



Accident Insurance (Employer Premiums) Regulations 2001

Michael Hardie Boys, Governor-General

Order in Council

At Wellington this 26th day of February 2001

Present:

His Excellency the Governor-General in Council

Pursuant to sections 281C, 281E, 281F, and 407 of the Accident Insurance Act 1998, His Excellency the Governor-General, acting on the advice and with the consent of the Executive Council, makes the following regulations.

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Regulations

1 Title

These regulations are the Accident Insurance (Employer Premiums) Regulations 2001.

2 Commencement

These regulations come into force on 1 April 2001.

3 Application

These regulations apply in respect of premiums payable for—

- (a) the period 1 April 2001 to 31 March 2002; and
- (b) all following income years.

4 Interpretation

- (1) In these regulations, unless the context otherwise requires,—

Act means the Accident Insurance Act 1998

ANZSIC means the *Australian and New Zealand Standard Industrial Classification (New Zealand Version) 1996*, published in June 1997 by Statistics New Zealand; and includes any supplements or amendments to that publication published from time to time

classified means classified for the purpose of section 281D of the Act

due date has the same meaning as in paragraph (b) of the definition of that term in regulation 3(1) of the Accident Insurance (Premium Payment Procedures) Regulations 1999

employer premium means the premium payable by an employer under section 281B of the Act.

- (2) In these regulations, **activity**—

- (a) means a business, industry, profession, trade, or undertaking of an employer, a self-employed person, or a private domestic worker; and

- (b) includes ancillary or subservient functions relating to the activity, such as administration, management, marketing and distribution, technical support, maintenance, and product development; and
 - (c) in the case of a self-employed person, refers to the nature of his or her work rather than the context of business in which he or she is working.
- (3) In these regulations, a period described by reference to 2 dates (whether stated directly or determined indirectly) includes both those dates.

5 Classification of employees

- (1) Employees must be classified in the classification unit set out in Schedule 1 that most accurately describes their employer's activity.
- (2) This regulation is subject to regulations 6 to 8.

6 Classification of employers engaged in 2 or more activities

- (1) An employer that is engaged in 2 or more activities must classify all its employees in the classification unit for whichever of those activities attracts the highest premium rate under these regulations.
- (2) Despite subclause (1), an employer may classify its employees in separate classification units for different activities if—
 - (a) the employer is engaged in 2 or more distinct and independent activities; and
 - (b) each of these activities provides services or products to external customers in such a way that each activity could, without adaptation, continue on its own without the other activities; and
 - (c) accounting records are maintained by the employer to the satisfaction of the Corporation that—
 - (i) demonstrate the separate management and operation of each activity; and
 - (ii) allocate to each activity the earnings of employees engaged solely in that activity.
- (3) If an employer that satisfies the requirements of subclause (2) chooses to classify its employees in separate classification units for different activities, then each employee must be

classified in the classification unit that relates to the activity that the employee is recorded as being engaged in.

- (4) If an employer that satisfies the requirements of subclause (2) chooses not to classify its employees in separate classification units for different activities, then subclause (1) applies.

7 Classification of employees engaged in 2 or more activities

- (1) An employee who is engaged in 2 or more activities must be classified in the classification unit for whichever of those activities attracts the highest premium rate under these regulations.
- (2) If a particular activity accounts for 5% or less of an employee's earnings for the year, then that activity need not be considered when determining the correct classification unit under subclause (1).
- (3) Subclause (2) applies only if sufficient and accurate records are maintained to satisfy the Corporation that the apportionment of total earnings is correct.

8 Power of Corporation to determine classification and rate

- (1) If there is no classification unit set out in Schedule 1 that describes the activity of an employer, then the employer, or a representative of that employer, may apply to the Corporation for a determination of a classification unit.
- (2) The Corporation must then determine—
 - (a) a classification unit for that activity, which applies to all employers involved in that activity; and
 - (b) a premium rate for that classification unit.
- (3) If an employer is uncertain which, if any, classification unit applies to the activity of the employer, or if the Corporation disagrees with the classification unit that an employer has adopted, the Corporation may—
 - (a) determine which classification unit applies to that activity; or
 - (b) determine, under subclause (2), a classification unit and premium rate for that activity.
- (4) A classification unit determined under subclause (2) must be treated as if it were a classification unit set out in Schedule 1.

- (5) In determining a classification unit under subclause (2) or subclause (3), the Corporation may have regard to any ANZSIC industrial classification.

9 Employer premium

The employer premium payable by an employer must be paid at the premium rate that applies to the classification unit in which the employer is classified under these regulations.

10 Premium rates

- (1) The premium rate for each classification unit (other than a new classification unit determined under regulation 8) is the amount set out in Schedule 1.
- (2) Premiums rates, whether set out in Schedule 1 or determined under regulation 8, are expressed as dollars per \$100 of earnings.

11 Maximum earnings on which employer premium payable

The maximum amount of earnings on which an employer premium is payable by an employer in respect of any 1 employee is \$85,795 per annum.

Adjustments based on employers' safety management practices

12 Downward adjustment of employer premium

- (1) An employer premium payable by an employer may be adjusted downward if—
- (a) the employer satisfies an audit by an auditor, approved by the Corporation and conducted on the basis described in regulation 13, to 1 of the 3 levels described in that regulation; and
 - (b) the Corporation approves the downward adjustment.
- (2) An employer premium payable by an employer may be adjusted downward—
- (a) by 10% if the employer satisfies an audit to a primary level; or
 - (b) by 15% if the employer satisfies an audit to a secondary level; or

- (c) by 20% if the employer satisfies an audit to a tertiary level.
- (3) Decisions under this regulation about whether or not a downward adjustment to an employer premium is to be made and about the level of adjustment are decisions of the Corporation.

13 Basis and levels of adjustment

- (1) A downward adjustment of an employer premium is based on an audit of an employer's safety management practices that measures those practices against standards aligned to interim New Zealand Standard NZS4801 (INT): 1999, called Occupational Health and Safety Management Systems.
- (2) The requirements for verification to satisfy an audit to a primary level are specified in Part A of Schedule 2.
- (3) The requirements for verification to satisfy an audit to a secondary level are specified in Parts A and B of Schedule 2.
- (4) The requirements for verification to satisfy an audit to a tertiary level are specified in Parts A, B, and C of Schedule 2.
- (5) An auditor approved by the Corporation may, but is not obliged to, allow an employer up to 30 days to improve its safety management practices or aspects of them before finalising its audit report for the Corporation. The 30-day period commences when the auditor notifies the employer of the practices or aspects that could be improved.

14 Auditors

- (1) An audit for the purpose of regulations 12 to 17 (other than regulation 15(2)) must be conducted by an auditor approved by the Corporation.
- (2) The chief executive of the Corporation may approve a person to conduct audits of employers' safety management practices if the chief executive is satisfied that the person has the qualifications to undertake the audits.

15 Applications for audit

- (1) An employer may apply to the Corporation to have its safety management practices audited to see—
- (a) whether or not the employer premium payable by the employer qualifies for downward adjustment; and

- (b) if so, which of the percentage adjustments in regulation 12(2) is to apply.
- (2) Before applying under subclause (1), an employer must—
 - (a) itself conduct an audit of its own safety management practices based on the requirements described in regulation 13; and
 - (b) be able, based on that self-audit, to declare the belief that the employer would satisfy an audit, by an auditor approved by the Corporation, to at least a primary level.
- (3) The Corporation must seek to approve or disapprove an application by an employer under subclause (1), and advise the employer of the decision, within 10 working days of receipt of the application.

16 Determination of applications

- (1) The chief executive of the Corporation must decide which employers who applied under regulation 15 will be audited.
- (2) In making those decisions, the chief executive may consider—
 - (a) the date of receipt of an employer's application under regulation 15(1); and
 - (b) the declaration by an employer of the belief referred to in regulation 15(2)(b).

17 Subsequent audits

- (1) An employer who fails an audit, and is refused a downward adjustment, may not apply for another audit for at least 12 months after that refusal.
- (2) An employer who satisfies an audit to one of the levels described in regulation 12(2), and receives a downward adjustment to its employer premium, may not apply to the Corporation for a further audit of its safety management practices until after the expiration of 12 months from the completion of the audit on which that downward adjustment is based.
- (3) The Corporation may require an employer who has qualified for a downward adjustment to its employer premium to undergo a further audit, at a time specified by the Corporation, if—
 - (a) there is a fatal or serious injury at the employer's workplace; or

- (b) there is a cluster of injuries at the employer's workplace; or
- (c) the Corporation receives complaints from an employee or employees of the employer about safety standards at the employer's workplace; or
- (d) the ownership or control of the employer's business changes.

18 Application of premium adjustments

- (1) An employer who is entitled, in any income year, to a downward adjustment to its employer premium is entitled to have that adjustment applied to the employer premium payable—
 - (a) for that income year; and
 - (b) for the following income year.
- (2) However, the Corporation may decide, after an audit under regulation 17(3), to discontinue or alter a downward adjustment to an employer premium for an income year immediately following that audit.
- (3) A downward adjustment to an employer premium payable by an employer ceases to apply to an employer premium payable for periods after the end of the income year that follows the income year in which the employer became entitled to the adjustment.
- (4) The Corporation must notify an employer affected by subclause (3) about that effect at least 2 months before the second anniversary of the most recent audit of the employer's safety management practices.

19 Administration of adjustments

- (1) If possible, a downward adjustment to an employer premium is to be credited to the employer before the employer pays that employer premium.
- (2) If an employer qualifies for a downward adjustment to an employer premium after the employer has paid that employer premium,—
 - (a) the Corporation may credit the amount of the adjustment to the employer's account to be offset against payment of the employer premium for the next period; or

- (b) the Corporation must pay the amount of the downward adjustment to the employer if—
 - (i) the employer so requests; and
 - (ii) the employer's account with the Corporation is in credit, after the downward adjustment, of more than \$100.
- (3) The Corporation is entitled to adjust the amount of monthly instalments of employer premium payable by an employer if the Corporation decides, after an audit under regulation 17(3), to discontinue or alter a downward adjustment to an employer premium for a premium year immediately following that audit.

Collection and payment of premiums

20 Collection of employer premiums

The employer premiums for an income year are payable in advance and may be collected by the Corporation at any time on or after the commencement of the income year.

21 Employers may pay by instalments

- (1) An employer may enter into an agreement with the Corporation to pay the employer premium for an income year by monthly instalments.
- (2) If such an agreement is entered into, the employer must, in addition to the monthly instalments of premium, pay to the Corporation the relevant additional amount under regulation 23.

22 Lesser penalties for late payment

- (1) If the full amount of an employer premium has not been paid within 2 months of the due date, the penalty owing to the Corporation under section 322(2) of the Act is not 3 times the unpaid premium, but is instead—
 - (a) 10% per annum of the amount of unpaid premium if the employer has not entered into an agreement under regulation 21 to pay the premium by monthly instalments; or
 - (b) the penalty determined under regulation 23 if the employer has entered into an agreement under regulation 21 to pay by monthly instalments.

- (2) The total amount of penalty payable under this regulation in respect of an employer premium is not to exceed 3 times the amount of that premium.

23 Lesser penalties for late payment where monthly instalments agreed

- (1) If the full amount of an employer premium has not been paid within 2 months of the due date because the employer has agreed under regulation 21 to pay it in monthly instalments, the penalty owing to the Corporation under section 322(2) of the Act is not 3 times the amount of the unpaid premium, but is instead the total of—
 - (a) the penalty set out in subclauses (2) and (3); and
 - (b) in respect of each monthly instalment that is not paid by the date on which the instalment is due under the agreement under regulation 21, an additional penalty of 10% of the amount of that instalment.
- (2) The penalty referred to in subclause (1)(a) is a monthly amount of 6% of the average amount of the monthly instalments of premium agreed under regulation 21.
- (3) The penalty referred to in subclause (1)(a) is payable—
 - (a) for every month following the end of the calendar month in which the penalty-free period expires, until the full amount of the premium is paid; and
 - (b) at the same times as the monthly instalments of premium provided for under the agreement are paid.
- (4) In this regulation, **penalty-free period** means the period of 2 months after the due date for payment of the employer premium.
- (5) The total amount of penalty payable under this regulation in respect of an employer premium is not to exceed 3 times the amount of that premium.

24 Interest rate on employer premium overpaid

The interest rate payable on amounts that are refundable under section 281F(2) of the Act is 6.67% per annum, being the average 90-day bank bill yield rate published by the Reserve Bank of New Zealand for the week ended 4 December 2000.

25 Premiums exclusive of GST

The amounts of the premiums derived by applying the premium rates set out in Schedule 1 or determined under regulation 8, and after any adjustments under regulations 12 to 19, are exclusive of goods and services tax payable on the premiums.

26 Revocation and saving

- (1) The Accident Insurance (Employer Premiums) Regulations 2000 (SR 2000/54) are revoked.
 - (2) Despite subclause (1), but subject to subclause (3), those regulations continue to apply in respect of the period commencing on 1 July 2000 and ending on 31 March 2001.
 - (3) In the case of an employer who, during the period 1 April 2000 to 30 June 2000, has not maintained in force an accident insurance contract for all or part of that period, those regulations apply in respect of premiums payable for the period that consists of the total of—
 - (a) any period during the period 1 April 2000 to 30 June 2000 during which the employer did not maintain in force an accident insurance contract; and
 - (b) the period 1 July 2000 to 31 March 2001.
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Schedule 1 Classifications and premiums

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Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
Accommodation	57100	0.76
Accounting services	78420	0.26
Advertising services	78510	0.26
Aerial agricultural, horticultural, silvicultural, farming, and pest control services	02130	3.20
Aged care	86130	1.76
Agricultural machinery manufacturing	28610	1.40
Air conditioning and heating services	42330	0.94
Aircraft manufacturing and repair	28240	0.47
Alumina production	27210	2.54
Aluminium rolling, drawing, and extruding	27310	1.18
Aluminium smelting	27220	2.54
Ambulance services	86330	0.46
Ammunition manufacturing	27691	0.96
Animal or pet boarding	02191	0.45
Antique and used goods retailing	52520	0.89
Apple and pear growing	01150	1.31
Aquaculture	04200	1.61
Architectural aluminium product manufacturing	27420	1.18
Architectural services	78210	0.26
Art pottery manufacturing	26291	0.82
Artificial joints, eyes, and limbs	28321	0.33
Automotive component manufacturing (not elsewhere classified)	28190	0.96
Automotive electrical and instrument manufacturing	28130	0.96
Automotive electrical services	53220	0.63
Automotive fuel retailing	53210	0.63
Automotive repair and services (not elsewhere classified)	53290	0.63
Bacon, ham, and smallgoods manufacturing	21130	2.43
Bank operation	73210	0.28
Basic iron and steel manufacturing	27110	0.90
Basic non-ferrous metal manufacturing (not elsewhere classified)	27290	2.54
Battery manufacturing	28530	1.40
Beef cattle farming	01250	2.10
Beekeeping	01593	2.10
Beer and malt manufacturing	21820	0.45
Berryfruit growing	01192	1.31
Biscuit manufacturing	21630	1.56
Blinds installation or repair service	42591	0.61
Blood bank operation	86391	0.46
Boatbuilding	28220	2.66
Book and magazine wholesaling	47940	0.37
Book and other publishing (excluding printing)	24231	0.20
Book and other publishing (including printing)	24230	0.80
Bread and cake retailing	51240	1.03
Bread manufacturing	21610	1.56
Bricklaying services	42220	2.91
Building societies	73220	0.28
Building supplies wholesaling (not elsewhere classified)	45390	0.61

Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
Business administrative services	78540	0.26
Business and professional associations	96210	0.72
Business machine wholesaling (not elsewhere classified)	46140	0.38
Business management services	78550	0.26
Business services (not elsewhere classified)	78690	0.45
Cafes and restaurants	57300	0.76
Cake and pastry manufacturing—non-retail	21620	0.92
Car retailing	53110	0.63
Car wholesaling	46210	0.63
Cardigan and pullover manufacturing	22320	0.63
Carpentry services	42420	2.91
Casings manufacturing	21114	2.43
Casinos operation	93220	0.76
Cement and lime manufacturing	26310	1.88
Central bank operation	73100	0.28
Central government, including Crown entities and commissions—operation (not elsewhere classified)	81110	0.40
Ceramic product manufacturing	26220	0.82
Ceramic product manufacturing (not elsewhere classified)	26290	0.82
Ceramic tile and pipe manufacturing	26230	0.82
Cereal food and baking mix manufacturing	21520	0.92
Cereal grain wholesaling	45120	0.61
Chemical product manufacturing (not elsewhere classified)	25490	0.67
Chemical wholesaling	45230	0.38
Child care services	87100	0.55
Chiropractic services	86360	0.46
Citrus growing	01191	1.31
Clay brick manufacturing	26210	0.82
Cleaning services	78660	1.71
Clothing manufacturing (not elsewhere classified)	22490	1.17
Clothing retailing	52210	0.32
Clothing wholesaling	47220	0.37
Clubs—hospitality	57400	0.76
Coal mining—opencast	11010	2.14
Coal mining—underground	11011	2.14
Coastal water transport	63020	2.91
Combined primary and secondary education	84230	0.16
Commercial art and display services	78520	0.26
Commercial property body corporate	77121	0.45
Commercial property operators and developers (excluding construction)	77120	0.45
Commercial space heating and cooling equipment manufacturing	28670	1.08
Commercial vehicle wholesaling	46220	0.63
Community and non-residential care services (not elsewhere classified)	87290	1.34
Community health centre operation	86340	0.46
Computer and business machine manufacturing	28410	0.33
Computer consultancy services	78340	0.26
Computer maintenance services	78330	0.26
Computer wholesaling	46130	0.38
Concrete pipe and box culvert manufacturing	26340	1.88

Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
Concrete product manufacturing (not elsewhere classified)	26350	1.88
Concrete slurry manufacturing	26330	1.88
Concreting services	42210	2.91
Confectionery and soft drink wholesaling	47160	0.61
Confectionery manufacturing	21720	0.92
Construction material mining (not elsewhere classified)	14190	2.14
Construction services (not elsewhere classified)	42590	2.91
Consulting engineering services	78230	0.26
Contract labour hire—both office and non-office based	78622	0.89
Contract labour hire—non-office based	78621	2.91
Contract packing services (not elsewhere classified)	78670	1.05
Contract staff—office based workers only	78620	0.26
Copper, silver, lead, and zinc—smelting and refining	27230	2.54
Corrective centres	96320	0.72
Corrugated paperboard container manufacturing	23330	0.62
Cosmetic and toiletry preparation manufacturing	25460	0.67
Cotton textile manufacturing	22130	3.43
Counselling services (not elsewhere classified)	87291	0.46
Courier services	71120	1.28
Craft and gift retailing (not elsewhere classified)	52591	0.32
Crane hiring or leasing (with operators)	42101	1.24
Creative arts	92420	0.66
Credit union operation	73230	0.28
Crop and plant growing (not elsewhere classified)	01690	1.31
Cultivated mushroom growing	01692	1.31
Customs agency and freight brokerage services	66440	0.29
Cut flower and flower seed growing	01120	1.31
Dairy cattle farming	01300	2.10
Dairy produce wholesaling	47130	0.61
Dairy product manufacturing (not elsewhere classified)	21290	1.29
Data processing services	78310	0.26
Deer farming	01530	2.10
Defence	82000	0.54
Dental insurance provision	75210	0.28
Dental services	86230	0.46
Dentures fabrication	28322	0.33
Department stores	52100	0.32
Deposit-taking financiers (not elsewhere classified)	73290	0.28
Dog racing	93112	2.09
Domestic appliance retailing	52340	0.32
Domestic hardware and houseware retailing	52330	0.89
Electric cable and wire manufacturing	28520	1.08
Electric light manufacturing	28540	0.47
Electric sign manufacturing	28541	0.47
Electrical and electronic equipment wholesaling (not elsewhere classified)	46150	0.38
Electrical equipment manufacturing (not elsewhere classified)	28590	0.47
Electrical services	42320	0.98
Electricity energy supply	36102	0.45

Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
Electricity generation	36100	0.45
Electricity line system operation	36101	1.23
Electricity line system operation (excluding maintenance and construction)	36103	0.45
Electronic equipment manufacturing (not elsewhere classified)	28490	0.47
Employment placement services	78610	0.89
Explosive manufacturing	25410	0.67
Fabric and other soft goods retailing	52230	0.32
Fabricated metal product manufacturing (not elsewhere classified)	27690	1.61
Fabricated wood manufacturing	23220	1.26
Facilities management and cleaning services—contract (not elsewhere classified)	78661	1.71
Farm and construction machinery wholesaling	46110	0.63
Farm produce and supplies wholesaling (not elsewhere classified)	45190	0.61
Fellmongery	22612	1.86
Fertiliser manufacturing	25310	1.12
Film and video distribution	91120	0.21
Film and video production	91110	0.21
Financial asset broking services	75110	0.28
Financial asset investors	73400	0.28
Fire brigade services	96330	1.85
Fire sprinklers—installation	42340	1.57
Firewood, coal, and coke retailing	52592	0.89
Fish wholesaling	47140	1.62
Fishing—finfish trawling (including processing on board)	04130	3.99
Floor covering retailing	52320	0.89
Floor covering wholesaling	47330	0.61
Flour mill product manufacturing	21510	0.92
Flower retailing	52540	1.03
Food manufacturing (not elsewhere classified)	21790	1.21
Food processing machinery manufacturing	28630	1.08
Footwear manufacturing	22500	1.17
Footwear retailing	52220	0.32
Footwear wholesaling	47230	0.37
Foreign government representation	81300	0.40
Forest nursery—operation or service	03031	1.31
Forest products—gathering	03021	1.61
Forestry	03010	4.48
Freight forwarding—air	66430	1.01
Freight forwarding—road, rail, and sea transport	66420	1.43
Fresh meat, fish, and poultry retailing	51210	1.62
Fruit and vegetable processing	21300	1.57
Fruit and vegetable retailing	51220	1.03
Fruit and vegetable wholesaling	47150	0.61
Fruit growing (not elsewhere classified)	01190	1.31
Funeral directors, crematoria, and cemeteries	95240	0.39
Furniture manufacturing (not elsewhere classified)	29290	1.28
Furniture retailing	52310	0.89
Furniture wholesaling	47320	0.61
Gambling services (not elsewhere classified)	93290	0.72
Garden equipment retailing	52530	0.89
Gardening services	95250	2.10
Gas supply	36200	1.07

Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
General insurance	74220	0.28
General practice medical services	86210	0.14
Glass and glass product manufacturing	26100	0.82
Glazing services	42450	2.43
Gold mining—opencast	13140	2.14
Gold mining—underground	13141	2.14
Grain growing	01210	1.31
Grain storage	67010	2.35
Grain-sheep and grain-beef cattle farming	01220	2.10
Grape growing	01140	1.31
Gravel and sand quarrying	14110	2.14
Grocery wholesaling (not elsewhere classified)	47190	0.61
Guiding service operation—outdoor pursuits	92391	0.85
Hairdressing and beauty salons	95260	1.05
Hand tool and general hardware manufacturing	27610	1.61
Health insurance	74210	0.28
Health services (not elsewhere classified)	86390	0.46
Hearing aid manufacturing	28491	0.33
Higher education	84310	0.27
Holder investor farms and farm animals	77301	0.45
Horse farming	01520	3.61
Horse or dog racing club operations	93111	0.60
Horse racing (not elsewhere classified)	93110	3.61
Horse racing—harness racing	93113	3.61
Hosiery manufacturing	22310	0.63
Hospitals (excluding psychiatric and continuing geriatric care)	86110	0.64
House construction	41110	2.91
Household appliance manufacturing	28510	0.47
Household appliance wholesaling	47310	0.61
Household equipment repair services (not elsewhere classified)	52690	0.89
Household equipment repair services—electrical and electronic	52610	0.89
Household goods wholesaling (not elsewhere classified)	47390	0.61
Hunting and trapping	02200	3.20
Ice cream manufacturing	21220	1.29
Industrial gas manufacturing	25320	0.54
Industrial machinery and equipment manufacturing (not elsewhere classified)	28690	1.40
Information storage and retrieval services	78320	0.26
Ink manufacturing	25470	0.67
Inland water (passenger only) transport	63031	2.91
Inland water transport (except passenger only)	63030	2.91
Inorganic industrial chemical manufacturing (not elsewhere classified)	25350	0.54
Interest groups (not elsewhere classified)	96290	0.72
International sea transport	63010	2.91
Iron and steel casting and forging	27120	2.64
Iron sands mining	13110	2.14
Jewellery and silverware manufacturing	29410	0.33
Jewellery and watch wholesaling	47920	0.37
Justice	81200	0.41
Juvenile detention centre operation	87221	0.72
Kiwifruit growing	01170	1.31
Knitting mill product manufacturing (not elsewhere classified)	22390	0.63

Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
Labour associations operation	96220	0.72
Landscaping services	42510	2.10
Laundries and dry-cleaners	95210	1.20
Leather and leather substitute product manufacturing	22620	1.17
Leather tanning and fur dressing (excluding fellmongery)	22611	1.86
Legal services	78410	0.26
Libraries	92100	0.66
Life insurance	74110	0.28
Lifting and material handling equipment manufacturing	28650	1.08
Line fishing (including processing on board)	04150	3.99
Liquor retailing	51230	1.03
Liquor wholesaling	47170	0.61
Livestock farming (not elsewhere classified)	01590	2.10
Local government operation (not elsewhere classified)	81130	0.40
Log sawmilling	23110	2.44
Logging	03020	4.48
Long distance bus transport	61210	0.94
Lotteries operation	93210	0.72
Machine tool and part manufacturing	28640	1.08
Machinery and equipment wholesaling (not elsewhere classified)	46190	0.38
Made-up textile product manufacturing	22210	1.17
Manufacturing (not elsewhere classified)	29490	1.28
Marine equipment retailing	52450	0.63
Marine fishing (not elsewhere classified)	04190	3.99
Market research services	78530	0.26
Massage therapy services	86351	0.46
Mattress manufacturing (excluding rubber)	29230	1.28
Meat inspection services	21111	0.45
Meat processing	21110	2.49
Meat wholesaling	47110	1.62
Medical and surgical equipment manufacturing	28320	0.33
Medicinal and pharmaceutical product manufacturing	25430	0.67
Men's and boys' wear manufacturing	22410	1.17
Metal and mineral wholesaling	45220	0.96
Metal container manufacturing	27510	1.18
Metal ore mining (not elsewhere classified)	13190	2.14
Milk and cream processing	21210	1.29
Milk vending—home delivery service	51260	2.78
Mineral exploration—own account	15130	2.14
Mineral exploration services	15140	2.14
Mineral sand mining	13150	2.14
Mining (not elsewhere classified)	14200	2.14
Mining and construction machinery manufacturing	28620	1.40
Money market dealers	73240	0.28
Motion picture exhibition	91130	0.21
Motor cycle dealing	53120	0.63
Motor vehicle body manufacturing	28120	1.40
Motor vehicle dismantling and used part dealing	46240	1.24
Motor vehicle hiring	77410	0.48
Motor vehicle manufacturing	28110	0.96
Motor vehicle new part dealing	46230	0.63

**Accident Insurance (Employer Premiums)
Regulations 2001**

2001/17

Schedule I

Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
Museums	92200	0.66
Music and theatre productions	92410	0.66
Newspaper publishing (excluding printing)	24211	0.20
Newspaper publishing (including printing)	24210	0.80
Newspaper, book, and stationery retailing	52430	0.32
Non-building construction and heavy machinery installation (not elsewhere classified)	41220	1.95
Non-ferrous metal casting	27330	1.96
Non-ferrous metal rolling, drawing, and extruding (not elsewhere classified)	27320	1.96
Non-ferrous pipe fitting manufacturing	27650	0.96
Non-financial asset investors	77300	0.45
Non-metallic mineral product manufacturing (not elsewhere classified)	26400	1.88
Non-residential building construction	41130	2.91
Non-scheduled air transport	64030	1.01
Nursing bureau	86131	0.46
Nut, bolt, screw, and rivet manufacturing	27630	0.96
Office equipment and fittings hiring	77431	0.29
Oil and fat manufacturing	21400	1.21
Oil and gas extraction	12000	0.54
Optometry and optical dispensing	86320	0.14
Organic industrial chemical manufacturing (not elsewhere classified)	25340	1.12
Other education	84400	0.55
Other financiers	73300	0.28
Other mining services	15200	2.14
Other periodical publishing (excluding printing)	24221	0.20
Other periodical publishing (including printing)	24220	0.80
Other recreation services	93300	0.60
Other transport equipment leasing	77420	0.63
Paint manufacturing	25420	0.67
Painting and decorating services	42440	2.43
Paper bag and sack manufacturing	23340	0.62
Paper product manufacturing (not elsewhere classified)	23390	0.62
Paper product wholesaling	47950	0.37
Paper stationery manufacturing	24110	0.62
Parking services	66110	1.05
Parole or probationary service	87292	0.41
Pathology services	86310	0.46
Performing arts venues	92520	0.66
Personal and household goods hiring (not elsewhere classified)	95190	0.48
Personal services (not elsewhere classified)	95290	1.05
Pest control service—forestry (excluding aerial or wild animal control)	03032	1.61
Pest control services	78650	1.61
Pesticide manufacturing	25440	0.67
Petroleum and coal product manufacturing (not elsewhere classified)	25200	1.12
Petroleum and natural gas drilling services	15121	1.95
Petroleum and natural gas exploration	15110	1.12
Petroleum and natural gas exploration services	15120	1.12
Petroleum product wholesaling	45210	0.67
Petroleum refining	25100	0.54
Pharmaceutical and toiletry wholesaling	47960	0.37
Pharmaceutical, cosmetic, and toiletry retailing	52510	0.32

**Accident Insurance (Employer Premiums)
Regulations 2001**

Schedule 1

2001/17

Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
Photographic and optical goods manufacturing	28310	0.33
Photographic equipment retailing	52440	0.32
Photographic equipment wholesaling	47910	0.37
Photographic film processing	95220	0.32
Photographic studios	95230	0.72
Physiotherapy services	86350	0.46
Pig farming	01510	2.10
Pipeline transport	65010	0.54
Plant and equipment hiring or leasing without operators (excluding office machinery or equipment)	77430	1.24
Plant nurseries	01110	1.31
Plaster product manufacturing	26320	1.88
Plastering and ceiling services	42410	2.43
Plastic bag and film manufacturing	25630	1.03
Plastic blow-moulded product manufacturing	25610	1.03
Plastic extruded product manufacturing	25620	1.03
Plastic foam product manufacturing	25650	1.03
Plastic injection-moulded product manufacturing	25660	1.03
Plastic product manufacturing (not elsewhere classified)	25661	1.03
Plastic product rigid fibre reinforced manufacturing	25640	1.03
Plumbing services	42310	1.57
Plywood and veneer manufacturing	23210	1.26
Police services	96310	0.58
Port operators	66230	1.76
Postal services	71110	1.28
Poultry and smallgoods wholesaling	47120	1.62
Poultry farming—eggs	01420	0.89
Poultry farming—meat	01410	0.89
Poultry processing	21120	2.43
Prawn fishing	04120	3.99
Prefabricated building manufacturing (not elsewhere classified)	29190	1.79
Prefabricated metal building manufacturing	29110	0.96
Prepared animal and bird feed manufacturing	21740	1.56
Preschool education	84100	0.55
Primary education	84210	0.16
Printing	24120	0.80
Private households employing staff	97000	1.05
Professional and scientific equipment manufacturing (not elsewhere classified)	28390	0.33
Professional equipment wholesaling	46120	0.38
Professional sports playing (not elsewhere classified)	93191	2.09
Psychiatric hospitals and psychiatric services (not elsewhere classified)	86120	0.64
Pubs, taverns, and bars	57200	0.76
Pulp, paper, and paperboard manufacturing	23310	1.26
Pump and compressor manufacturing	28660	1.08
Radio services	91210	0.21
Rail transport	62000	1.61
Railway equipment manufacturing	28230	1.40
Real estate agents	77200	0.29
Recorded media manufacturing and publishing	24300	0.33
Recorded music retailing	52350	0.32
Recreational parks and gardens	92390	0.85

Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
Religious organisations	96100	0.39
Residential building construction (not elsewhere classified)	41120	2.91
Residential care services (not elsewhere classified)	87220	1.76
Residential property body corporate	77111	0.45
Residential property operators and developers (excluding construction)	77110	0.45
Residential refuge operation	87222	0.46
Retail postal services	71111	0.32
Retailing (not elsewhere classified)	52590	0.89
Retirement village operation	87210	1.76
Road and bridge construction	41210	1.95
Road freight transport	61100	2.78
Rock lobster fishing	04110	3.99
Roofing services	42230	2.91
Rope, cordage, and twine manufacturing	22230	4.07
Rubber product manufacturing (not elsewhere classified)	25590	0.89
Rubber stamp manufacturing	29491	0.62
Rubber tyre manufacturing	25510	1.79
Salt harvesting	14201	1.12
Salt manufacturing—cooking or table	21791	1.21
Scheduled domestic air transport	64020	1.01
Scheduled international air transport	64010	1.01
Scientific research	78100	0.45
Screen printing	24121	0.80
Seafood processing (other than on board vessels)	21730	2.54
Seaweed, shellfish, and other seafood handgathering (not from a boat)	04192	1.61
Secondary education	84220	0.16
Secretarial services	78630	0.26
Security and alarm system installation	42341	0.94
Security and investigative services (excluding police)	78640	0.93
Services to agriculture (not elsewhere classified)	02190	1.61
Services to air transport	66300	1.01
Services to finance and investment (not elsewhere classified)	75190	0.28
Services to forestry (excluding tree cutting and felling)	03030	3.20
Services to insurance	75200	0.28
Services to printing	24130	0.80
Services to road transport (not elsewhere classified)	66190	1.43
Services to sports—administration only	93125	0.60
Services to the arts (not elsewhere classified)	92590	0.66
Services to transport (not elsewhere classified)	66490	1.43
Services to water transport (not elsewhere classified)	66290	1.76
Sewage and drainage services	37020	1.96
Shearing services	02120	2.68
Sheep and beef cattle farming	01230	2.10
Sheep farming	01240	2.10
Sheet metal furniture manufacturing	29220	1.40
Sheet metal product manufacturing (not elsewhere classified)	27590	1.18

**Accident Insurance (Employer Premiums)
Regulations 2001**

Schedule 1

2001/17

Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
Shellfish and paua fishing (not from cultivated beds)	04191	3.99
Shipbuilding	28210	2.66
Shipping agency services (excluding handling of goods)	66291	0.29
Short distance bus transport (including tramway)	61220	0.94
Silver ore mining	13170	2.14
Site preparation and heavy plant hiring (with operators)	42100	1.95
Sleepwear, underwear, and infant clothing manufacturing	22430	1.17
Smash repairing	53230	1.24
Soap and other detergent manufacturing	25450	0.67
Soft drink, cordial, and syrup manufacturing	21810	0.45
Solid paperboard container manufacturing	23320	0.62
Sound recording studios	92510	0.66
Special school education	84240	0.16
Specialised food retailing (not elsewhere classified)	51290	1.03
Specialist medical services	86220	0.14
Sphagnum moss processing	02192	1.61
Spirit manufacturing	21840	0.45
Sport and camping equipment retailing	52410	0.32
Sports and services to sports—boating, yachting	93192	0.60
Sports and services to sports—cricket	93194	2.09
Sports and services to sports—cycling	93193	0.60
Sports and services to sports—golf	93195	2.09
Sports and services to sports—horse riding	93196	2.09
Sports and services to sports—motor cycling	93197	2.09
Sports and services to sports—motor racing	93198	2.09
Sports and services to sports—netball	93199	0.60
Sports and services to sports—rugby	93180	6.26
Sports and services to sports—rugby league	93181	6.26
Sports and services to sports—skiing (snow)	93182	2.09
Sports and services to sports—soccer	93183	0.60
Sports and services to sports—softball, baseball	93184	0.60
Sports and services to sports—squash, badminton	93185	0.60
Sports and services to sports—swimming	93186	0.60
Sports and services to sports—tennis	93187	0.60
Sports and services to sports—water skiing	93188	0.60
Sports and services to sports (not elsewhere classified)	93190	2.09
Sports grounds and facilities (not elsewhere classified)	93120	0.60
Spring and wire product manufacturing	27620	1.61
Squid jigging (including processing on board)	04140	3.99
Steel pipe and tube manufacturing	27130	0.90
Stevedoring	66210	3.16
Stone cutting, dressing, polishing, or shaping	26401	1.88
Stone fruit growing	01160	1.31
Storage (not elsewhere classified)	67090	2.35
Street cleaning services	96341	1.80
Structural metal product manufacturing (not elsewhere classified)	27490	2.27
Structural steel erection services	42240	2.91
Structural steel fabricating	27410	2.27
Sugar manufacturing	21710	1.21

Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
Superannuation funds	74120	0.28
Supermarket and grocery stores	51100	1.03
Surface coating and finishing	27640	1.61
Surgical hospital—day surgery	86111	0.64
Surveying services	78220	0.45
Synthetic fibre textile manufacturing	22120	3.43
Synthetic resin manufacturing	25330	1.12
Takeaway food retailing	51250	0.76
Taxi and other road passenger transport	61230	0.94
Taxi organisations (excluding those that provide taxi services)	61231	0.45
Technical and further education	84320	0.27
Technical services (not elsewhere classified)	78290	0.45
Telecommunication line construction and maintenance	42321	0.94
Telecommunication services	71200	0.92
Telecommunication, broadcasting, and transceiving equipment manufacturing	28420	0.33
Television services	91220	0.21
Terrazzo products	26351	1.88
Textile finishing	22150	3.43
Textile floor covering manufacturing	22220	1.71
Textile product manufacturing (not elsewhere classified)	22290	3.43
Textile product wholesaling	47210	0.37
Tiling and carpeting services	42430	2.43
Timber resawing and dressing	23130	2.44
Timber wholesaling	45310	1.18
Tobacco and hops growing	01691	1.31
Tobacco product manufacturing	21900	0.45
Tobacco product wholesaling	47180	0.61
Toy and game retailing	52420	0.32
Toy and sporting goods manufacturing	29420	1.28
Toy and sporting goods wholesaling	47930	0.37
Trailer and caravan dealing	53130	0.63
Transport (not elsewhere classified)	65090	1.43
Transport equipment manufacturing (not elsewhere classified)	28290	0.96
Travel agency services	66410	0.29
Tyre retailing	53240	1.24
Vegetable growing	01130	1.31
Veterinary services	86400	0.45
Video hire outlets	95110	0.48
Waste collection and disposal services	96340	1.80
Watch and jewellery retailing	52550	0.32
Water supply	37010	1.07
Water transport terminals	66220	1.76
Wholesaling (not elsewhere classified)	47990	0.37
Wholesaling, all products (excluding storage and handling of goods)	47991	0.29
Wine manufacturing	21830	0.45
Women's and girls' wear manufacturing	22420	1.17
Wood chipping	23120	2.44
Wood product manufacturing (not elsewhere classified)	23290	1.79
Wooden furniture and upholstered seat manufacturing	29210	1.28
Wooden structural component manufacturing	23230	1.79

Classification unit	Classification unit number	Premium rate per \$100 of earnings (\$)
Wool scouring	22110	4.07
Wool storage and classing	45110	1.61
Wool textile manufacturing	22140	3.43
Wool wholesaling	45111	0.38
Zoological and botanic gardens	92310	0.85

Schedule 2

Audit requirements

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Part A

Primary level

Employer commitment to safety management practices

Objective

The employer demonstrates an active, consultative commitment to all areas of health and safety management in the workplace.

Details of requirements	Verified by
1 There is a documented health and safety policy.	Policy document.
2 The policy is authorised by the current chief executive officer or other senior management representative.	Appropriate signature, position, and date.
3 The policy incorporates management commitment, including commitment to comply with relevant legislation, regulations, codes of practice, and safe operating procedures.	Policy document includes statement of commitment to comply with relevant standards.
4 The policy includes specific understanding of management responsibilities for health and safety.	Policy statement includes management commitment to health and safety. Specific health and safety co-ordination roles are designated at senior management level.
5 The policy includes an outline of individual employee responsibilities for health and safety.	Policy document states individual responsibilities for health and safety in the workplace.
6 There is commitment to consultation with employee representatives regarding health and safety management.	Statement that supports employee participation included in the policy document.
7 Safety information is clearly displayed in all main work areas.	Sighting of current safety information displayed in work areas visited.
8 There is specific management commitment to accurate reporting and recording.	Health and safety management system documents include a specific statement requiring accurate reporting and recording.

Part A—*continued**Planning, review, and evaluation***Objective**

The employer is able to demonstrate a focus on continuous improvement through a systematic approach to occupational health and safety that includes setting specific objectives, systems/programmes to achieve objectives, regular review of progress, and evaluation of outcomes.

Details of requirements

- 1 Health and safety objectives are set that are appropriate to the size and type of business and relevant to each level within the business.
- 2 A process is developed to undertake an annual self-assessment audit (in consultation with employee representatives) required to maintain programme status.

Verified by

- Health and safety business or management plan established to achieve objectives.
- Documented objectives related to each level within the business and the identified hazards.
- Documented employer commitment to developing a process in consultation with employee representatives.

*Hazard identification, assessment, and management***Objective**

The employer has an active method that systematically identifies, assesses, and manages the actual and potential hazards in the workplace, over which the employer has authority or influence.

Details of requirements

- 1 There is a systematic process to identify and record actual and potential hazards in the workplace.
- 2 There is a process to assess identified hazards to determine which hazards are significant hazards.
- 3 There are appropriate controls in place for each significant hazard based on the hierarchy in the Health and Safety in Employment Act 1992 to either—

Verified by

- Process document that covers an understanding of the range of hazards, including (for example) work organisation, job design, and hazards facing off-site employees.
- Hazard registers to support process in action.
- Register of hazards identifies which hazards are significant.
- Documented process for developing appropriate controls.
- Details of controls developed for significant hazards.
- System for the issue, renewal, and

Part A—continued

Details of requirements	Verified by
<p>(a) eliminate the hazard completely; or</p> <p>(b) isolate the hazard to reduce the exposure to that particular risk; or</p> <p>(c) minimise the impact of the hazard.</p>	<p>maintenance of personal protective equipment.</p>
<p>4 Appropriately trained and/or experienced (competent) people are involved in identifying and managing hazards.</p>	<p>Records of training, skills, and experience for managers leading hazard management.</p>
<p>5 There is a procedure for obtaining specialist advice for managing specific hazards, if this competency is not available through internal staff.</p>	<p>Documentation to support the appropriate use of specialist advice, for example, for hazardous substances:</p> <ul style="list-style-type: none"> • transport • storage • use • identification • disposal.
<p>6 There is active management of hazards associated with any new or modified equipment, material, services, or work processes introduced into the workplace.</p>	<p>Hazard identification and management documents.</p>
<p>7 There is opportunity for the active involvement of employee representatives in identifying and managing hazards in the workplace.</p>	<p>Hazard registers and/or health and safety meeting minutes verifying employee consultation or direct participation in hazard management.</p>
<p>8 There is a process to identify and manage any areas of the workplace requiring health monitoring.</p>	<p>System for undertaking baseline monitoring of health in identified areas and notifying results to employees.</p>
<p>9 Work areas over which the employer has control or influence are planned so that the exposure of visitors and the general public to workplace hazards is minimised.</p>	<p>Clear marking of designated areas as appropriate.</p> <p>Signage, and security log books or visitors registers as appropriate to specific areas of the workplace, or escorting restrictions and induction for site visitors.</p>

Part A—*continued**Information, training, and supervision***Objective**

The employer will ensure that all employees are informed of their own responsibilities and the employer's responsibilities for health and safety in the workplace. The employer will ensure that employees have specific knowledge concerning management of the hazards to which they are exposed through workplace procedures, environment, equipment, and materials.

Details of requirements

- 1 There is appropriate health and safety induction training for all new employees and employees transferring to a new environment, role, or task.

- 2 There is identification and analysis of health and safety training needs in relation to specific roles, tasks, or areas of work.

- 3 All health and safety information and training is delivered so that the key messages are clearly understood, taking into account language, literacy, vision, hearing, or other variables.

- 4 There is access to internal staff members who are competent (with the appropriate skills, and experience or qualifications) to undertake training.

Verified by

Documented staff health and safety induction checklist, including:

- emergency procedures
- accident reporting
- hazard identification
- work injury claims process
- rehabilitation process
- employer responsibilities and designated roles
- employee responsibilities
- the process for employee health and safety representation and the role required
- employee/management consultation process
- personal protective equipment use and maintenance.

Signed employee training records.

Hazard register document or software that relates hazards to tasks and areas.

Example plan to deliver training identified.

Licensing and certification issue and renewal.

A system is in place that is able to demonstrate that the health and safety information and training has been understood.

Signed employee training records.

Records to show appropriate trainers used for training needs.

Guideline document or similar for health and safety training.

Part A—*continued*

Details of requirements	Verified by
5 Relevant health and safety information is available to all employees.	Access to further information is included in health and safety information on display in the workplace. Records of information provided to employees (posters, signs, documents, training material). Evidence through interviews that employees have relevant information.
6 Competent supervision for employees undergoing on-the-job training to ensure their newness to the task or role does not endanger themselves or others (or equipment).	Evidence of system (eg, documented procedure, records) for on-the-job training, including experience required and details of responsibilities.

*Incident and accident reporting, recording,
and investigation*

Objective

The employer has an active reporting, recording, and investigation system that ensures all incidents and accidents are reported, recorded, and investigated, and the appropriate corrective action is taken. The terms **incidents** and **accidents** in this context include all “near miss” or “near hit” events, work-related illnesses, and injury events that harmed or might have harmed any employee during the course of their work.

Details of requirements	Verified by
1 There is a system for reporting and recording the particulars of all incidents, accidents, and work-related illnesses.	Documented procedure. Accident reporting forms. On-site accident registers. Procedures requiring early and prompt attention to all reported incidents and accidents.
2 All employees understand their specific responsibilities to report incidents, accidents, and workplace illnesses that have or might have harmed anyone in the workplace.	Reporting forms available in all work areas. Staff communications, team briefings, health and safety meeting minutes. Manner in which the accident register is maintained on site.

Part A—*continued*

Details of requirements	Verified by
3 When serious harm occurs the Occupational Health and Safety Service (OSH) of the Department of Labour is notified as soon as possible and a written report is sent within 7 days. (NB, there are other agencies that the employer may also need to notify to meet regulatory obligations in the event of serious harm.)	Accident register for identification of serious harm. OSH notifications or procedures. Documented responsibility for notification to OSH.
4 The employer has a process to investigate incidents and accidents that harmed or might have harmed an employee.	Accident investigation process. List of designated accident investigators. Accident investigation form. Accident investigation example reports.
5 There is a process to ensure corrective action is undertaken in relation to any deficiencies identified during an investigation.	Process and records to show that corrective action is identified and undertaken. Feedback into hazard management included in the process.
6 A system exists to record and analyse accident and incident data.	The system and the extent of the records.

*Employee participation in health and safety management***Objective**

The employer will ensure that employees have the opportunity to be fully involved in the development of safe workplace practices.

Details of requirements	Verified by
1 There is a forum to enable employees to communicate to management issues of interest and concern related to health and safety.	The existence of health and safety committees or similar that include both employee and management representatives. Health and safety meeting communications and minutes.

Part A—*continued*

Details of requirements

- 2 There is a process agreed to by employees to support employee consultation and representation in health and safety development, monitoring, and review.

Verified by

Documented process and procedures for health and safety management that specifically provide for employee consultation.

Information on this process is available to all staff.

There is an agreed process to select employee representatives for health and safety.

Emergency planning and readiness

Objective

The employer has an effective general emergency plan to manage all types of emergencies likely to occur within any part of an organisation's operation and to comply with legislative requirements.

Details of requirements

- 1 There is a documented emergency plan that identifies all potential emergency situations relevant to the type and location of the employer, has associated emergency management procedures, and meets emergency service requirements.
- 2 This plan is known and understood by all permanent staff, contract staff, and site visitors.
- 3 An emergency warden or coordinator is designated for each work area and is trained to take control in an emergency.
- 4 There is periodic testing of emergency evacuation procedure at regular intervals — recommended at no greater than 6 months.

Verified by

Documented emergency plan.

Associated emergency management procedures.

Emergency awareness is covered with site visitors.

There are prominent signs in all work areas including emergency contacts and the evacuation plan.

Evidence from interviews with employees to show understanding of current emergency requirements.

List of emergency wardens or coordinators known to all staff.

Training schedules and records.

Record of emergency evacuation drills.

Part A—*continued**Protection of employees from on-site work undertaken by
contractors and subcontractors***Objective**

The employer has a systematic approach as the principal contractor of services to ensure that all contractors, subcontractors, and their employees do not cause harm to the employees of the principal while undertaking the work required by the contract. (This is the main objective under this heading in the context of this audit. The specific duties of the employer as a principal under the terms of the Health and Safety in Employment Act 1992 are not part of the programme's requirements.)

Details of requirements**Verified by**

- | | | |
|---|--|--|
| 1 | Induction to on-site health and safety procedures is undertaken by a designated person managing the contract for the employer, for all contracted staff who may be exposed to workplace hazards on-site. | Documents showing induction training for all contract staff, as appropriate, including sign-off by employer. |
|---|--|--|

*Focus group interview
(Confirmation of safe systems in action)***Objective**

The employer is able to validate injury prevention systems in action through 2 group interviews with employee and management representatives.

Details of requirements**Verified by**

- | | | |
|---|---|---|
| 1 | There is an understanding of what constitutes a hazard in the workplace. | Interview that includes reference to work organisation and job design in the understanding of hazards. |
| 2 | There is an understanding of the process for hazard identification. | Process documents.
Interview with employee and management representatives. |
| 3 | There is an awareness of respective responsibilities in the identification of hazards. | Process documents to identify responsibilities.
Interview with employee and management representatives. |
| 4 | There is an understanding of the term "significant hazard" and how that relates to this particular workplace. | Examples of identified significant hazards documented.
Interview with employee and management representatives. |

Part A—*continued*

Details of requirements	Verified by
5 There is an understanding of the hierarchy of controls in the management of hazards.	Example documentation of controls developed. Interview with employee and management representatives.
6 There is an understanding of accident reporting and recording requirements.	Examples from accident register. Interview with employee and management representatives.
7 There is an understanding of accident investigation, including designated responsibilities and the role of the injured employee and the manager concerned.	Example accident investigation forms. Interview with employee and management representatives.
8 There is an understanding of the responsibilities for corrective action resulting from an investigation.	Example accident investigation forms or similar documentation. Interview with employee and management representatives.
9 There is an understanding of the feedback required from an accident investigation into injury prevention, training issues, and staff communication as appropriate.	Accident investigation form. Interview with employee and management representatives.
10 There is an understanding of how to initiate rehabilitation support and assistance for any injured employees.	Interview with employee and management representatives.

Part B

Secondary level (additional to primary level requirements)

Employer commitment to safety management practices

Objective

The employer demonstrates an active, consultative commitment to all areas of health and safety management in the workplace.

Part B—*continued*

Details of requirements	Verified by
1 The policy includes specific understanding of management responsibilities for health and safety.	Position description of management roles includes performance review of designated health and safety responsibilities. Managers are accountable for health and safety performance criteria for work areas over which they have control.
2 There is commitment to consultation with employee representatives regarding health and safety management.	A system that supports the selection of employee representatives for health and safety.
3 There is specific management commitment to accurate reporting and recording.	Records of this requirement included in performance review of management roles.
4 There is commitment to continuous improvement in health and safety.	Indicative statement in policy document. Measurable health and safety business objectives documented. Evidence that a system exists for the appropriate review of health and safety related policies by senior management to ensure their ongoing effectiveness (for example, records of reviews or a documented review procedure or checklist).

*Planning, review, and evaluation***Objective**

The employer is able to demonstrate a focus on continuous improvement through a systematic approach to occupational health and safety that includes setting specific objectives, systems/programmes to achieve objectives, regular review of progress, and evaluation of outcomes.

Details of requirements	Verified by
1 Health and safety objectives are set that are appropriate to the size and type of business and relevant to each level within the business.	Procedure to review objectives annually. Senior management and employee representatives included in annual review and setting of objectives.

Part B—*continued*

Details of requirements	Verified by
2 Health and safety performance is reviewed against objectives.	Annual health and safety performance review specific to documented management positions. Management and employee representatives included in review or performance against objectives.
3 There is a process to monitor the employer's conformance to relevant health and safety related legislation.	Documented procedures. Minutes, timetable, or similar to show there is regular consultative review of the conformance with obligations and performance against requirements.
4 A process is developed to undertake an annual self-assessment audit (in consultation with employee representatives) required to maintain programme status.	Process documented and implemented by end of first year of employer accreditation. Includes employee participation. Example declaration from the employer to confirm the involvement of employee representatives.

*Hazard identification, assessment, and management***Objective**

The employer has an active method that systematically identifies, assesses, and manages the actual and potential hazards in the workplace over which the employer has authority or influence.

Details of requirements	Verified by
1 There is a systematic process to identify and record actual and potential hazards in the workplace.	Records of regular review of the hazard identification and recording process.
2 There are appropriate controls in place for each significant hazard based on the hierarchy in the Health and Safety in Employment Act 1992 to either— (a) eliminate the hazard completely; or (b) isolate the hazard to reduce the exposure to that particular risk; or (c) minimise the impact of the hazard.	Evidence of appropriateness of controls developed for high risk hazards through specialist documentation or advice.

Part B—*continued*

Details of requirements	Verified by
3 There is a procedure for obtaining specialist advice for managing specific hazards, if this competency is not available through internal staff.	Availability of reference library (either hard copy or electronic) that includes all relevant legislation, regulations, codes of practice, safe operating procedures, MSDS, etc. Register or list of health and safety specialist advice available internally or externally.
4 There is a schedule documenting the minimum review timetable to monitor the isolation and minimisation level controls for significant hazards.	Hazard monitoring timetable appropriate for particular identified hazards. Responsibilities assigned for ensuring timetable is met and signed off at each period.
5 There is active management of hazards associated with any new or modified equipment, material, services, or work processes introduced into the workplace.	Procedure requiring liaison with the designated health and safety personnel in the purchase or implementation of new or modified equipment, material, services, or processes.
6 There is a process to identify and manage any areas of the workplace requiring health monitoring.	Procedure to manage suboptimal test results. Records of work to identify tasks requiring monitoring and ongoing regular testing, post-critical event testing, and exit testing.
7 There is a process to identify those tasks where pre-employment screening may be appropriate, to ensure that risk of work injury or work-related illness through exposure to those particular tasks is minimised.	Record of job-task analysis process.

*Information, training, and supervision***Objective**

The employer will ensure that all employees are informed of their own responsibilities and the employer's responsibilities for health and safety in the workplace. The employer will ensure that employees have specific knowledge concerning management of the hazards to which they are exposed through workplace procedures, environment, equipment, and materials.

Part B—*continued*

Details of requirements	Verified by
1 There is identification and analysis of health and safety training needs in relation to specific roles, tasks, or areas of work.	Records of process to evaluate an individual's competency to manage specific hazards associated with their job tasks and work areas. Records of process to consider specific knowledge of regulatory and organisational standards in evaluating training needs. System for "bring-up" reminder facility and assignment of responsibilities.
2 There is a system for controlling health and safety related documents and information, including the dissemination of applicable information to all staff and notification of outdated documents.	Document control system (paper based or electronic). Dates on health and safety documents at operational sites. Schedule and role-specific responsibilities to review health and safety documentation control.
3 Relevant health and safety information is available to all employees.	Accessibility of hard copy and/or electronic copy of generic and business-specific health and safety information.

*Incident and accident reporting, recording,
and investigation*

Objective

The employer has an active reporting, recording, and investigation system that ensures all incidents and accidents are reported, recorded, and investigated, and the appropriate corrective action is taken. The terms **incidents** and **accidents** in this context include all "near miss" or "near hit" events, work-related illnesses, and injury events that harmed or might have harmed any employee during the course of their work.

Details of requirements	Verified by
1 There is a process to ensure corrective action is undertaken in relation to any deficiencies identified during an investigation.	Responsibility for corrective action is assigned, time-bound, signed, and dated as part of the accident investigation process, including training and injury prevention.

Part B—*continued**Employee participation in health and safety management***Objective**

The employer will ensure that employees have the opportunity to be fully involved in the development of safe workplace practices.

Details of requirements

- 1 There is a forum to enable employees to communicate to management issues of interest and concern related to health and safety.
- 2 There is joint employer and employee responsibility for implementing, monitoring, and reviewing of injury management and injury prevention initiatives.

Verified by

Records of frequency of health and safety meetings at least quarterly.
Records of communications from health and safety meetings to senior management.
Injury management documents or records of injury prevention initiatives that indicate joint involvement.

*Emergency planning and readiness***Objective**

The employer has an effective general emergency plan to manage all types of emergencies likely to occur within any part of an organisation's operation and to comply with legislative requirements.

Details of requirements

- 1 There is a consultative review of emergency response procedures at regular intervals, after any practice drills and particularly after any actual emergency event.

Verified by

Minutes of review meetings, particularly post-critical event.
Evidence of update to procedures and plans.

*Protection of employees from on-site work undertaken by contractors and subcontractors***Objective**

The employer has a systematic approach as the principal contractor of services to ensure that all contractors, subcontractors, and their employees do not cause harm to the employees of the principal while undertaking the work required by the contract. (This is the main objective under this heading in the context of this audit. The specific duties of the employer as a principal under the terms of the Health and Safety in Employment Act 1992 are not part of the programme's requirements.)

Part B—*continued*

Details of requirements	Verified by
1 There is a process to actively monitor the health and safety performance of the contractor at agreed regular intervals for the duration of the contract where appropriate. (NB, this only applies to contract work undertaken on a site where there are employees of the principal present.)	Documents showing timetable for review of work site health and safety performance, including dates and responsibilities. Records of reviews.
2 Health and safety expectations and responsibilities are written into all contracts.	Procedural requirements. Contract examples.
3 Criteria to select contractors include health and safety performance where appropriate.	Documented procedures. Occupational health and safety information about contractors, especially training undertaken, is included in records for contracts viewed.
4 The contract proposal or plan includes health and safety management procedures and responsibilities while on site.	Contractors plan includes— <ul style="list-style-type: none"> • staff training and competencies • relevant certification and permits • declaration of the above signed by contractor.

Part C

Tertiary level audit requirements (additional to primary and secondary level requirements)

*Employer commitment to safety management practices***Objective**

The employer demonstrates an active, consultative commitment to all areas of health and safety management in the workplace.

Details of requirements	Verified by
1 There is commitment to continuous improvement in health and safety.	Records to show that excellence in health and safety management and innovation by staff is formally recognised.
2 All management staff members (including senior managers) are competent in health and safety management.	Statement of commitment to ensure management competence in health and safety management included in policy.

Part C—*continued**Planning, review, and evaluation***Objective**

The employer is able to demonstrate a focus on continuous improvement through a systematic approach to occupational health and safety that includes setting specific objectives, systems/programmes to achieve objectives, regular review of progress, and evaluation of outcomes.

Details of requirements

- 1 There is an established methodology to review and evaluate hazard management effectiveness.
- 2 There is a process to ensure that the health and safety management plan for the workplace is evaluated.

Verified by

Methodology and planning documents.
Minutes, timetable, or similar to show there is regular consultative review of the effectiveness of the methodology.
Meeting minutes or schedules of the specific review of effectiveness of controls used for hazard management.

Documented process that occurs—

- regularly
- after a critical event
- if there is a change in work procedures or health and safety policy.

*Hazard identification, assessment, and management***Objective**

The employer has an active method that systematically identifies, assesses, and manages the actual and potential hazards in the workplace, over which the employer has authority or influence.

Details of requirements

- 1 There is a process to assess identified hazards to determine which hazards are significant hazards.
- 2 There is active management of hazards associated with any new or modified equipment, material, services, or work processes introduced into the workplace.

Verified by

Discussion with line managers to determine whether they understand and apply the definition of significance.

Documents showing health and safety issues incorporated in purchasing and design decisions.

Part C—*continued**Information, training, and supervision***Objective**

The employer must ensure that all employees are informed of their own responsibilities and the employer's responsibilities for health and safety in the workplace. The employer will ensure that employees have specific knowledge concerning management of the hazards to which they are exposed through workplace procedures, environment, equipment, and materials.

Details of requirements**Verified by**

- | | | |
|---|---|---|
| 1 | All health and safety information and training is delivered so that the key messages are clearly understood, taking into account language, literacy, vision, hearing, or other variables. | A system is in place that is able to demonstrate that appropriate competency has been achieved following specific health and safety training. |
| 2 | There is a process to determine the competence of external trainers used for specific training requirements. | List of trainers available and their areas of expertise.
Process documents. |
| 3 | Competent supervision for employees undergoing on-the-job training to ensure their newness to the task or role does not endanger themselves or others (or equipment). | System for the clear identification of both trainer and trainee. |

*Incident and accident reporting, recording, and investigation***Objective**

The employer has an active reporting, recording, and investigation system that ensures all incidents and accidents are reported, recorded, and investigated, and the appropriate corrective action is taken. The terms **incidents** and **accidents** in this context include all “near miss” or “near hit” events, work-related illnesses, and injury events that harmed or might have harmed any employee during the course of their work.

Part C—*continued*

Details of requirements	Verified by
1 There is a process to ensure corrective action is undertaken in relation to any deficiencies identified during an investigation.	Evidence of senior management interest and follow-up (eg, management minutes or communications).
2 There is periodic reporting and review of accident and incident data undertaken to identify trends and provide information to managers and employees that can be used in injury prevention initiatives.	System reports and analysis. Records of distribution, frequency, and use of the reports showing managers and employees included. Health and safety management and senior management minutes where trends and initiatives are discussed.

*Employee participation in health and safety management***Objective**

The employer will ensure that employees have the opportunity to be fully involved in the development of safe workplace practices.

Details of requirements	Verified by
1 There is joint employer and employee responsibility for implementing, monitoring, and reviewing injury management and injury prevention initiatives.	A structure that includes employee and management representation and representation from other workplace interests, to develop, monitor, and evaluate all significant health and safety initiatives and practices in the workplace.
2 Agreed health and safety training is provided to selected employee representatives to assist in the development and establishment of safe workplace practices.	Health and safety training records of employee representatives.

*Protection of employees from on-site work undertaken by contractors and subcontractors***Objective**

The employer has a systematic approach as the principal contractor of services to ensure that all contractors, subcontractors, and their employees do not cause harm to the employees of the principal while undertaking the work required by the contract. (This is the main objective under this heading in the context of this audit. The specific duties of the employer as a principal under the terms of the

Part C—*continued*

Health and Safety in Employment Act 1992 are not part of the programme's requirements.)

Details of requirements

- 1 The contract proposal or plan includes health and safety management procedures and responsibilities while on site.
- 2 A health and safety component is part of any post-contract evaluation.

Verified by

- Feedback to principal on hazard identification and accident reporting.
- Post-contract evaluation documents.

Marie Shroff,
Clerk of the Executive Council.

Explanatory note

This note is not part of the regulations, but is intended to indicate their general effect.

These regulations specify the employer premium rates for the Employers' Account.

The regulations apply in respect of premiums payable for—

- (a) the period 1 April 2001 to 31 March 2002; and
- (b) all following income years.

The premium rates are set according to classifications of employers' activities.

The regulations provide that premiums may be paid by way of instalments.

The regulations also provide a mechanism for downwards adjustments of employer premiums that is based on an audit of the safety management practices of employers who apply for the adjustment.

**Accident Insurance (Employer Premiums)
Regulations 2001**

2001/17

Issued under the authority of the Acts and Regulations Publication Act 1989.

Date of notification in *Gazette*: 1 March 2001.

These regulations are administered in the Department of Labour.
