapshot in time.

2.2.1. H&S Injury Scorecard – April for AT Staff

Work Related Injury Statistics	April 2020	March 2020	February 2020
Total Recordable Injury Frequency Rate (TRIFR)	4.3	4.6	4.7
Medical Treatment Injury Frequency Rate (MTIFR)	3.1	3.5	3.7
Lost Time Injury Rate (LTIFR)	2.0	2.1	2.2
Number of Lost Time Injuries (LTI)	0	3	4
Lost Time Injury Duration	19 days (carried forward from March)	20 days 	10 days



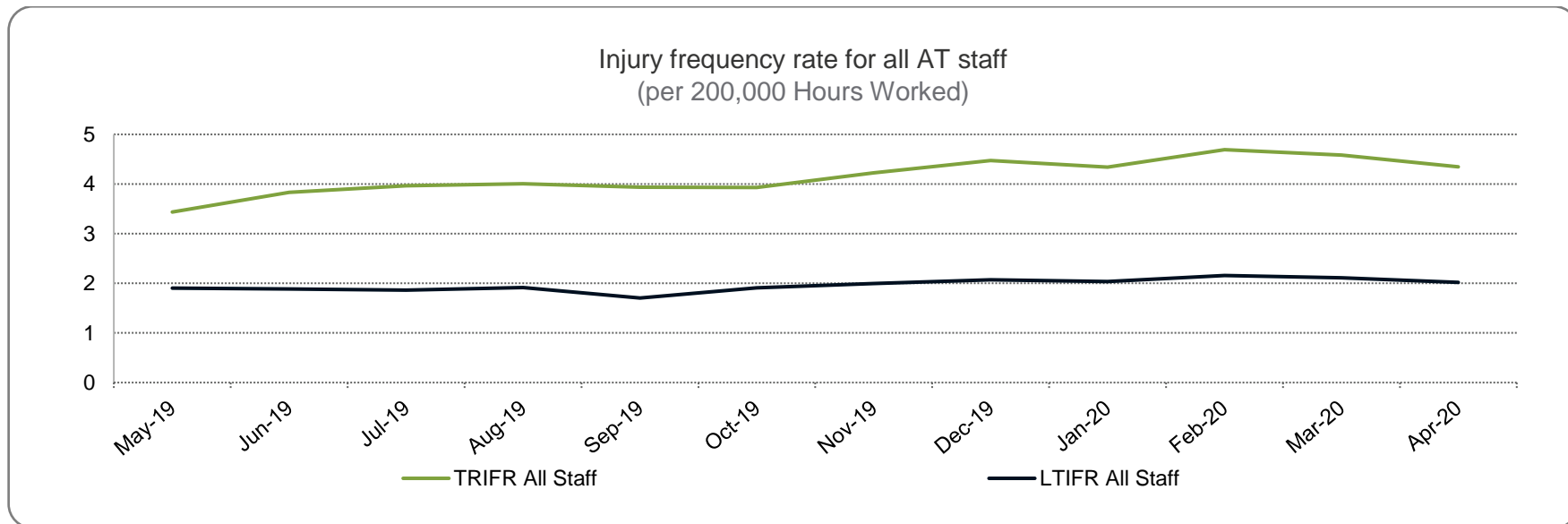
2.2.2. Lost Time Injuries

Lost-time days increased over the COVID-19 lockdown period in March and April. Twenty days of LTI resulted from 3 injuries in March, with a further 19 days' LTI for one Transport Officer, whose LTI extended through the month of April, as a result of alternative (light) duties not being available to him to facilitate an earlier return to work during lockdown. This resulted in 19 days of LTI for April.

During the period of COVID-19 lockdown, a module for injury prevention, 'Working from Home Safely' was co-designed with collaboration between OHSS and Learning and Development Team. Content was provided by OHSS and transformed by Learning and Development designers, who added a Maori cultural perspective. This interactive e-learning launched on 18 April, has had a reasonably good uptake and feedback.

Subsequent to the training, 21 requests for support with virtual workstation assessments and support, were registered in Synergi. Employees were supported with education and advice on how to correct their workstations, adopt healthier work habits and obtain equipment to resolve ergonomic issues arising from working from home. Good collaboration between Corporate Accommodation, Business Technology, employees and OHSS has enabled corrective and preventative strategies to be implemented successfully.

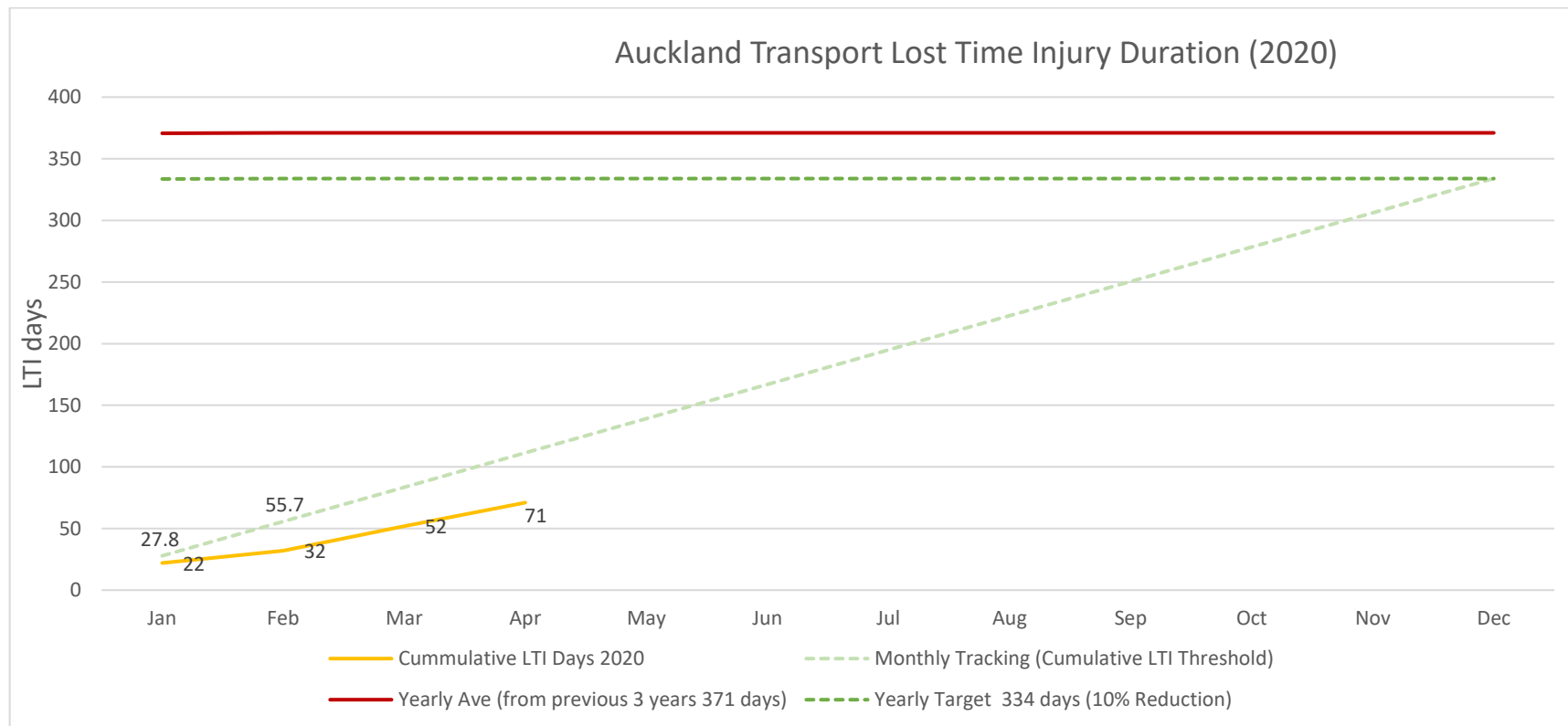
Two influenza vaccination clinics for essential workers took place at 20 Viaduct Harbour Avenue on 28 and 29 April respectively, with a total of 121 employees attending these. Two further clinics are being held on 20 and 28 May respectively. Total number of employees vaccinated will not be available until 30 June, when clinics have been completed and the pharmacy redeemable vouchers expire.





The H&S Team have adopted a target focussing on the reduction in the number of days lost as the result of injury. In order to identify the appropriate reduction, data was collected from Synergi for the last 3 years, averaged out and then a 10% reduction factored in – this data is represented in the graph below.

Note: The raw data is only that which has been obtained from Synergi and does not necessarily correspond to SAP or the ACC Claim Portal. Further work is being undertaken to verify accuracy of data.



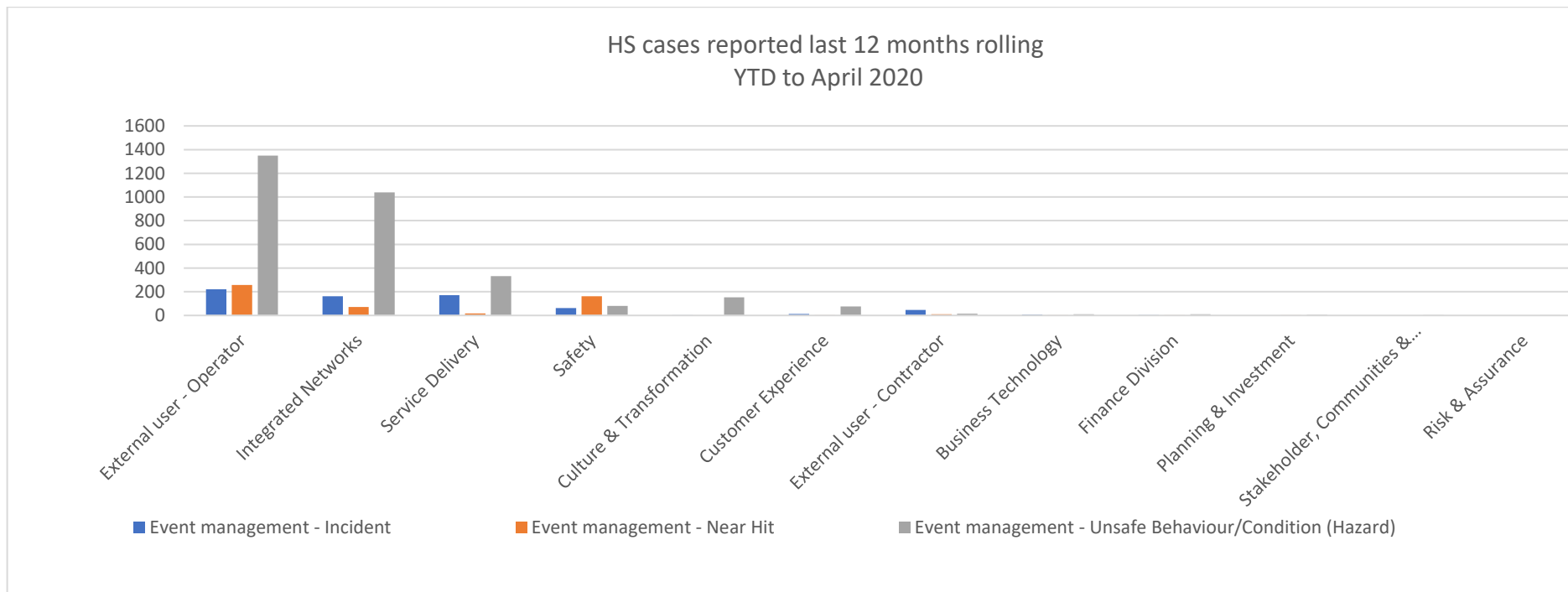


2.2.3. Incident Reporting

The number of cases were reported by public transport operators, Integrated Networks and Service Delivery Teams remain a consistent trend compared to the previous reports; reflecting the number of projects and risks associated with the job activities carried out by our workers in these departments to keep Auckland moving.

There is a total of 501 cases that were reported into Synergi (338 cases in March and 163 cases in April). Of the total H&S events reported 92% of the total H&S events reported over the last month were lead indicators (near miss or unsafe behaviour/condition events). There has been a continued downward trend in near miss reporting since October 2019. Outstanding login issues for contractors for Synergi access are believed to be one of the issues impacting the number of events being reported into the system (but dealt with). With the recent system improvement made in Synergi, work will resume to work with Business Technology team for onboarding to ensure contractors are able to log into Synergi and report in a timely manner.

The top three incident classifications are listed in the next section.





2.2.4. Top three incident classifications

The top three incident classifications for May 2019 – April 2020 are as follows:

Event Classification	Incident	Near Miss	Unsafe Behaviour/Condition	Total
Vehicle incident	149	157	398	704 (16%)
Violence & abuse	157	25	413	595 (13%)
Anti-social behaviour	10	5	543	558 (12%)

Majority (83%) of the vehicle incidents reported are bus related – bus vs vehicle (35%), bus vs object (16%), bus vs bus (12%), unsafe driver driving/behaviour (14%) and bus vs pedestrian (6%); other vehicle accidents involving pedestrians, cyclist or animals (17%).


Work on the Threats and Aggression programme is ongoing and a Behavioural Experimental programme relating to de-escalation training for affected AT staff is being conducted. While the first two sessions have been delivered the Level 4 COVID-19 Lock Down has forced a postponement to all scheduled People Skills & Challenging Interactive workshops; the online workshop have now resumed by the Learning & Development team.

There were 167 unsafe behaviour/condition cases (including non-essential travellers) captured for AT employees and external workers in Synergi over March and April.






3. Safety Critical Risk Areas Update


The tables below highlight the top 5 Critical Risk areas that have had notable events during March and April.

Top 5 AT Critical Risk (Hazard)	Current status/Issues	Number of Issues	Action	#
 <p>Person in rail corridor (Train Operation)</p>	<ul style="list-style-type: none"> • Incidents, near misses and unsafe behaviours were a result of: <ul style="list-style-type: none"> ➢ 9 suicidal behaviours (1 actual fatality at Henderson train station and 8 attempted across the network) ➢ 35 Trespasses ➢ 19 Level crossing events on live tracks including vehicles or customers walking on live tracks, etc. ➢ 10 other train operation events such as customers trip, slip and fall on the platform or into the gap between train and platform. 		<p>Similar to February, there is a notable increased in suicidal attempts for the month of March and April compared to the previous month (4).</p> <p>Affected train stations for suicidal attempts in the reporting period were: Henderson, Orakei, Sunnyside, Avondale, Papatoetoe, New Lynn, Homai and Penrose in the reporting period.</p> <p>Over the last 5 years (since 2016), there were 145 suicidal attempts in our train stations; with more notable cases reported at these train stations: Middlemore (19), Papakura (9), Glen Innes (9), Papatoetoe (8), Otahuhu (6), Panmure (6), Greenlane (6), Avondale (5), Orakei (5), Newmarket (5) and Takarua (5).</p> <p>H&S team continues to work together with Operator for early intervention to address near miss and unsafe behaviour/conditions.</p> <p>Further work is required to minimise such events</p>	
	Incidents	2	Near Miss	7
	Unsafe Behaviour/Condition (Hazard)	64	Train services	73



Top 5 AT Critical Risk (Hazard)	Current status/Issues	Number of Issues	Action	#
 Threats & aggression towards AT Staff (Violence Towards Staff from Public)	<ul style="list-style-type: none"> 73% of the Violence and Abuse cases impacting our workers are aggressive behaviour and racist remarks/ verbal abuse, including intimidation and threats 10 thefts for bus cashbox incidents in March compared to 13 in February. None in April. 		De-escalation training for our workers being implemented. All sessions up to June are full for registration but currently resumed with online learning platform due to COVID-19.	
	Incidents	26	Near Miss	4
	Unsafe Behaviour/Condition (Hazard)	38	Threats and Aggression towards staff	68
 Motor vehicle incident or accident (Motor Vehicle Operation)	<ul style="list-style-type: none"> Majority of the events involved buses, including minor collisions with cars. Out of the 2 Incident events March, both involving AT contractors resulted property in damage. 		The H&S team to work with Business Account Managers and Project Managers to identify causes and mitigations.	
	Incidents	2	Near Miss	8
	Unsafe Behaviour/Condition (Hazard)	44	Motor Vehicle Incident or Accident involving staffs	54
 Drowning (Person in water)	<ul style="list-style-type: none"> All the cases represented were lead indicators (near miss or unsafe). Majority (8 cases) were unauthorised swimming onsite at Beach Haven wharfs. 		The H&S team to work with Project Managers to identify causes and mitigation. Signage has been implemented but generally ignored.	
	Incidents	0	Near Miss	0
	Unsafe Behaviour/Condition (Hazard)	9	Drowning	9



Top 5 AT Critical Risk (Hazard)	Current status/Issues	Number of Issues	Action	#
 Service strike (Work Area with Services)	<ul style="list-style-type: none"> All reported cases were in March, including one major event involving a digger came in contact with live high voltage cable in Sunnyhills, Manukau. WorkSafe were notified. 		IMPAC has been commissioned to audit the AMETI site to include all stakeholders, AT, Fulton Hogan, Northpower and Vector.	
	Incidents	5	Near Miss	0
	Unsafe Behaviour/Condition (Hazard)	1	Services	6

4. WorkSafe NZ Notifications

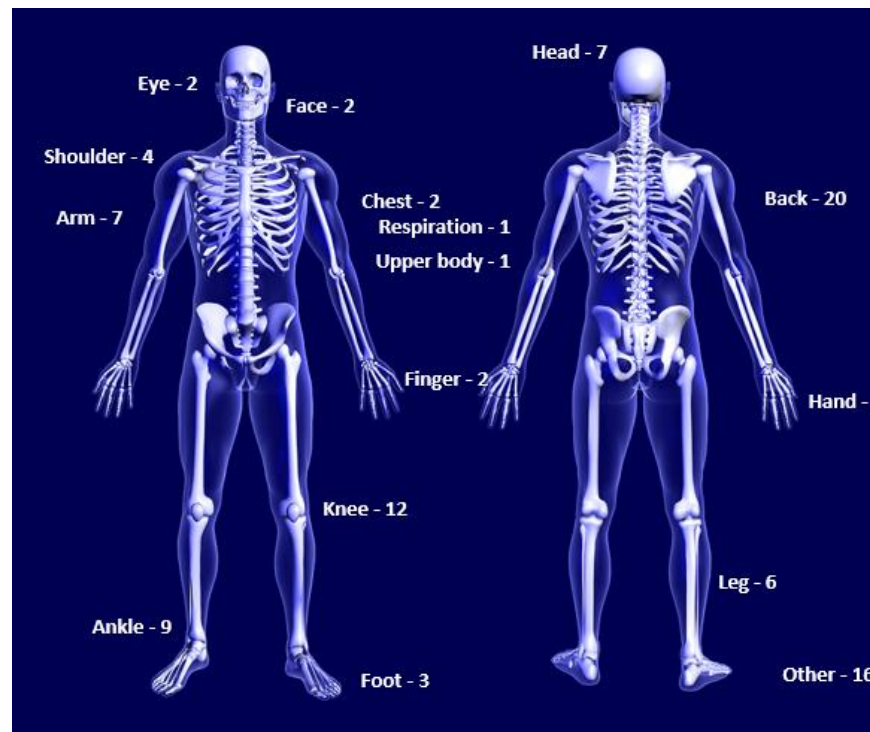
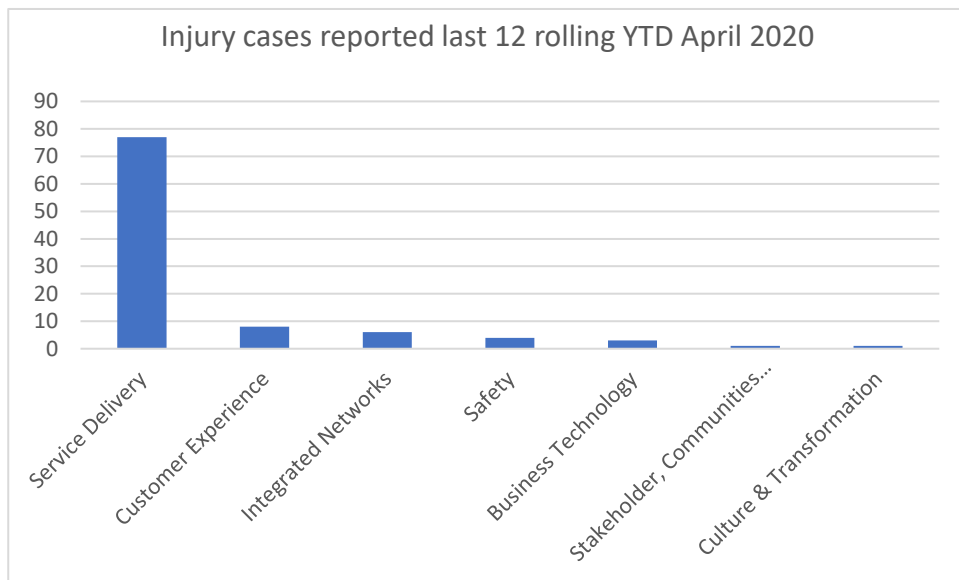
There were 2 WorkSafe notifiable events in March involving AT contractors performing construction or maintenance works:

- At a worksite in Takapuna, while the sub-contractor (CLL) was clearing out the newly drilled pile hole to ready it for sleeving, a steel wound rope holding the Kelly bar snapped. This caused further over loading of other safety ropes within the piling rig mast, causing the bolts on the hinge point of the mast to shear off. The top of the mast swung down like a pendulum, causing significant damage to the piling rig. There were no injuries. The worksite was evacuated, and the emergency notification process initiated. WorkSafe were notified by telephone and instructed the project team to preserve the site. The rig operator was DnA tested and found to not be under the influence of alcohol or narcotics. Specialists from the crane manufacturer have already been contracted to assist with the investigation process and Worksafe has offered technical support. The immediate cause was identified by the subcontractor that caused the mechanical failure. The subcontractor will amend their SOPs to include a visual inspection of the kelly bar whenever it is inserted or retracted from a piling hole. A detailed inspection of the kelly bar will be done whenever the rig is mobilised to/from site.
- While excavating for the routine replacement of kerbing and other maintenance work at the Sunnyhills (Manukau), the digger contacted a live high voltage cable. The cable strike caused several houses in the immediate vicinity to lose power. Work was immediately stopped, and the area was made safe. Fulton Hogan team's immediately door knocked the affected residents to ensure no one was on life support or a dialysis machine. No one was injured. WorkSafe were notified of the incident and have replied back to Fulton Hogan, informing that no further investigation is required from their end and case has been closed. Vector was called to repair the cable. Extra precautions have been noted by the contractor going forward to avoid any more service strikes on site. All services marked will be potholed 10m radius to ensure they are exposed before



excavation works will proceed; as all potential service locations should be potholed. Service mark outs alone should not be the sole indicator of service locations. They are only guides.

5. AT Staff Related Injury Incidents



Representation of injured anatomical areas for last 12 months (AT Staff up to April 2020)

An exploratory report of lost-time injuries and overall workplace injury claims has been completed, for the period 2016 to date. Analysis of ACC data has revealed the top 5 body parts injured, from highest to lowest being: knee, lumbar spine, ankle, hand and neck. The top injury mechanisms were 'slips, trips and falls', assaults, manual handling and poor ergonomics.

The Service Delivery department is over-represented in the injury profile, with 76% of all reported injuries occurring within this area, prompting the need for interventions required to address the high cost of injuries to the organisation.



Interventions identified as crucial to reducing the injury rate amongst Service Delivery include the following:

1. Improving competency and timely reporting (from employees and people leaders) to support early intervention and return-to-work
2. Facilitating employees to recover by addressing personal costs of seeking rehabilitation and medical assessments for workplace injuries, establishing alternative duties and trauma leave processes
3. Addressing employee fitness for work by implementing health surveillance and well-being initiatives, injury prevention, use of a consistent medical provider and improved employee selection processes.

A business case has identified the investment costs related to addressing employee health and wellbeing as an urgent priority within Service Delivery.

6. H&S Activities

6.1 Audit Activities

The ability to carry out audits has been restricted by the implement of the pandemic alert level system. While inspections in March continued at typical levels, April saw a drastic reduction in the number of inspections carried out. These were limited to emergency situations only as most worksites were deemed non-essential and were shut down.

The most common category of corrective actions issued during the period focused on personal protective equipment (PPE). Several workers on site were not wearing safety glasses while carrying out activities that pose a risk of injury to eyes. These oversights are mostly corrected immediately as PPE is readily available on site. There is resistance amongst some workers to wear PPE as it is viewed as uncomfortable or even hindering visibility and finger dexterity.

Some issues with implementation of traffic management plans (TMP) were also seen. These are usually resolved within 24 hours as temporary road signs would have to be brought on site. One TMP was confusing to motorists as they continued to travel against one-way traffic. This was on a site that was in place for only one day, and the contractor used traffic controllers to guide traffic safely through the site.

Guidelines issued to contractors recommend that all workers that are within the road corridor wear wrist to ankle coverings and hard hats. One inspection identified a worker in short sleeved hi-vis and a second identified several workers on a chip sealing task that were not wearing hard hats at all. The H&S guidelines to contractors have been identified for a refresh as part of the work stream in 2020.

An inspection checklist was developed in April to assess the implementation of the start-up protocols of contractors under alert level 3. As activities commenced at the end of April, most inspections were only carried out from May, but those that have been reviewed have shown that the contractors have been diligent in complying with these protocols. No corrective actions have been issued under the checklists already reviewed.

The H&S team supported the return to works (RTW) programme under level 3 by reviewing all site RTW's, the majority of which were to a very high standard, to ensure compliance with Covid and H&S requirements.



6.2 H&S Audit Schedule

A draft audit report has been issued to management of TranzUrban for comment.

The audit schedule has been placed on hold until June. Discussions with AT Metro highlighted the pressures that public transport operators are under due to the pandemic alert level system and movement between the alert levels. It was agreed that AT would not overburden them by requiring resources to also be directed at fulfilling audit requirements.

6.3 Board H&S Engagement Activities

Planning is underway for future Board and Executive Leadership Team site visits. Site visit assessment sheet developed and an email to ELT members sent to identify availability. Tentative programme and calendar in draft form.

6.4 Programmes of Work

Current areas of major work ongoing within the Safety Team:

- AS/NZS 45001 H&S Accreditation – On Hold, this will be restarted under Level 1, however due to timeframes for accreditation the process will have to be restarted. We are in a better position for the initial assessment than previously.
- Preparation for the replacement of the H&S Case Management has restated and in light of current conditions is being led in-house by BT. Team selected to take part in the workshops to determine core requirements.
- T3 and T4 H&S Management sessions – H&S Team reviewing content with a view to deliver as soon as we can in Level 1
- Parking of Car Transporters on the network.
- Engagement with CRL and Link Alliance around vulnerable road users during rail project, Safety Specialist recruited before the lockdown is now in place and supporting this work.
- H&S Reps, preparation for elections in July.



7. Glossary

HSWA	H&S at Work Act (2015)
LTI	Lost Time Injury (work injury)
LTIFR	Lost Time Injury Frequency Rate
MTIFR	Medical Treatment Injury Frequency Rate
TRIFR	Total Recordable Incident Frequency Rate
PCBU	Person Conducting a Business or Undertaking
ICAM	Incident Cause Analysis
OHSS	Occupational H&SSpecialist
A/A	As Above



Appendix 1 – Definitions

Definitions for Monthly Performance Scorecard

Lost time injuries	Includes all on-the-job injuries that require a person to stay away from work.
Lost Time Injury Duration	Measure of how much time in day(s), is lost for work related injury
Lost Time Injury Frequency Rate (LTIFR)	<p>LTIFR refers to the number of lost time injuries occurring in a workplace per 200,000 man hours worked. An LTIFR of seven, for example, shows that seven lost time injuries occur on a job site for every 200,000 man-hours worked. The formula gives a picture of how safe a workplace is for its workers.</p> <p>To further ensure that we see a trend in the LTIFR, this formula is applied over a 12-month rolling period, this way we can see a trend and eventually, the impact of initiatives on the LTIFR.</p>
Medical Treatment Injury Frequency Rate	<p>MTIFR refers to the number of medical treatment injuries occur per 200,000 man hours worked.</p> <p>To further ensure that we see a trend in the MTIFR, this formula is applied over a 12-month rolling period, this way we can see a trend and eventually, the impact of initiatives on the MTIFR.</p>
Total Recordable Incident Frequency Rate	<p>TRIFR is the rate of recordable injuries that occur per 200,000 man hours worked</p> <p>To further ensure that we see a trend in the MTIFR, this formula is applied over a 12-month rolling period, this way we can see a trend and eventually, the impact of initiatives on the TRIFR.</p>
BowTie methodology	A risk evaluation method that can be used to analyse and demonstrate causal relationships in high risk scenarios. It takes its name from the shape of the diagram that get created, which looks like a bowtie.
Required Certification	Mandatory training for all appropriate staff – can be conducted face to face or online where available via ThinkTank.