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He Whakaora.  
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# Accredited Employers Programme

**Assessment – effective from 1 April 2025**

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## Accredited Employers Programme accreditation information

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To be accredited in the Accredited Employers Programme (AEP, or the Programme), a new employer applying to join the AEP (prospective employer) and an existing Accredited Employer (employer) both need to meet the following requirements:

- Financial
- Claims and injury management and
- Health and safety, which can be met through either:
  - completing the Health and Safety section of the Assessment or
  - providing a valid ISO 45001 certificate.

### Meeting the financial requirements

A prospective employer and an employer need to submit financial information for ACC to conduct a Financial Risk Assessment. ACC will decide whether the employer's financial situation is sufficient to meet the accreditation requirements of the Programme. During this process, the employer's financial information is kept strictly confidential.

A prospective employer will only proceed to complete the rest of the accreditation requirements (claims and injury management and health and safety) if the financial requirement has been successfully met.

### Meeting the claims and injury management requirements

A prospective employer needs to complete the Claims and Injury Management section of the Assessment to ACC's satisfaction, excluding Assessment Area 1: Claim file assessment and Assessment Area 5: Injured Employee interviews.

An employer needs to complete all required parts of the Claims and Injury Management section of the Assessment to ACC's satisfaction. Further information about the Claims and Injury Management section of the Assessment can be found on page [12](#).

### Meeting the health and safety requirements

An employer may demonstrate they meet the health and safety accreditation requirements of the Programme through either:

- the provision of valid and sufficient ISO 45001 certification. Further details about how to use the ISO 45001 certificate to meet the health and safety accreditation requirements of the Programme can be found on page [35](#) or
- the completion of the Health and Safety section of the Assessment. Further details about the Health and Safety section of the Assessment can be found on page [38](#).

## Evaluation of accreditation requirements

For a prospective employer to become an Accredited Employer in the AEP, the steps detailed in the diagram below apply.

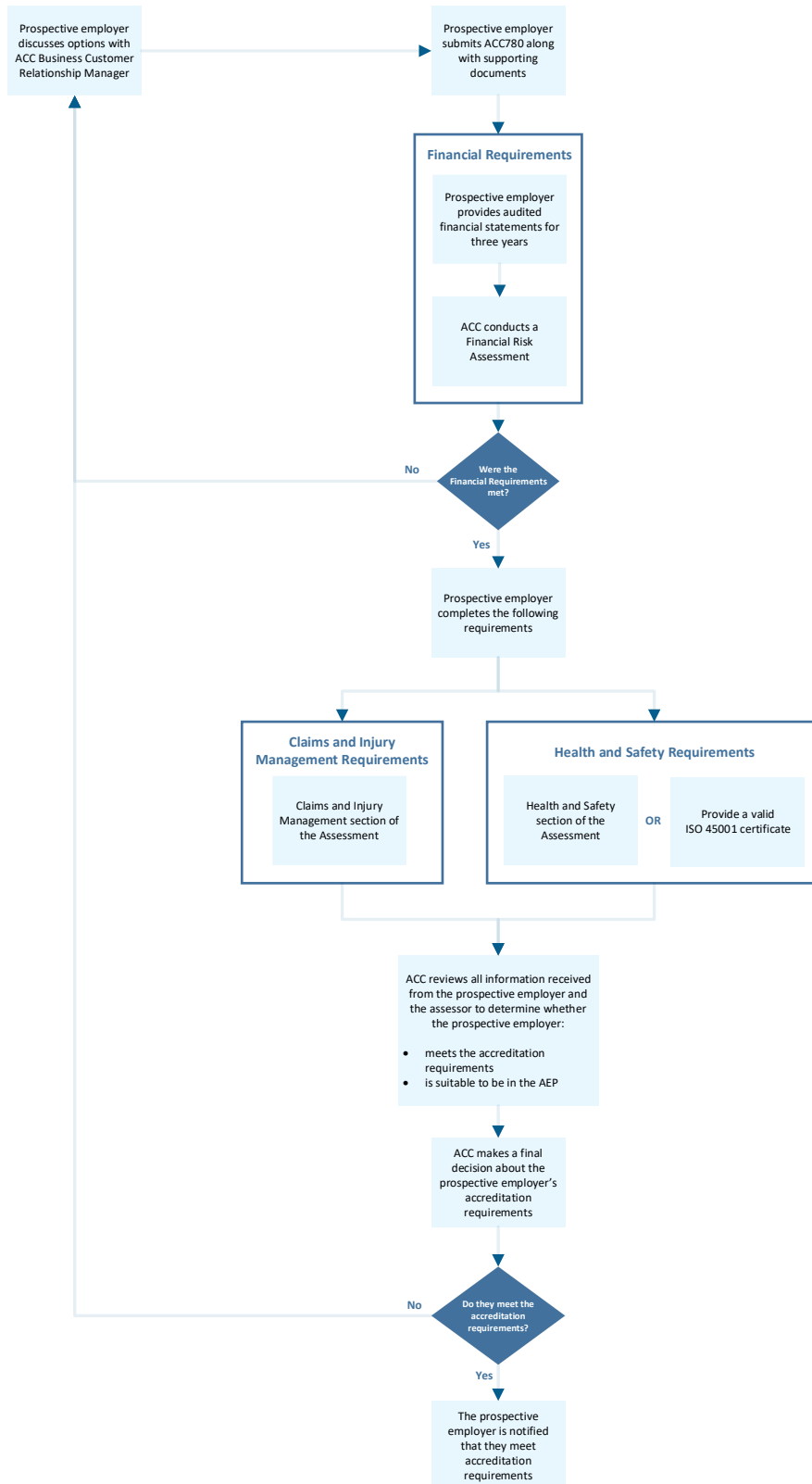


Figure 1: Evaluation of AEP accreditation requirements for a prospective employer

A prospective employer can initiate entry into the AEP at any stage throughout the year. After submitting the application along with the supporting documents, the prospective employer needs to successfully meet the financial requirements before proceeding further with the application. Once the financial requirements are met, the prospective employer can proceed to complete the rest of the accreditation requirements including claims and injury management, and health and safety.

ACC will then review all the information received from the prospective employer and the assessor, to determine whether the employer meets the accreditation requirements of the Programme, whether they are suitable to be in the Programme, and makes a final decision about accepting the prospective employer into the Programme.

For an employer to remain in the AEP, the steps detailed in the diagram below apply.

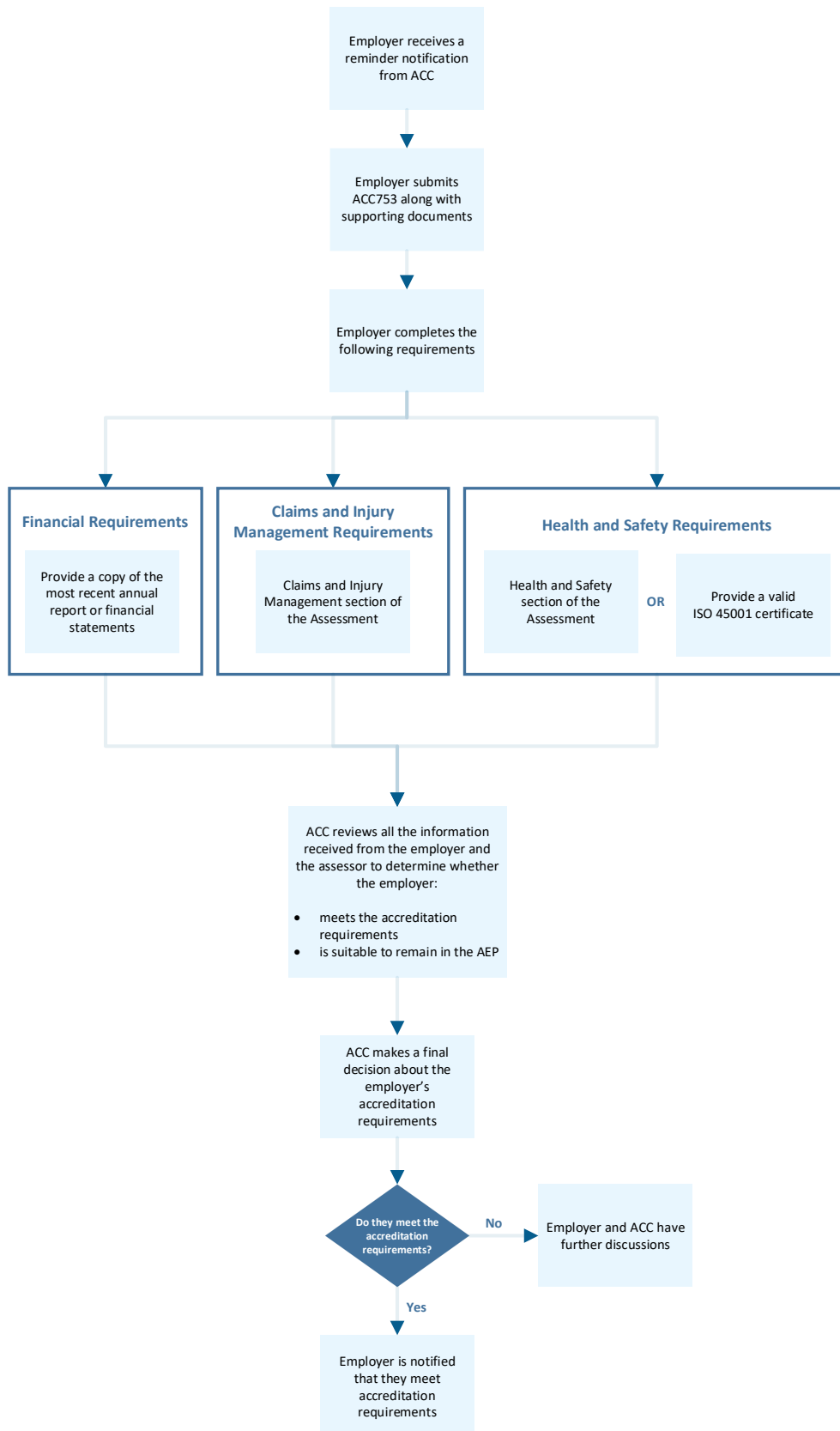


Figure 2: Evaluation of AEP accreditation requirements for an employer

The employer receives a reminder notification from ACC approximately three months before they need to submit their reaccreditation application along with any supporting documentation.

Once the application has been submitted, the employer needs to complete all accreditation requirements including financial, claims and injury management, and health and safety.

ACC will then review all the information received from the employer and the assessor, to determine whether the employer meets the accreditation requirements of the Programme and make a final decision on whether the employer is able to remain in the Programme.

## **Information about the Assessment**

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The AEP Assessment enables ACC to determine, under the Framework for Accredited Employers Programme 2000 and subsequent amendments (the Framework) and Accident Compensation Act 2001 (the Act), an employer's ability to meet the claims and injury management and health and safety accreditation requirements of the Programme.

The Assessment provides a "snapshot" of the employer's ability to meet these requirements. It is the employer's ongoing responsibility to monitor and evaluate their health and safety and claims and injury management performance in the workplace to ensure that the assessment requirements are maintained. This is in line with ACC's expectation that the employer continually improves their claims and injury management and workplace health and safety systems, to successfully integrate good practices in all areas and activities according to the assessment requirements.

The Assessment is subject to a regular review process to maintain its alignment to good practice claims and injury management and health and safety standards, and to ensure it is adapted to the current New Zealand legislative and workplace environment.

### **What the Assessment includes**

The assessment is divided into two main sections:

- Assessment area 1 to 6: Claims and injury management (page [14](#))
- Assessment area 7 to 16: Health and safety (page [40](#))

## What happens during the Assessment

An employer or prospective employer is advised to read the Assessment thoroughly and complete a review against the assessment requirements before proceeding to an application and an independent assessment.

Once the application has been received from an employer or a prospective employer (providing the financial requirement is met), the following will take place:

1. The employer or prospective employer receives an assessment letter from ACC which outlines the sites at which the Assessment is to be undertaken. This letter is sent to the employer's or prospective employer's primary contact.

The selection of the site or sites to be assessed may be rotated by ACC in subsequent annual assessments to build up a more complete picture of the employer's workplace year by year.

2. The employer or prospective employer arranges for the Assessment to be undertaken at the specified sites as outlined in the Assessment letter.

The employer or prospective employer can select their preferred assessor to conduct the Assessment based on the conditions stated in the notes section below. A list of independent assessors and the locations they cover can be found on the ACC website at [www.acc.co.nz](http://www.acc.co.nz).

### Note:

- Assessors are responsible for undertaking both the Claims and Injury Management and Health and Safety sections of the Assessment (if the employer or prospective employer is using the Health and Safety section of the Assessment to meet their health and safety accreditation requirements).
  - An assessor can perform a maximum of three assessments against the Claims and Injury Management section of the Assessment for an employer in any five-year period.
  - An assessor can perform a maximum of three assessments against the Health and Safety section of the Assessment for an employer in any five-year period (if the employer is using the Health and Safety section of the Assessment to meet their health and safety accreditation requirements).
3. The employer or prospective employer is assessed against the Claims and Injury Management and Health and Safety sections of the Assessment.

The assessor is asked by ACC to visit a site (or sites) representative of each main function of the employer's or prospective employer's operations.

The assessor will hold a close out meeting at the end of the Assessment with representatives from the employer or prospective employer to discuss the assessment results.

### Note:

- The Claims and Injury Management and Health and Safety sections of the Assessment do not have to be undertaken at the same time. They may be undertaken at different times of the year.
- For an employer or prospective employer who wants to use ISO 45001 to fulfil their health and safety requirements, they will need to contact ACC to confirm what is required. If ACC accepts an employer's or prospective employer's ISO 45001 certification, that employer or prospective employer does not need to undertake the Health and Safety section of the Assessment. They are required to undertake the Claims and Injury Management section of the Assessment only.



4. The assessor provides a copy of the Assessment report to both the individual employer or prospective employer and ACC.
5. ACC reviews the Assessment report and makes a final decision on the assessment outcome.
6. If the assessment outcome is that the employer or prospective employer did not successfully meet the assessment requirements, ACC will discuss the assessment outcome with the employer or prospective employer.

The employer or prospective employer will be required to create a plan of outstanding actions to meet the assessment requirements that have not been met and submit it to ACC. ACC will review the proposed plan and once ACC has agreed, the actions are usually required to be completed within four weeks of ACC's agreement, with evidence of completion submitted to ACC.

## Injured employee and focus group interviews

These areas of the Assessment verify that the employer's claims and injury management and health and safety practices and processes are widely understood and used, and that the injured employee experience of the claims management process is recorded.

Open communication between varying levels, a leadership style that is consultative and co-operative, and appropriate levels of resourcing indicate an employer's commitment to the successful management of claims and injury management and health and safety.

### The injured employee interview process

Employers must demonstrate a commitment to claims and injury management and health and safety for injured employees from the time an injury occurs until the individual returns to pre-injury work hours and tasks or achieves independence.

The experience of the injured employee and the people involved in supporting the claims and injury management process demonstrates the employer's commitment to providing a safe and supportive environment.

The employer:

- selects interview participants from the claims list provided by ACC
- works towards obtaining a minimum of three consents for the interviews
- confirms participants who are willing to be interviewed by the assessor.

#### Note:

- Consent forms and an employer declaration are required to confirm this process.

The assessor:

- ensures there is signed consent from each interviewee
- reviews each claim and
- conducts a brief confidential interview with the injured employee and a support person (if requested).

#### Note:

- The assessment report only includes summary information, covering all the injured employee interviews together. Individual responses will not be identified.

### The focus group interview process

The intent of these interviews is to confirm the employer and employee's understanding of their respective responsibilities, and their experience with claims and injury management and workplace health and safety.

As part of the Claims and Injury Management section of the Assessment, the following interviews will take place:

- one management focus group interview from the primary site visited and
- at least one employee focus group interview for each site visited.

The management focus group should include senior management and other management (people in charge of others and assessment site management). The focus group may also include other management positions actively involved in claims and injury management and health and safety. The number and type of representatives may vary according to each workplace, and the assessment sites selected. The employer will select the participants of the group.

The employee focus groups should be made up of a cross section of employees from the selected sites and can include those who are actively involved or interested in health and safety management and claims and injury management. Those with management responsibilities (people in charge of others) should not be included in employee focus groups. Employees who have personal experience of having a workplace injury managed by the employer can also be included.

All unions with membership across the business must be provided with opportunities to participate in an employee focus group. Employee health and safety representatives from the site health and safety committee (or similar) should also be provided with an opportunity to participate in the group. Notification of focus group timings must be provided to all unions with membership across the business as soon as timing and location is confirmed.

Informed, signed consent will be sought from all participants by the employer, before the focus group begins. Summary information only will be included in the assessor's report. Individuals will not be identified.

ACC may request further information. In this event, ACC will discuss any additional information requirements with the employer concerned.

## Claims and injury management requirements

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### Information about the Claims and Injury Management section of the Assessment

#### Claims and Injury Management section

The Claims and Injury Management section of the Assessment is divided into six Assessment Areas:

##### **Assessment Area 1: Claim file assessment**

The assessor looks through claim files for documentation and case notes to assess the employer's claims and injury management capability.

##### **Assessment Area 2: Employee requirements**

The assessor checks that employees are informed of their own and others' responsibilities within claims and injury management, and that designated personnel are trained to meet requirements for executing their operational activities.

##### **Assessment Area 3: Reporting and continual improvement**

The assessor checks the employer's management and regular review of claims and injuries, including commitment to a continual claims and injury management improvement culture.

##### **Assessment Area 4: Policies and procedures**

The assessor checks that the employer has a robust set of policies and procedures in accordance with programme and legislative requirements.

##### **Assessment Area 5: Injured employee interviews**

The assessor completes interviews with injured employees to hear about their claims and injury management experience.

##### **Assessment Area 6: Focus group interviews**

The assessor completes focus group interviews covering both claims and injury management and health and safety topics with employees and management.

**Disclaimer:** The Claims and Injury Management section of the Assessment exists strictly for the purposes of allowing ACC to decide if employers meet the claims and injury management accreditation requirements of the Programme. The outcome of the Claims and Injury Management section of the Assessment does not confirm compliance with any legal or other obligations of the employer – it is the responsibility of the individual employer to ensure these are met.

## Prospective employer versus an existing employer

A prospective employer and an existing employer both need to complete the Claims and Injury Management section of the Assessment, however the parts of the section that need to be completed will differ for each.

### The Claims and Injury Management section for a prospective employer

The assessor will review the following assessment areas of the Claims and Injury Management section:

- Assessment Area 2: Employee requirements
- Part of Assessment Area 3: Reporting and continual improvement
- Assessment Area 4: Policies and Procedures and
- Assessment Area 6: Focus group interviews.

### The Claims and Injury Management section for an existing employer

The assessor will review the following assessment areas of the Claims and Injury Management section:

- Assessment Area 1: Claim file assessment
- Assessment Area 2: Employee requirements
- Assessment Area 3: Reporting and continual improvement
- Assessment Area 5: Injured Employee interviews and
- Assessment Area 6: Focus group interviews.

Assessment Area 4: Policies and procedures will only be reviewed if the assessor identifies areas of concern in the Assessment Area 1, Assessment Area 2, or Assessment Area 3. In this case, the assessor will only review the relevant procedures (for example, injury management manual) of the areas of concern.

## Important note

Under the AEP Accreditation Agreement (the Agreement), responsibility for all claims and injury management ultimately rests with the employer.

While an employer may choose to use the services of a Third Party Administrator to assist them in the delivery of claims and injury management services, the responsibility for claims and injury management remains with the employer. The level of involvement of a Third Party Administrator will vary according to individual subcontracting arrangements with the employer. Who undertakes each step, and the type and frequency of communication, will be determined between the employer and their Third Party Administrator.

## Claims and Injury Management section

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### Assessment Area 1: Claim file assessment

Objective: Through claim file reviews, the employer has proven the capability of their claims and injury management practice to meet AEP accreditation requirements and related legislation. This results in the best possible support for injured employees' rehabilitation and supports them in a sustainable and durable return to work.

Assessment Requirement	Assessment Verification - Evidence
1. Cover decision	1. The completed ACC45 Injury Claim form, or other acceptable documents for lodgement of a claim, is found in the claim file.
	2. Cover decisions are made in a timely manner and comply with legislation.
	3. Any delayed cover decisions meet legislative requirements (where applicable).
	4. Cover decision is confirmed in writing, including making the injured employee aware of: <ul style="list-style-type: none"><li>• the Code of ACC Claimants' Rights (the Code)</li><li>• where to get a copy of the Code of ACC Claimants' Rights and</li><li>• the range of entitlements (for example, Entitlement Factsheet).</li></ul>
	5. All declined cover decisions are confirmed in writing, state the reasons for declination, and include review rights.
	6. Efforts are made to discuss an unfavourable or revoked cover decision.
2. Entitlements	1. People in charge of others notify the injury management advisor within two working days of first being aware of the injury (for example, phone call, email, work injury/incident report, ACC45 Injury Claim form).
	2. New claims or injury notifications are appropriately screened to identify which injuries require a needs assessment.

**Assessment Requirement****Assessment Verification - Evidence**

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2. Entitlements – cont.	<p>3. When the screening process identifies the requirement for a needs assessment, this is completed by the injury management advisor within two working days.</p> <hr/> <p>4. Medical certificates in the claim file cover all periods of incapacity. The employer’s approval of entitlements is provided when gaps are identified on claims with continuous incapacity.</p> <hr/> <p>5. Earnings details, medical certificates, and calculation sheets are maintained on all files where weekly compensation is paid or considered.</p> <hr/> <p>6. Written weekly compensation decisions, including calculations, are provided to the injured employee regularly from the date entitlements commence.</p> <hr/> <p>7. The injured employee has been advised in all situations where more than the statutory entitlement is paid (where applicable).</p> <hr/> <p>8. All entitlement decisions are confirmed in writing and include review rights according to the legislation.</p> <hr/> <p>9. Where unfavourable, cancelled, or suspended entitlement decisions are made, the employer demonstrates the attempts to contact the injured employee to discuss the decision in advance of written notification being sent.</p>
3. File management and administration	<p>1. Claim files only contain information relevant to the injury.</p> <hr/> <p>2. Injured employee consent is gained (where applicable), including:</p> <ul style="list-style-type: none"><li>• written explanation to the injured employee of why the consent form is required</li><li>• consent form complies with applicable Privacy Act and Health Information Privacy Codes and</li><li>• signed consent form is on file, noting the ACC45 Injury Claim form is sufficient for medical-fees-only claims.</li></ul> <hr/> <p>3. Individual claim information is kept separately from other employment-related information (for example, personnel files), and only designated claims management personnel have access to it.</p>

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## Assessment Requirement

## Assessment Verification - Evidence

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3. File management and administration – cont.	<ol style="list-style-type: none"><li>4. Checks are undertaken on claim files to ensure that only individual work injury-related claim information is held. Checks must be undertaken at hand-back, referral to a specialist, request from the injured employee, at review, or when the file is being released externally.</li><li>5. Where privacy breaches have occurred, there is evidence to show how they have been managed in accordance with the ACC Privacy Directive and Privacy legislation.</li></ol>
4. Communication, rehabilitation and return to work	<ol style="list-style-type: none"><li>1. Verbal communication with the injured employee who is not rehabilitating in the workplace is made:<ul style="list-style-type: none"><li>• by the employer at least once a month and</li><li>• in-person, via use of video/online call, or via the phone.</li></ul></li><li>2. Communication with injured employee rehabilitating in the workplace is demonstrated through:<ul style="list-style-type: none"><li>• documented weekly direct consultation to review the progress of their rehabilitation in the workplace and</li><li>• identified issues being advised to the case manager (where applicable), allowing required actions to be taken.</li></ul></li><li>3. Individual rehabilitation plans resulting from discussions with the injured employees and other relevant parties must include:<ul style="list-style-type: none"><li>• goals</li><li>• actions to be taken</li><li>• responsibility for actions and</li><li>• timeframes for completion or review.</li></ul></li></ol>

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## Assessment Requirement

## Assessment Verification - Evidence

4. Communication, rehabilitation and return to work – cont.

- 
4. Individual rehabilitation plans, specific to the injured employee are developed in direct consultation:
    - with the injured employee within a maximum of 28 days of the cover decision
    - with relevant parties (where applicable) (for example., with people in charge of others and union and health and safety representatives) and
    - considering related workplace health and safety issues (for example, the injured employee and the safety of others).
- 
5. Individual rehabilitation plans are reviewed and updated by agreed timeframes to reflect the status of rehabilitation.
- 
6. Actions taken following the review, including scheduled case meetings, consultative review, or entitlement updates are demonstrated.
- 
7. Review of individual rehabilitation plans that continue past the agreed initial outcome date and any non-progressive rehabilitation cases. This could include:
    - consideration of an updated outcome date (where applicable)
    - barriers to a successful outcome to date or
    - consideration of rehabilitation options (where applicable).
- 
8. Relevant Initial Occupational Assessments (IOA) and Initial Medical Assessments (IMA) are initiated (where applicable).
- 
9. Health providers are given sufficient information to support their assessments. This must include:
    - information about the workplace to support onsite assessments (where applicable)
    - collated information sent to the health providers to support their assessments and
    - copy of the referral letter sent to the injured employee.
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**Assessment Requirement****Assessment Verification - Evidence**

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5. Where complaints and lodged Reviews are raised, these are appropriately managed

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1. Management of complaints is demonstrated (where applicable).

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  2. Options for informal resolution of complaints are used in the first instance and as early as possible (where applicable).

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  3. Management of lodged Reviews is demonstrated (where applicable).

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  4. Options for informal resolution of lodged Reviews considered (where applicable).
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## Assessment Area 2: Employee requirements

Objective: The employer will ensure all employees are informed of their own responsibilities, and the responsibilities of all other relevant parties in managing claims and injuries. The employer will ensure that designated personnel have the specific knowledge, skills, appropriate information, training, and supervision to execute their activities.

### Assessment Requirement

### Assessment Verification - Evidence

1. The employer ensures there are designated, trained and knowledgeable personnel responsible for the claims and injury management in their organisation

1. The Accredited Employer has identified designated personnel who have claims and injury management roles and responsibilities and can demonstrate that they have provided them with training, covering some or all the following topics (role dependent):

- cover decisions
- case management (if applicable)
- needs assessment (if applicable)
- support of rehabilitation and return-to-work
- entitlements
- weekly compensation
- complaints management or
- privacy and handling of confidential claim information.

2. Designated claim and injury management personnel have at least:

- a tertiary qualification in rehabilitation (or equivalent), and 12 months of workplace rehabilitation experience
- 24 months of workplace rehabilitation experience or
- is working under the direct, close supervision of someone who meets the above requirements (for example, within a subcontracting relationship with a Third Party Administrator).

3. Induction training for all personnel with claims and injury management responsibilities is provided for those recently employed or given additional responsibilities.

## Assessment Requirement

## Assessment Verification - Evidence

1. The employer ensures there are designated, trained and knowledgeable personnel responsible for the claims and injury management in their organisation – cont.

4. The employer demonstrates refresher training of personnel with specific designated claims and injury management responsibilities (including weekly compensation), is being completed at least every 12 months.
5. Where recommendations for cover or entitlement decisions are rejected by someone other than the person making the recommendation, the file demonstrates the rationale behind the rejection. Note: the rationale must be in line with legislation.
6. The employer demonstrates they have a designated ACC liaison regarding fatal claims, serious injury, and claims of a sensitive, complex, or prolonged nature.
7. Adequate knowledge within the Accredited Employer of the information required to allow accurate weekly compensation calculation. This is to be verbally demonstrated through brief explanations of the following:
  - Date of First Incapacity
  - Date of Subsequent Incapacity and
  - identification of relevant earnings details to support correct calculations.
8. Where legislative changes have occurred, evidence that procedures for making cover decisions have been reviewed and updated to meet new legislation where required, and personnel have been trained on the changes.

## Assessment Requirement

## Assessment Verification - Evidence

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2. All employees are informed of AEP and relevant procedures of claims and injury management	<ol style="list-style-type: none"><li>1. All employees are informed of the AEP at induction and at least once every 12 months. This must include information on:<ul style="list-style-type: none"><li>• claims lodgement procedure</li><li>• entitlements and how to access these</li><li>• complaints and review procedures</li><li>• the right to support (for example, family/whānau, friend, union representative)</li><li>• how employees can advise service providers that they are employed by an Accredited Employer and</li><li>• an overview of the key roles in rehabilitation (for example, the roles of the case manager, complaints manager, team manager).</li></ul></li></ol>
	<ol style="list-style-type: none"><li>2. All information is readily available in accessible formats (for example, noticeboards, intranet, posters) and considers employees' literacy, language, culture, and any other factors that may affect understanding.</li></ol>
3. The employer supports rehabilitation in the workplace for non-work injury	<ol style="list-style-type: none"><li>1. The employer demonstrates how they support the rehabilitation of employees with non-work injuries when rehabilitating in the workplace (where applicable).</li></ol>

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### Assessment Area 3: Reporting and continual improvement

Objective: The employer can demonstrate a systematic approach to reviewing and analysing their management of claims and injuries. They do this by reviewing their claims and injury management performance and evaluating their outcomes as part of a continual improvement culture.

#### Assessment Requirement

#### Assessment Verification - Evidence

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1. The employer reports on their claims and injury management-related activities and outcomes

1. The employer has organisational level objectives and goals in place for the management of rehabilitation and return to work activities, demonstrated through:
  - visibility of the current organisational objectives and goals
  - plans that have been developed and completed to achieve these
  - reporting on performance of the objectives and goals and
  - regular review of the objectives and goals (every 12 months at a minimum) in consultation with relevant parties to ensure they remain relevant.

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2. The employer undertakes a review of their claims and injury management system and processes

1. The employer holds monthly meetings to review claims and injury management of active and ongoing cases, and where they engage a Third Party Administrator, this meeting involves them.
2. Reviews of claim files and decisions are completed throughout the year. This must include:
  - reviews of multiple claim files
  - a selection of cover decisions on claims and entitlement decisions that have been reviewed at least once every 12 months for accuracy and compliance against legislative requirements and
  - that reviews are completed through internal peer review by a case manager or team manager other than the decision maker.

- 
3. Self-assessment and action/resolution improvement activities are occurring. This must include:
    - a self-assessment of the employers' claims and injury management system and processes is completed once every 12 months by the Accredited Employer against the Claims and Injury Management section of the Assessment and
    - actions (and resolutions) following the self-assessment are documented and responsibilities are assigned.
-

## Assessment Area 4: Policies and procedures

Objective: The employer has developed a robust set of policies and procedures that reflect the requirements stated in legislation, the Agreement, and the Claims and Injury Management section of the Assessment. These policies provide consistency and transparency in claims and injury management throughout their organisation.

Assessment Requirement	Assessment Verification - Evidence
1. There is a documented policy committing to timely rehabilitation, developed through consultation with relevant participants	<ol style="list-style-type: none"><li>1. The employer has a documented policy committing to timely employee rehabilitation that:<ul style="list-style-type: none"><li>• is updated every 24 months and signed/authorised by a senior manager</li><li>• is accessible to all employees</li><li>• is included in employee induction</li><li>• includes the responsibilities for rehabilitation</li><li>• is developed with appropriate consultation (for example, nominated employee representatives and union) and</li><li>• recognises the employee's right to support, advice, and representation from a health and safety representative or nominated employee's representative (for example, colleague, friend, family/whānau, union representative).</li></ul></li></ol>
2. The employer has an induction and ongoing training programme for personnel who work in claims and injury management	<ol style="list-style-type: none"><li>1. Induction and training are documented and cover the claims and injury management policies and procedures.</li></ol>
3. The employer has a system in place for the review of claims and injury management in their organisation	<ol style="list-style-type: none"><li>1. All claims and injury management policies and procedures are reviewed at least once every 24 months, and whenever changes are made to applicable legislation or ACC Operational Directives.</li></ol>

## Assessment Requirement    Assessment Verification - Evidence

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At a minimum, the following have policies and procedures documented and can be evidenced:

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- |                                |   |
|--------------------------------|---|
| 4. Transfers                   | <ol style="list-style-type: none"><li>1. Procedures explain how to transfer claims (for example, claims active at the end of the claims management period, claims that reactivate after the end of the claims management period) and must include:<ul style="list-style-type: none"><li>• the requirement for claims to contain a transfer summary and a current individual rehabilitation plan (where applicable)</li><li>• notification to the injured employee, ACC, and any other relevant parties actively involved in the management of the claim</li><li>• a review of weekly compensation payment accuracy (on claims with current weekly compensation being paid), and rehabilitation prior to transfer</li><li>• that transfer of claims must occur in a timely manner</li><li>• requirement for sign off by a designated senior person and</li><li>• alignment to any ACC Operational Directives and Operational Guidelines.</li></ul></li></ol> |
| 5. Escalations and ACC liaison | <ol style="list-style-type: none"><li>1. A procedure exists for managing fatal claims, serious injury claims, and claims of a sensitive, complex, or prolonged nature.</li><li>2. A procedure is in place to liaise with and notify ACC regarding changes in the Accredited Employer's claims and injury management operation or personnel.</li></ol>   |
| 6. Screening                   | <ol style="list-style-type: none"><li>1. There is a procedure in place to screen new injury notifications to determine priorities for management. The procedure must include:<ul style="list-style-type: none"><li>• rationale for how injury notifications are triaged, considering injury type and incapacity type</li><li>• who conducts the screening</li><li>• how the results of the screening are actioned (for example, needs assessment) and</li><li>• how medical-fees only claims are identified.</li></ul></li></ol>  |
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**Assessment Requirement      Assessment Verification - Evidence**

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7. Needs assessment
1. A needs assessment procedure exists which must include:
    - who conducts the needs assessment
    - how the injured employee is contacted about their needs
    - how needs and entitlements were identified and discussed with the injured employee
    - how identified needs are actioned and
    - when a needs assessment is to be completed (within two working days from when the assessment was identified as a requirement by the screening policy/procedure).
- 

8. Cover decision
1. A procedure that states how a cover decision is made. This must include:
    - how to determine if the injury is work-related
    - the roles and responsibilities for making a cover decision
    - the responsibilities for communication on cover decisions
    - how notification of the employee's rights will occur and
    - how to demonstrate the rationale for rejecting a recommended cover decision.
  2. A procedure exists to ensure that there are internal reviews of cover decisions undertaken at least every 12 months by delegated personnel other than the decision-making case manager (for example, an internal peer reviewer or by another case manager or team manager) to assess accuracy and the timeliness of the cover decisions.
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9. Weekly compensation
1. A procedure exists that outlines how weekly compensation entitlements are calculated and provided to their employees, this must include:
    - details for the designated personnel who have weekly compensation responsibilities
    - training and induction
    - the calculation and provision of weekly compensation and
    - cover for leave or sickness of designated personnel.
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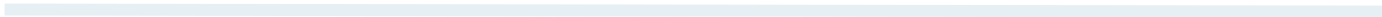
## Assessment Requirement

## Assessment Verification - Evidence

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10. Entitlements	<ol style="list-style-type: none"><li>1. A procedure exists to ensure that information on entitlements is readily accessible to all employees which must include:<ul style="list-style-type: none"><li>• how to access the information</li><li>• that information about entitlements is provided at induction and to all employees regularly (at least every 12 months) and</li><li>• how employees are advised of receiving more than the statutory entitlement.</li></ul></li></ol>
	<ol style="list-style-type: none"><li>2. A procedure exists to ensure that there are internal reviews of entitlement decisions:<ul style="list-style-type: none"><li>• at least every 12 months by delegated personnel other than the decision-maker (for example, an internal peer reviewer, another case manager, or team manager)</li><li>• to assess accuracy of the entitlement and</li><li>• to monitor timeliness of entitlements.</li></ul></li></ol>
11. Rehabilitation	<ol style="list-style-type: none"><li>1. Rehabilitation procedures must include:<ul style="list-style-type: none"><li>• responsibilities of the injured employee, union (if applicable), health and safety representatives, and management</li><li>• early return-to-work expectations</li><li>• opportunities for return-to-work duties</li><li>• responsibilities for monitoring and follow-up</li><li>• recognition of the injured employee's right to support, advice, and representation from relevant parties and</li><li>• how non-progressive rehabilitation cases are identified and managed, in consultation with relevant parties.</li></ul></li><li>2. Procedures give guidance on the range of vocational rehabilitation options, as expressed in the legislation when a return to work in the pre-injury job is not an option.</li></ol>

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## Assessment Requirement

## Assessment Verification - Evidence

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12. Secure storage and access	<ol style="list-style-type: none"><li>1. Procedures cover the storage, collection, and release of claim information (in line with legislation and ACC Operational Directives and Operational Guidelines). This must include:<ul style="list-style-type: none"><li>• what information is to be held on a claim file and the rationale for that information</li><li>• how information (including confidential, sensitive, and non-work-related medical information) will be managed</li><li>• how an individual's claim information must be kept separately from other employment-related information (for example, personnel files)</li><li>• how files (physical or electronic) will be securely stored, and access limited to delegated personnel</li><li>• references to the need to comply with the current Privacy Act and Health Information Privacy Codes and</li><li>• how all claim information will be combined into one master claim file upon closure of a claim.</li></ul></li></ol>
	<hr/> <ol style="list-style-type: none"><li>2. Files that do not require transfer at the end of the claims management period must:<ul style="list-style-type: none"><li>• not be destroyed</li><li>• be held securely and</li><li>• be accessible to ACC on request.</li></ul></li></ol>
13. Claims and injury management system security and access	<hr/> <ol style="list-style-type: none"><li>1. Procedures that state the use of and access to electronic systems used for claims and injury management must:<ul style="list-style-type: none"><li>• be secure and accessible to designated personnel only</li><li>• have security that meets the requirements of the current Privacy Act and Health and Information Privacy Codes and</li><li>• meet the security standards as defined by ACC.</li></ul></li></ol>

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## Assessment Requirement

## Assessment Verification - Evidence

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14. Provider management	<ol style="list-style-type: none"><li>1. Procedure covers provider management and payments and must include the following:<ul style="list-style-type: none"><li>• provider invoices must be paid in full by the 20th of the month following the issue of the invoice (in line with the Agreement) and</li><li>• how an incorrect payment will be corrected and communicated to the provider.</li></ul></li></ol>
15. Complaints management	<ol style="list-style-type: none"><li>1. The complaints management procedure must include:<ul style="list-style-type: none"><li>• how complaints are raised and documented</li><li>• how the complaint will be managed</li><li>• the options for informal resolution</li><li>• what information will be considered, for example, medical, employee, and employer</li><li>• the process and timeframes to carry out the review of the complaint</li><li>• the process for escalation</li><li>• considerations of the Code and</li><li>• the need for a dedicated Complaints Manager and how to identify who this is.</li></ul></li></ol>
16. Lodged Review management	<ol style="list-style-type: none"><li>1. Procedure to manage lodged Reviews must include:<ul style="list-style-type: none"><li>• consideration of the Code</li><li>• compliance with legislation and the Agreement</li><li>• how reviews are raised/requested</li><li>• how reviews are managed</li><li>• options for informal resolution and</li><li>• an evaluation of the management of lodged Reviews at least once every 12 months.</li></ul></li></ol>

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**Assessment Requirement    Assessment Verification - Evidence**

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17. Fraud and inappropriate claims	<ol style="list-style-type: none"><li>1. Procedures for identifying and managing fraud, or inappropriate claims must include:<ul style="list-style-type: none"><li>• prompt contact with ACC to seek advice</li><li>• the requirement for any investigation to be managed independently from the claim management process and</li><li>• compliance with any ACC Operational Directives and Operational Guidelines.</li></ul></li></ol>
18. Privacy	<ol style="list-style-type: none"><li>1. Procedures must be in place for managing and reporting identified privacy breaches in line with the Privacy Act and ACC Privacy Directive.</li></ol>
19. Roles and responsibilities	<ol style="list-style-type: none"><li>1. Procedure exists that defines roles and responsibilities of personnel involved in claims and injury management, including cover for leave and sickness of designated personnel.</li></ol>

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## Assessment Area 5: Injured employee interviews

Objective: To confirm and validate through interviews the injured employee's experience with the employer's claims and injury management practices.

Assessment Requirement	Assessment Verification - Evidence
1. Knowledge of the AEP	<ol style="list-style-type: none"> <li>1. The interviewee was aware that their employer was part of the AEP and knew how a claim could be lodged and where to find information about the process.</li> <li>2. The interviewee understood the process and timeframes for claim lodgement and cover decisions. If the cover decision was not made within the timeframe, they were made aware of the reasons for this.</li> <li>3. The interviewee was made aware of the range of entitlements that were available to them (for example weekly compensation, home help, transport assistance) and knew how to access these.</li> <li>4. The interviewee understood what was expected of them throughout rehabilitation.</li> </ol>
2. Support received throughout the life of the claim	<ol style="list-style-type: none"> <li>1. Rehabilitation needs and supports were understood by the interviewee including the support that was available to them following a needs assessment, and if they received those rehabilitation needs and supports within an acceptable timeframe.</li> <li>2. The interviewee understood their weekly compensation payments, timeframes, and if they received the payments within an acceptable timeframe.</li> <li>3. The employer contacted the interviewee to check on them and their progress while they were fully unfit.</li> <li>4. The interviewee knew that they were able to include a support person throughout their rehabilitation.</li> </ol>
3. Injured employee's involvement in rehabilitation	<ol style="list-style-type: none"> <li>1. How involved the injured employee was in developing an initial and subsequent rehabilitation plan with their manager.</li> <li>2. The injured employee was informed of any referral made, including in verbal and written form.</li> <li>3. Alternative duties were consultatively considered between interviewee, manager, and case manager, and when confirmed, were clearly documented in the rehabilitation plan.</li> </ol>

## Assessment Requirement

## Assessment Verification - Evidence

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### 4. Complaints and reviews

1. The injured employee knew about their right to make a complaint and how to do so. If the interviewee made a complaint what was their experience and were they notified of the outcome of the complaint.
  2. The injured employee knew about their right to formally lodge a review and how to do so if they were unhappy with a decision that was made on their claim. If they lodged a review, what was their experience with the process.
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## Assessment Area 6: Focus group interviews

Objective: To confirm and validate the employer's health and safety and claims and injury management practices through focus group interviews with management and selected employees (including unions and nominated employee representatives).

### Assessment Requirement

### Assessment Verification - Evidence

1. Risks and hazards	1. The interviewees understand: <ul style="list-style-type: none"><li>• what a hazard and risk is</li><li>• how to identify hazards and risks and</li><li>• how to assess hazards and risks once they have been identified.</li></ul>
	2. Management understands what the hierarchy of controls are, and how they are used to manage hazards and risks. (Management only)
	3. There are regular communication opportunities between senior management and employees to discuss hazard and risk management. (Employee only)
2. Incident reporting	1. Recording and reporting incidents and near hits is encouraged by the employer.
	2. Incidents and near hits are reported and investigated, and the outcome of the investigation is fed back to the individual who reported it.
	3. Interviewees know the emergency procedures for different situations and the people responsible during an emergency.
	4. Hazard management, injury prevention, and training issues arising from injury investigation are reported, action is taken, and issues are communicated to staff (where applicable). (Management only)
	5. How and when employees are notified of changes to people, process, and systems following the results of an investigation. (Employee only)



## Assessment Requirement

## Assessment Verification - Evidence

3. Engagement of employees and workers (where applicable) in health and safety matters	<ol style="list-style-type: none"><li>1. Employees (including unions and nominated employee representatives) are given opportunities for engagement and participation in health and safety matters that impact them and others.</li><li>2. There are opportunities for engagement and participation in health and safety matters for other workers (for example, contractors, other PCBUs) (where applicable).</li><li>3. Employees are allocated time and resources to perform their health and safety roles.</li><li>4. Employees feel that their management take their health and safety matters seriously.</li></ol>
4. Continual improvement	<ol style="list-style-type: none"><li>1. Management understands the employer's health and safety objectives, and what steps have been taken towards achieving those objectives. (Management only)</li><li>2. How management is actively working on continually improving the organisation's health and safety practices.</li></ol>
5. Cover decision and Rehabilitation	<ol style="list-style-type: none"><li>1. Interviewees are aware that their employer is part of the AEP and know how to register a claim and access rehabilitation support if injured.</li><li>2. The injured employees' individual claim information is kept separate from other employment-related information (for example, personnel files).</li><li>3. The interviewees are aware of the entitlements that are available to them if they are injured such as weekly compensation, treatment, social and vocational support.</li><li>4. The interviewees understand their roles and responsibilities as part of the AEP.</li></ol>
6. Complaints management	<ol style="list-style-type: none"><li>1. The interviewees are aware of their right to make a complaint and how to do so.</li><li>2. The interviewees are aware of their right to lodge a review and how to do so, if they are unhappy with a decision that was made on their claim.</li></ol>
7. Induction and training	<ol style="list-style-type: none"><li>1. Employees receive appropriate training on health and safety and AEP at induction with scheduled refresher training.</li></ol>

## Health and safety requirements

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### Introduction to health and safety requirements

Employers may demonstrate they meet the health and safety accreditation requirements of the Programme through either:

- the provision of valid and sufficient ISO45001 certification or
- completion of the Health and Safety section of the Accredited Employers Programme Assessment.

All business entities covered by an AEP Accreditation Agreement must use the same assessment method.

An employer can change between the two options, but they need to agree this with ACC in advance.

Requests for extensions to due dates for assessments against the Health and Safety section of the Assessment, or to allow an employer to extend the date required to attain ISO 45001 certification, may be considered by ACC on a case-by-case basis.

## Information about ISO

### Introduction to ISO

International Organization for Standardization (ISO) is an independent organisation that defines global standards for products, services, and systems.

ISO does not perform certification audits. Entities who want to be ISO certified must be audited by an external body against the relevant standards.

ISO certificates expire three years after they are issued.

There are a minimum of three audits conducted across the three-year certification cycle by a Conformity Assessment Body (CAB, also known as 'Certifying Body'):

- An initial certification audit is conducted prior to the issue of the ISO certificate.
- There is at least one surveillance audit per year over the next two years. Surveillance audits form part of the provisions for maintaining the currency of the ISO certificate.
- The recertification audit is usually conducted about three months prior to the expiry of the ISO certificate.

The CAB uses an established methodology - governed by Internal Accreditation Forum (IAF) Mandatory Document (MD) 1 – for calculating the minimum number of sites to be audited and determining which sites will be audited. IAF MD1 contains:

- a calculation for establishing the minimum number of sites to be audited. This is based on the total number of sites and the type of audit (for example, initial certification, recertification, or surveillance) to be conducted
- a process for determining which sites are audited. In summary:
  - high risk and head office sites are always selected
  - 25% of the sites are randomly selected
  - the remaining sites are selected using a set of criteria (outlined in IAF MD1).

If there are any clauses that the entity has not met in the ISO audit (non-conformances), the CAB will work directly with the entity to manage the corrective actions. Failing to complete the corrective actions may affect the entity's ability to get certified (or recertified) or may result in the termination of the entity's existing ISO certificate.

Entities are also able to transfer between different CABs however there are ISO rules about when this can or cannot be done.

### Using ISO 45001 to meet the AEP health and safety accreditation requirements

The current ISO standard is ISO 45001:2018 Occupational Health and Safety (OH&S) Management System. For more information about the standard, please see the [ISO website](#).

- ACC has the final approval for the use of ISO certification for the purpose of fulfilling the health and safety accreditation requirements of the Programme.

The employer or prospective employer will need to meet a set of conditions for ACC to accept ISO 45001 in accordance with clause 11.3 of the Framework, as set out in the following section.

## ACC's conditions for accepting ISO 45001 certification

ACC has a set of conditions for employers or prospective employers to ensure that ISO certification meets the health and safety accreditation requirements of the Programme:

- conditions related to the ISO certificate
- conditions related to ISO audits and
- conditions for entities/sites wanting to join AEP and choose ISO.

### Conditions related to the ISO certificate

The ISO certificate must include the ISO 45001 standard and cover all entities and sites that are included in the Agreement.

The ISO certificate must be issued by an accredited CAB.

- Accreditation of the CAB is issued by an accreditation body recognised by the International Accreditation Forum (IAF).
- Currently the only accreditation body that can accredit a CAB to provide ISO 45001 certification within New Zealand is the Joint Accreditation System of Australia and New Zealand (JASANZ). The [JASANZ Register](#) shows a list of accredited CABs. Note: If the employer or prospective employer uses an accreditation body that is not based in New Zealand or Australia, they will need to contact ACC to confirm that this is appropriate.

An employer or prospective employer must notify ACC of the withdrawal or suspension of their ISO certificate by the CAB within two working days so that they can be assessed against the Health and Safety section of the Assessment as soon as practical.

### Conditions related to ISO Audit

For ISO certification to be used for the purpose of fulfilling the Health and Safety accreditation requirements of the Programme, at least one New Zealand site (within the Agreement) must be audited each year.

The CAB chooses the sites for all audits (initial certification, re-certification, and surveillance). If a New Zealand site hasn't been selected, then an appropriate New Zealand site must be manually added on top of the sites selected by the CAB.

#### Note:

- Not all New Zealand sites will need to be audited, however all New Zealand sites that are included within the Agreement need to be covered under the ISO 45001 certificate.

Employers and prospective employers are responsible for providing a copy of the ISO certificate and summary audit information to ACC within seven working days from the date they receive the information from the CAB. They need to:

- Provide a copy of the new ISO certificate (the certificate is produced by the CAB after a successful recertification audit).
- Provide additional information to ACC (at the conclusion of each audit) as the ISO certificate does not include all information required.

ACC does not require a copy of the full ISO audit report.

## **Conditions for entities/sites wanting to join AEP and choose ISO**

If a new entity wants to enter the Programme on a new AEP Accreditation Agreement and wants to use ISO 45001 to meet the health and safety accreditation requirements of the Programme, they must have at least six months remaining on their ISO certificate at the time of entry into the Programme.

If an existing Accredited Employer wants to add new entities or sites to the Agreement, and they use ISO 45001 to meet their health and safety accreditation requirements, the new entities or sites must already have a current ISO 45001 or be added to an existing ISO 45001 certificate:

- If the new entity/site already has a current ISO 45001 certificate, then they meet the health and safety accreditation requirements to enter the Programme.

### **Note:**

If the ISO certificate expiry dates for the entities do not align, the recertification ISO audits should be completed for all entities at the expiry of the earliest certificate (one ISO certificate per contract).

- If the new entity/site does not have a current ISO 45001 certificate, then the CAB can do a scope extension audit to include new entity/site. They will need to get a comply result to be added to the existing ISO certificate.
- If the new entity/site does not have a current ISO 45001 certificate or has not been included in a current ISO 45001 certificate, the new entity/site will need to remain outside of AEP.

## **Information about the Health and Safety section of the Assessment**

### **Health and Safety section of the Assessment**

The Health and Safety section of the Assessment is divided into ten Assessment Areas:

#### **Assessment Area 7: Context and scope**

The assessor and employer discuss the environment in which the employer operates and the aspects of the employer's operation their health and safety management system applies to.

#### **Assessment Area 8: Leadership, employee participation, and planning**

The assessor checks that the employer has a suitable health and safety statement or policy and has established objectives, made plans, and defined roles and responsibilities in support of this statement or policy. The assessor will also confirm that employees have been given an opportunity to participate in the development of the organisation's health and safety management system.

#### **Assessment Area 9: Hazard identification, risk assessment and management**

The assessor confirms that the employer has identified workplace hazards and risks and determined, developed, implemented, and assessed the effectiveness of any risk controls. The assessor will also check that the employer has documented their legal and other health and safety obligations.

#### **Assessment Area 10: Capability and capacity**

The assessor confirms that the employer is adequately resourcing health and safety in their organisation, including appropriate induction, measures aimed at assessing and attaining competence, and the provision of up-to-date documentation.

#### **Assessment Area 11: Emergency management**

The assessor ensures the employer has plans to prepare for and respond to potential emergency situations, that the plans have been tested, and that equipment is provided in support of the plans.

#### **Assessment Area 12: Accredited Employers and external Persons Conducting a Business or Undertaking, including contractors**

The assessor checks that the employer has an established approach to selecting, inducting, and monitoring the performance of external Persons Conducting a Business or Undertaking whenever they are engaged.

#### **Assessment Area 13: Incident reporting, recording, investigation, and corrective action**

The assessor confirms that the employer has recorded and investigated all incidents, injuries, and illnesses in their workplace and implemented corrective actions, as required.

#### **Assessment Area 14: Review, evaluation, and continual improvement**

The assessor checks that the employer has measured, monitored, and reviewed their health and safety performance within the previous 12 months. The assessor will also confirm the employer has audited and evaluated the effectiveness of their health and safety management system in this same period.

### **Assessment Area 15: Management of change**

The assessor confirms that the employer has anticipated, assessed, and managed impacts to their health and safety management system ahead of (or following) changes to the organisation.

### **Assessment Area 16: Workplace observation**

The assessor observes some of the documented items/systems evidenced earlier in the assessment in practice throughout the assessed workplaces.

**Disclaimer:** The Health and Safety section of the Assessment exists strictly for the purposes of allowing ACC to decide if employers meet the health and safety accreditation requirements of the Programme. The outcome of the Health and Safety section of the Assessment does not confirm compliance with any legal or other health and safety obligations of the employer. It is the responsibility of the individual employer to ensure these are met.

## Health and Safety section

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### Assessment Area 7: Context and scope

Objective: The employer understands the environment in which they operate and can define the scope of their health and safety management system, along with any issues that could affect the outcomes of it. This includes identifying any other relevant parties, in addition to their employees, and determining their needs and expectations in relation to the health and safety management system.

Assessment Requirement	Assessment Verification – Evidence
1. Employer context	1. The employer has determined the context in which it operates, including the requirements of employees and any other relevant parties.
2. Health and safety management system scope	1. The employer has determined the scope of their health and safety management system.



## Assessment Area 8: Leadership, employee participation, and planning

Objective: The employer demonstrates a commitment to health and safety and injury prevention in their workplace, including the development of plans and setting of objectives aimed at maintaining and continually improving their health and safety management system. The employer can demonstrate that their employees have been engaged, and have participated, in the development, implementation, and evaluation of this health and safety management system.

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Assessment Requirement	Assessment Verification - Evidence
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|-----------------------------|---|
| 1. Health and safety policy | <ol style="list-style-type: none"><li>1. There is a documented statement or policy that demonstrates an employer's commitment to health and safety that includes:<ul style="list-style-type: none"><li>• a commitment to comply with relevant:<ul style="list-style-type: none"><li>○ legislation</li><li>○ regulations</li><li>○ regulator guidance (for example, WorkSafe New Zealand, Maritime New Zealand, or Civil Aviation Authority of New Zealand), including Approved Codes of Practice, Codes of Practice, Safe Work Instruments, and best practice guidelines</li></ul></li><li>○ standards and</li><li>○ industry guidance.</li></ul></li><li>• a commitment to consult and engage with employees, Health and Safety Representatives and, where applicable, unions regarding matters relating to workplace health and safety</li><li>• a framework for the establishment of objectives</li><li>• a commitment to continual improvement in health and safety</li><li>• appropriate authorisation, position, and date and</li><li>• evidence that senior management (or officer, if applicable) have reviewed the policy or statement in line with their strategic plans.</li></ol> |
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## Assessment Requirement

## Assessment Verification - Evidence

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2. Defined health and safety roles and responsibilities for senior management and employees

1. Specific health and safety responsibilities are designated and documented at all levels of the organisation, including Persons Conducting a Business or Undertaking, officers, senior management, people in charge of others, and all employees.
2. Designation at senior management level to ensure that the health and safety management system is implemented, maintained, and reported on, in terms of performance.
3. People in charge of others, including senior management, have had their performance evaluated against their specific health and safety responsibilities.

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3. Health and safety objectives

1. Health and safety objectives have been established by senior management, with the involvement of employees and/or their representatives, and are:
    - appropriate to the size and type of business or undertaking
    - relevant to each level within the business or undertaking
    - related to identified hazards and risks and
    - aimed at maintaining and continually improving the employer's health and safety management system.
  2. The employer's plans for achieving its health and safety objectives include consideration of:
    - necessary resources
    - timeframes
    - methods of evaluation
    - consultation and
    - alignment with organisational processes.
  3. Health and safety objectives and the plans to achieve them have been periodically reviewed, updated, or reset by senior management, involving employees and/or their representatives.
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## Assessment Requirement    Assessment Verification - Evidence

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1. The employer has an established health and safety participation system that:
  - includes readily available, documented information about the system
  - is communicated to employees at agreed periods, including initial induction
  - has been agreed to by employees and/or their representatives and
  - provides employees and/or their representatives with the necessary resources to contribute to the system.

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2. Documented information is retained to show health and safety meetings, or similar, involving management, employees, and/or employee representatives, occur in line with agreed processes, or at least quarterly. This may be immediately prior to entry for new applicants to the Programme.

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4. Employee engagement and participation
3. The employer has consulted with employees and/or their representatives on the following:
  - creating and reviewing their health and safety policy
  - setting their health and safety objectives and formulating plans to achieve them
  - deciding what requires monitoring, measurement, and evaluation
  - planning, instituting, executing, and upholding an audit programme
  - ensuring ongoing enhancement and progress
  - defining the approach to meet legal and other requirements
  - identifying relevant controls for outsourcing, procurement, and contractor management
  - considering competency requirements, addressing training needs, conducting training, and evaluating training outcomes and
  - identifying necessary communications and outlining communication methods.

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**Assessment Requirement      Assessment Verification - Evidence**

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| 4. Employee engagement and participation – cont. | 4. The employer has engaged employees and/or their representatives in the following: <ul style="list-style-type: none"><li>• establishing consultation and participation mechanisms</li><li>• identifying and evaluating health and safety hazards and risks</li><li>• formulating actions to eliminate health and safety hazards and reduce health and safety risks</li><li>• determining control measures and ensuring their effective implementation and utilisation and</li><li>• investigating incidents and establishing corrective actions.</li></ul> |
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5. Recognition of innovation and/or exceptional practice and performance in health and safety.

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| 5. Planning | 1. The employer has a plan (or plans) for: <ul style="list-style-type: none"><li>• actions that address identified risks and opportunities, including those related to health and safety legal requirements</li><li>• integrating and implementing the above actions into their health and safety management system processes or other business processes and</li><li>• evaluating the effectiveness of any actions that have been executed.</li></ul> |
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## Assessment Area 9: Hazard identification, risk assessment and management

Objective: The employer has a system in place to identify, assess, manage, and control the actual and potential workplace health and safety hazards and risks over which they have authority or influence.

Assessment Requirement	Assessment Verification - Evidence
1. Identify legal and other health and safety obligations	<ol style="list-style-type: none"><li>1. The employer has a process for identifying and remaining up to date with relevant:<ul style="list-style-type: none"><li>• legislation</li><li>• regulations and Safe Work Instruments</li><li>• regulator guidance (for example, WorkSafe New Zealand, Maritime New Zealand, or Civil Aviation Authority of New Zealand), including Approved Codes of Practice, Codes of Practice, and best practice guidelines</li><li>• standards and</li><li>• industry guidance.</li></ul></li><li>2. The employer has maintained and retained documentation on its legal requirements and other relevant health and safety information.</li></ol>
2. Hazard identification and risk assessment	<ol style="list-style-type: none"><li>1. The employer has a process for identifying health and safety hazards that considers:<ul style="list-style-type: none"><li>• people, including those with access to the workplace, those nearby who may be affected, and workers not under the organisation's direct control</li><li>• changes in the organisation's operations</li><li>• previous or potential incidents or emergency situations</li><li>• evolving knowledge and information about hazards</li><li>• identification of exposure monitoring requirements and</li><li>• identification of health monitoring requirements.</li></ul></li><li>2. The employer has a documented procedure that clearly identifies the various methodologies and criteria in the assessment of risks associated with identified hazards.</li></ol>

Assessment Requirement	Assessment Verification - Evidence
2. Hazard identification and risk assessment – cont.	<p>3. The employer has assessed the level of risk in accordance with their documented procedure.</p> <p>4. Risks associated with the identified hazards have been documented.</p>
3. Hazard and risk control	<p>1. Risk controls have been determined in consultation with relevant parties, and appropriate information and advice has been sought.</p> <p>2. Risk controls have been developed for hazards that have health and safety risks, in accordance with the hierarchy of controls.</p> <p>3. Risk controls (including exposure and health monitoring, where appropriate) have been implemented and communicated to employees and other relevant parties.</p> <p>4. The effectiveness of implemented risk controls has been assessed.</p>

## Assessment Area 10: Capability and capacity

Objective: The employer ensures the maintenance and improvement of its health and safety management system is adequately resourced. Employees understand their contribution to, and involvement in, the ongoing effectiveness of the health and safety management system through workplace inductions, competency assessments, targeted and effective communication, and up-to-date documentation.

Assessment Requirement	Assessment Verification - Evidence
1. Resourcing health and safety	<ol style="list-style-type: none"><li>1. The allocation of resources to maintain and improve the health and safety management system has been assessed and provided.</li></ol>
2. Induction	<ol style="list-style-type: none"><li>1. The employer provides an induction for employees that considers literacy, language, culture, and neurodiversity, along with any other factors that may affect understanding.</li><li>2. Records of individual employee inductions to the workplace are available which include:<ul style="list-style-type: none"><li>• emergency procedures</li><li>• hazard and incident reporting</li><li>• work hazards and risks, including psychosocial risks</li><li>• key controls for risks</li><li>• health and safety responsibilities of the employer, employees and, where applicable, any other relevant parties</li><li>• employee participation and representation processes</li><li>• health and safety policies and objectives</li><li>• how employees can contribute to the effectiveness of health and safety</li><li>• consequences of failing to adhere to the health and safety management system and</li><li>• the right to cease or refuse unsafe work.</li></ul></li></ol>

## Assessment Requirement

## Assessment Verification - Evidence

### 3. Competence

1. The employer has developed, implemented, and maintained a process to assess and determine levels of competency for employees, including transferring employees, that can affect their health and safety performance. This can be formal training, demonstration of practice, or other methods, as appropriate.
2. The employer has:
  - confirmed that employees have the necessary competence, including the capability to recognise hazards, through education, training, or experience
  - put in place actions to acquire and maintain the required competence and evaluated the effectiveness of these actions, if required and
  - maintained relevant records as evidence of competence.
3. Records are available that show health and safety training, or refresher courses, relevant to health and safety roles and/or responsibilities, have been undertaken by employees and/or their representatives within the past 24 months, or as indicated by the employer's industry.
4. Records are available that show senior management, people in charge of others, and designated health and safety teams have increased or refreshed their health and safety knowledge within the previous 24 months.

### 4. Communication

1. The employer has established, implemented, and maintained a communication process for its health and safety management system which includes determining:
  - what to communicate
  - when to communicate
  - who to communicate with and
  - how to communicate.



## Assessment Requirement

## Assessment Verification - Evidence

### 5. Document control

1. The employer has a system to control documented information relating to their health and safety management system that:
  - identifies the documentation that needs to be kept up to date
  - ensures that only the latest version of this documentation is used
  - prevents unauthorised changes to this documentation
  - ensures up-to-date documentation/information is readily available to employees
  - defines the retention period for documentation/information, considering legal and other requirements and
  - manages out-of-date/obsolete documentation/information.
2. Records are available that show documentation/information has been controlled in line with the documented system.

## Assessment Area 11: Emergency management

Objective: The employer has emergency plans in place to prepare and respond to potential emergency situations, including the equipment that is used and the personnel that are involved. The employer has evidence that the emergency plans have been tested and updated to reflect the outcomes of post-emergency response reviews.

Assessment Requirement	Assessment Verification - Evidence
1. Emergency plan	<ol style="list-style-type: none"> <li>Potential emergency situations have been identified and have had appropriate responses documented.</li> <li>Emergency service requirements have been considered and documented.</li> </ol>
2. Emergency instructions	<ol style="list-style-type: none"> <li>Emergency instructions are communicated to all employees and other relevant parties.</li> <li>Emergency responders or other designated employees are known to employees.</li> </ol>
3. Emergency procedures tested	<ol style="list-style-type: none"> <li>For identified emergency scenarios in the employer's emergency plans, there is documented evidence that the relevant response has been periodically tested, considering legal and other requirements. Testing has included relevant shifts, work sites, and employees.</li> </ol>
4. Review of emergency responses	<ol style="list-style-type: none"> <li>There is documented evidence of post-emergency response reviews, with updates to procedures and plans, where applicable.</li> </ol>
5. Emergency and first aid equipment, personnel, and training	<ol style="list-style-type: none"> <li>The need for first aid and emergency equipment and personnel for identified emergency situations has been assessed, implemented, and maintained.</li> <li>There has been a determination of emergency training requirements, including type and frequency of refresher training.</li> <li>There is documented evidence that shows training for first responders such as First Aiders, Wardens, and those with specific emergency responsibilities (for example, confined space or hazardous substances), has been completed.</li> </ol>

## Assessment Area 12: Accredited Employers and external Persons Conducting a Business or Undertaking, including contractors

Objective: The employer, as a Person Conducting a Business or Undertaking (PCBU), can demonstrate that, where they engage an external PCBU, or have overlapping duties with an external PCBU, work being undertaken does not pose a health and safety risk to employees, or to other parties.

Assessment Requirement	Assessment Verification - Evidence
1. Selection of contracted external Persons Conducting a Business or Undertaking	<ol style="list-style-type: none"> <li>1. The employer has documented criteria to select external PCBUs, who will undertake work on behalf of the employer, including an assessment of their competence and management of health and safety.</li> <li>2. There is documented evidence that shows external PCBUs have been assessed against the selection criteria, where applicable.</li> <li>3. The health and safety responsibilities of PCBUs are agreed to and documented (for example, terms of reference/engagement, contract, and/or scope of work), where applicable.</li> <li>4. The employer and contracted external PCBUs have exchanged relevant health and safety information.</li> </ol>
2. Induction of contracted external Persons Conducting a Business or Undertaking and their workers	<ol style="list-style-type: none"> <li>1. A contractor/worker induction is documented that includes any site-specific rules, hazards, and/or risks and their controls.</li> </ol>
3. Monitoring and review of contracted external Persons Conducting a Business or Undertaking	<ol style="list-style-type: none"> <li>1. Records are available that show monitoring and review of contracted PCBUs' health and safety performance has occurred at regular intervals, where applicable.</li> </ol>
4. Overlapping duties	<ol style="list-style-type: none"> <li>1. Where overlapping duties exist, whether a contract exists or not, the employer has consulted, cooperated, and coordinated the relevant parts of their health and safety management system with other relevant parties, and documented evidence is retained.</li> </ol>

## Assessment Area 13: Incident reporting, recording, investigation, and corrective action

Objective: The employer has effective reporting, recording, and investigation systems to ensure work-related incidents, injuries, and illnesses are reported and recorded, and the appropriate investigation and corrective actions are taken.

Assessment Requirement	Assessment Verification - Evidence
1. Incident reporting	<ol style="list-style-type: none"> <li>1. The employer has a process for reporting, recording, and investigating all incidents, injuries, and illnesses stemming from both notifiable and non-notifiable events.</li> <li>2. Workplace injury, illness, and incident report forms, or similar, are completed, where applicable.</li> <li>3. The employer has a register, or similar, of all reported incidents.</li> <li>4. There is documented evidence of a prompt and appropriate notification to regulatory agencies, where applicable.</li> </ol>
2. Investigation	<ol style="list-style-type: none"> <li>1. Investigations of reported and/or recorded incidents have been completed, where applicable.</li> </ol>
3. Corrective actions	<ol style="list-style-type: none"> <li>1. Corrective actions have been identified and implemented, where applicable.</li> <li>2. Affected employees and relevant parties are advised of any corrective actions, where applicable.</li> <li>3. The outcomes of any implemented corrective actions have been documented, monitored, and reviewed, where applicable.</li> <li>4. Corrective actions have been fed back into hazard and risk management, where applicable.</li> </ol>
4. Early intervention of pain, discomfort, or injury	<ol style="list-style-type: none"> <li>1. The employer has a process in place to support early intervention strategies following reports of pain, discomfort, injury, or psychosocial harm.</li> <li>2. Early intervention upon receipt of reported pain, discomfort, injury, or psychosocial harm has been managed, where applicable.</li> </ol>

## Assessment Area 14: Review, evaluation, and continual improvement

Objective: The employer can demonstrate a systematic approach to measuring, monitoring, reviewing, and evaluating their health and safety management system and its performance. The actions stemming from this approach should lead to continual improvement of the employer's health and safety management system.

Assessment Requirement	Assessment Verification - Evidence
1. Measuring, monitoring, and review	<ol style="list-style-type: none"><li>Records are available that show the employer has established and maintained an approach to measuring, monitoring, and reviewing their health and safety management system and performance at least every 12 months, including:<ul style="list-style-type: none"><li>what will be measured and monitored</li><li>methods for measurement and monitoring</li><li>the method and criteria that will be used to review health and safety performance</li><li>the timeframe for conducting measurement, monitoring, and review activities and</li><li>the timeframe for communicating the results of measurement, monitoring, and review.</li></ul></li><li>Records are available that show the employer has reviewed their compliance with legal and other health and safety requirements.</li></ol>
2. Health and safety management system audit	<ol style="list-style-type: none"><li>The employer has a plan for a health and safety management system audit programme that identifies:<ul style="list-style-type: none"><li>the audit criteria, scope, frequency, and methods</li><li>the auditors who will be responsible for conducting the audit</li><li>the relevant parties who will be consulted before, during and after the audit and</li><li>the information that will be provided to relevant parties before, during and after the audit.</li></ul></li></ol>

## Assessment Requirement

## Assessment Verification - Evidence

2. Health and safety management system audit – cont.

2. The employer has implemented and maintained a health and safety management system audit programme in line with the above plan by:
  - selecting auditors and conducting audits
  - retaining documentation of the audit programme and the results of the audits themselves
  - ensuring audit results are reported to relevant parties
  - specifying how audit findings will be managed and
  - considering updates to the audit programme in line with the results from previous audits, emerging hazards and risks and changing requirements.

3. Management evaluation

1. Senior management have evaluated the effectiveness of the organisation's health and safety management system in the last 12 months. Appropriate records of management evaluations have been retained.
2. The employer has taken measures to continually improve its health and safety by:
  - enhancing health and safety performance, considering the outcomes of measurement and monitoring
  - considering the outcomes of health and safety management system audits and management evaluations
  - fostering a supportive culture for the health and safety by:
    - communicating improvement outcomes to employees and/or their representatives when applicable and
    - promoting the involvement of senior management, employees, and/or their representatives in the ongoing implementation of improvements and
  - maintaining documented evidence of continual improvement efforts.

## Assessment Area 15: Management of change

Objective: The employer has measures in place to anticipate, assess, and manage changes to their organisation, to prevent introducing additional hazards and risks to their health and safety management system. This includes considering these hazards and risks prior to, during, and after any such changes.

### Assessment Requirement

### Assessment Verification - Evidence

#### 1. Management of change

1. The employer has a process for anticipating, assessing, and managing changes to its organisation, in relation to how those changes impact, or are likely to impact, their health and safety management system. This includes changes to the organisation's:
  - operations
  - processes
  - activities
  - equipment
  - substances
  - technology
  - design of work area
  - work organisation, including governance, shareholding, mergers, and disestablishment and/or
  - legal requirements.
2. Consideration has been given to health and safety issues and the assessment of risks as part of design and prepurchase decisions, and before any changes/modifications to the following, where applicable:
  - plant, structures, facilities, or equipment
  - materials or substances
  - technology, including hardware and software and
  - the way employees interact with any of the above.

## Assessment Area 16: Workplace observation

Objective: The employer has several system-related requirements that need to be observed at each assessed site, which indicate how the documented systems work in practice.

Note: These verifications are not intended to constitute a detailed site inspection and shouldn't be relied on to satisfy compliance with any legal or other health and safety obligations.

Assessment Requirement	Assessment Verification - Evidence
1. Employee participation	<ol style="list-style-type: none"><li>1. The employer has physical, digital, and/or verbal means for employees to:<ul style="list-style-type: none"><li>• report risks</li><li>• report injuries, illnesses, and incidents and</li><li>• provide feedback on any other health and safety matters in the workplace.</li></ul></li></ol>
2. Risk assessment and control	<ol style="list-style-type: none"><li>1. The employer has a risk register, or similar, that details identified hazards and risks.</li><li>2. The employer can demonstrate that risk controls have been implemented, for example:<ul style="list-style-type: none"><li>• plant and equipment maintenance</li><li>• restricted access to worksites</li><li>• safety signage is on display</li><li>• personal protective equipment</li><li>• machine guards and/or</li><li>• traffic management systems.</li></ul></li></ol>
3. Health and safety information	<ol style="list-style-type: none"><li>1. The employer's health and safety information is readily available and current.</li></ol>



Assessment Requirement	Assessment Verification - Evidence
4. Emergency management	<ol style="list-style-type: none"> <li data-bbox="663 240 1760 269">1. The employer's emergency evacuation procedure information is readily available.</li> <li data-bbox="663 309 1816 338">2. Emergency exits, routes, and assembly points are clearly identified and unobstructed.</li> <li data-bbox="663 378 2000 477">3. Emergency equipment is clearly identified, unobstructed, well maintained, and where applicable, certified. This covers emergency equipment in both the physical workplace and in vehicles provided by the organisation.</li> <li data-bbox="663 517 2029 576">4. First aid equipment and facilities are clearly identified, adequate, available, and well maintained. This covers first aid equipment in both the physical workplace and in vehicles provided by the organisation.</li> </ol>
5. Contractor, other worker, and visitor induction	<ol style="list-style-type: none"> <li data-bbox="663 616 1984 679">1. Contractor, other worker, and visitor induction requirements are on display or communicated when they access the workplace.</li> </ol>
6. Corrective action	<ol style="list-style-type: none"> <li data-bbox="663 719 1968 751">1. Corrective actions identified in the investigation report have been implemented, where applicable.</li> </ol>
7. Continual improvement	<ol style="list-style-type: none"> <li data-bbox="663 791 2013 855">1. Continual improvement efforts identified through review, evaluation, and/or audit activities have been implemented.</li> </ol>

## Glossary

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The following pages provide a summary of the terms used in the Accredited Employer Programme Assessment materials. The additional information provided for each of these terms is intended to be used as a reference tool for users of these materials, and in the context of the Accredited Employer Programme, and is not intended to replace or modify terms which are defined in legislation.

It is important to note that:

- where there is any conflict or inconsistency with the terms below and the legislative provision, the legislative provision prevails; and
- all references to legislation (including statutes, regulations, Orders in Council or Ministerial directions) include any amendment, substitution, or re-enactment.
- the terms contained in this Glossary will be reviewed regularly to ensure that the terms remain up to date.

### ACC Operational Directives

Formal AEP-related instructions issued by ACC that Accredited Employers and Third Party Administrators must comply with. ACC Operational Directives are consistent with the Accident Compensation Act 2001 and/or the Accredited Employers Programme Framework and, where practical, the terms of a proposed Directive are developed in consultation with the Accredited Employers.

### ACC Operational Guidelines

Formal AEP-related guidance issued by ACC that Accredited Employers and Third Party Administrators might consider. The extent to which these guidelines are incorporated into an Accredited Employer's practices will be at their discretion. ACC Operational Guidelines are consistent with the Act and the Framework and, where practical, are developed in consultation with the Accredited Employers.

### Advocate

Someone who acts on behalf of the injured employee. Advocates may get involved when the injured employee wishes to be supported while working with an Accredited Employer on a claim.

### Alternative duties

Duties that allow an injured employee to stay at work or return to work. Alternative duties may include modified work tasks, a modified work environment, and/or reduced or restricted hours.

### Approved Code of Practice

A Code of Practice which has been approved by the Minister of Workplace Relations and Safety under section 222 of the Health and Safety at Work Act 2015.

## Case manager

An appropriately qualified and experienced person with knowledge of the Accident Compensation Act 2001 who has designated responsibility to coordinate the rehabilitation of injured employees. The case manager may be employed by the Accredited Employer or externally with a Third Party Administrator and may be based at the workplace or off-site.

## Claim file

An individual record (held by the Accredited Employer either in hard copy form or electronically) for each claim submitted, whether that claim is accepted or rejected. The claim file must contain all documents submitted by, or in respect of, the injured employee who has made the claim, as well as any documentation received on the claim and any decisions issued.

## Claim file monitoring

An activity undertaken by ACC to review an individual claim file's accuracy and completeness. This monitoring is done as a separate activity and is in addition to the claims and injury management section of the Accredited Employers Programme Assessment.

## Claims of a complex or prolonged nature

Claims identified as being of a complex nature typically include sensitive claims, accidental death, dental, hearing loss, gradual process, serious injuries and claims relating to injuries that could involve multiple causes.

Claims of a prolonged nature refer to any injury, or combination of injuries, where it's unlikely that a return to work by the injured employee will be achieved.

## Code of ACC Claimants' Rights (the Code)

A legislative document that sets out how ACC, and any person or organisation operating on ACC's behalf (including Accredited Employers), must work with claimants. It outlines the rights of claimants and imposes obligations on ACC and any person or organisation operating on ACC's behalf. The Code is published on [www.legislation.govt.nz](http://www.legislation.govt.nz).

## Code of Practice

A statement of preferred work practices or arrangements for the purpose of ensuring the health and safety of persons to whom the code of practice applies and persons who may be affected by the activities covered by that code.

## Complaint

Concern or issue raised by an injured employee that can be resolved informally before escalating to Lodged Review.

Complaints raised by an injured employee could include:

- a case manager not returning calls
- the employee being asked to undertake duties outside of medical certification and/or their Return to Work plan
- home help not turning up or not completing the time allocated
- transport to/from work and/or appointments not arriving
- cultural safety, or disparity of care.

## Complaints manager

The designated person/role in the Accredited Employer's organisation responsible for management of complaints. This role is separate to the decision maker or injury management advisor and is not involved in management of the claim.

## Compliance

In general, compliance means conforming to a rule, such as a specification, policy, standard or law. Regulatory compliance describes the goal that organisations aspire to achieve in their efforts to ensure that they are aware of and take steps to comply with relevant laws, policies, and regulations.

## Consultation

Sharing of information and opinions on a particular issue or series of issues, in good faith between two or more interested parties. The outcome of good faith consultation may not necessarily be an agreement.

## Continuous incapacity

Refers to a claim where the injured employee has had a continuous period of ongoing incapacity without any breaks in between. 'Incapacity' is defined at section 6 of the Accident Compensation Act 2001 and is determined under section 103 (claimant in employment at the time of suffering a personal injury) of the Act.

## Contractor

An organisation or individual providing services to the Accredited Employer who is paid but is not an employee of the Employer. Also see the statutory definition of 'worker' at section 19 of the Health and Safety at Work Act 2015.

## Cover decision

The action of making and communicating a decision on whether a claim for injury has been accepted or declined. The cover decision is made after injury notification.

### Date of First Incapacity

The first date an injured employee is medically certified as being unfit for work because of their injury, or the first date an injured employee had time off work to receive necessary health treatment for their injury, whichever is the earlier.

### Date of Subsequent Incapacity

The first day of a new period that an injured employee is no longer able to work (in either their pre-injury employment or suitable employment), as a result of aggravating a personal injury from which has previously incapacitated that person.

### Designated personnel

Certain individuals who have been assigned roles and responsibilities related to a specific function within claims and injury management by the Accredited Employer.

### Direct consultation

The interaction between a case manager and the injured employee through direct means, that is, not involving an intermediary forum such as email. Direct consultation indicates verbal communication including in-person face-to-face case meetings, electronic face-to-face meetings (via software such as Zoom or Teams), and phone calls, followed up with clear file notes recording the communication.

### Early intervention

Contact with an employee at the earliest possible opportunity to support them to stay at work, or, if the employee is off work due to injury or a workplace illness, to return to work as soon as possible.

### Employee

In this context, an individual directly employed by the Accredited Employer who the Accredited Employer pays the workplace levies for.

### Employee representatives

An individual who has been chosen or elected by a group of employees to represent them on certain matters related to their employment.

### Engagement

An opportunity for employees and other relevant parties to participate in improving workplace health and safety by sharing ideas and information, raising issues, and contributing to decision making.

## Entitlements

Entitlements provided under section 69 of the Accident Compensation Act 2001 include:

- rehabilitation, comprising treatment, social rehabilitation, and vocational rehabilitation
- first week compensation
- weekly compensation
- lump sum compensation for permanent impairment
- funeral grants, survivors' grants, weekly compensation for the spouse or partner, children and other dependants of a deceased claimant, and childcare payments.

## Evacuation procedure

A plan that describes how occupants of a building will promptly, efficiently, and safely evacuate to a place of safety if there is an emergency requiring evacuation, for example fire, gas leak, chemical spill, aggressive customer.

## Evacuation scheme

Describes the measures that have been put in place to enable safe and timely evacuation if there is a fire or suspected fire. See the statutory definition of evacuation scheme at section 3 of the Fire and Emergency New Zealand (Fire Safety, Evacuation Procedures, and Evacuation Schemes) Regulations 2018.

## Exposure monitoring

The measurement and evaluation of workers' exposure to substances, conditions and activities in the workplace that may be hazardous to their health. Exposure monitoring can be used to:

- identify, assess, and confirm health risks
- identify where new control measures are needed
- monitor how well current control measures are performing
- identify when control measures need to be reviewed, updated, or removed.

For the statutory definition of exposure monitoring, see the Health and Safety at Work (General Risk and Workplace Management) Regulations 2016. For further information, see the WorkSafe New Zealand website.

Also see 'Health Monitoring'.

## Fatal claim

Where the injured employee has died, either immediately or subsequently, as a direct result of a personal injury or injuries for which they have cover under the Accident Compensation Act 2001.

## Health and Safety Association of New Zealand (HASANZ)

An organisation which represents workplace health and safety professions in New Zealand. HASANZ maintains an online register of verified and trusted workplace health and safety professionals.

## Hazard

Anything that can cause harm, for example:

- an activity, arrangement, circumstance, event, occurrence, phenomenon, process, situation, or substance, whether arising or caused within or outside a place of work, that is an actual or potential cause or source of harm.
- a person's behaviour, where that behaviour has the potential to cause death, injury, or illness to a person, whether that behaviour results from physical or mental fatigue, drugs, alcohol, traumatic shock, or another temporary condition that affects a person's behaviour.

Hazards can be:

- physical: exposure of organs to harmful physical forces
- chemical: exposure of the organs to harmful inorganic substances
- biological: exposure of the organs to harmful organic substances
- manual tasks: biomechanical, physical, work organisation, environmental, psychosocial, and individual factors that may combine to harm the musculoskeletal system
- psychosocial: the design and management of work and its social and organisational context that may have the potential for causing mental or physical harm
- financial: risks associated with worker remuneration.

See section 16 of the Health and Safety at Work Act 2015 for the statutory definition of 'hazard'.

## Hazardous substances

Any product or chemical that has explosive, flammable, oxidising, toxic, corrosive, or ecotoxic properties:

- explosive: explodes or causes explosion
- flammable: ignites easily and burns rapidly
- oxidising: could be gaseous, solid, or liquid and can cause or intensify fire and explosion
- toxic: can harm people if it enters the body through contact, being inhaled or ingested. The effects can range from mild to life threatening and can be immediate or long term
- corrosive: can cause severe skin burns and eye damage
- ecotoxic: is toxic to the environment.

See section 2(1) of the Hazardous Substances and New Organisms Act 1996 for the statutory definition of 'hazardous substance'.

## Health and safety

A general description for anything that relates to identifying and assessing risks and hazards in a workplace and taking steps to control those potential hazards and risks in order to prevent harm to people. This includes protecting their physical and mental wellbeing and security.

## Health and safety committee

Brings together workers and management to develop and review health and safety policies and practices for the workplace.

For more information, refer to the relevant provisions in the Health and Safety at Work Act 2015 and the WorkSafe New Zealand website.

## Health and safety management system

A set of policies, processes, procedures, and plans, including information technology systems, the Accredited Employer uses to manage, maintain, and continually improve health, safety, and wellbeing in their workplace.

## Health and Safety Representative

A worker who has been elected by the members of their work group to represent them in health and safety matters.

See section 16 of the Health and Safety at Work Act 2015 for the statutory definition of 'health and safety representative'.

For more information, also see the WorkSafe New Zealand website.

## Health monitoring

Monitoring an individual to identify any change in their health status because of exposure to certain hazards. The purpose of health monitoring is to identify early signs of harm to employee health arising from work or any changes on an ongoing basis.

For the statutory definition of health monitoring, see the Health and Safety at Work (General Risk and Workplace Management) Regulations 2016. For further information, see the WorkSafe New Zealand website.

Also see 'Exposure Monitoring.'

## Hierarchy of controls

A system for controlling risks in the workplace by going through a step-by-step process for eliminating or reducing risk. The hierarchy of controls ranks risk control measures from the highest level of protection and effectiveness through to the lowest level of protection and effectiveness.

For more information, see the Health and Safety at Work (General Risk and Workplace Management) Regulations 2016, and the WorkSafe New Zealand website.



## Incident

In this context, an incident is an unplanned or uncontrolled event in the workplace that results in, or has the potential to result in injury, illness, damage, or other loss:

- An injury is harm or damage to a person's body.
- An illness is an instance of disease or poor health.

## Individual rehabilitation plan

A signed agreement between the injured employee and all relevant parties, such as the employee's case manager, line manager, treatment provider and, where requested, union and/or nominated employee representatives. The individual rehabilitation plan:

- includes a goal, timeframes, and costs
- covers the actions to be taken and responsibilities for those actions
- looks at the injured employee as a whole person in the context of their family, whānau, and culture
- is a legal document under the Accident Compensation Act 2001. The Accredited Employer must provide or do what has been agreed to
- must be updated when the injured employee's circumstances change, and the agreed interventions no longer apply or cannot be completed.

The statutory definition of an 'individual rehabilitation plan' is at section 6 of the Accident Compensation Act 2001.

## Informal resolution

A process by which the case manager or other suitably qualified and trained person meets with the injured employee to see if the issue or concern they have raised can be resolved through explanation, discussion, and/or agreement, without needing to progress to a Lodged Review.

## Initial Medical Assessment (IMA)

An appointment with an occupational physician to medically assess whether a person can do the types of work identified in their Initial Occupational Assessment.

## Initial Occupational Assessment (IOA)

If it becomes clear that an injured employee may not be able to return to their pre-injury workplace, an IOA is arranged. This is an appointment with a vocational expert to assess what types of work a person has the skills and experience to be able to do.

## Injured employee

In this context, an injured employee is a person employed by the Accredited Employer who has suffered a personal injury (as defined by the Accident Compensation Act 2001).

## Injury management advisor

An appropriately qualified and experienced person with knowledge of the Accident Compensation Act 2001, the needs assessment process and rehabilitation for injured employees.

## Injury notification

The action of communicating to the injury management advisor or case manager by the Accredited Employer that an employee has suffered a work-related injury. This may be a completed injury report, incident report, or receipt of an ACC45 Injury Claim form or ACC18 Medical Certificate Request form.

## Job Safety Analysis

An orderly way of breaking a job into logical steps and identifying hazards, assessing those hazards, and putting in place controls for those hazards. This may also be referred to as a Task Analysis on some worksites.

## Lodged Review

A review of any of the decisions that have been made in respect of an injured employee's claim that the claimant wishes to have reconsidered. The review is conducted by an independent reviewer.

Refer to sections 133-148 at Part 5 of the Accident Compensation Act 2001.

## Medical-fees-only claim

Injury which only requires initial medical support and/or less than six provider treatments, such as physiotherapy, and where no time off work or rehabilitation support is required.

## Near-hit

An unintended incident that has the potential to cause injury, illness, death, or other damage, but didn't.

A near miss is an incident that occurs but which doesn't lead to injury, illness or damage.

## Needs assessment

A needs assessment is carried out with an injured employee to discuss the entitlements that may be needed resulting from a personal injury. It should include consideration of the range of entitlements for which a person may be eligible, such as medical treatment, weekly compensation, social rehabilitation, payment of prescription costs, and/or transport to treatment.

## Non-progressive rehabilitation

A scenario where an injured employee's rehabilitation has continued beyond the expected recovery time, anticipated rehabilitation outcomes/objectives haven't eventuated (or have been achieved slower than expected), and the injured employee's situation hasn't improved.

## Notifiable event

A notifiable event is defined at section 25 of the Health and Safety at Work Act 2015 to mean any of the following events that arise from work:

- the death of a person
- a notifiable injury or illness, or
- a notifiable incident.

Also see the statutory definitions for “notifiable injury or illness” and “notifiable incident” at sections 23 and 24, respectively of the Health and Safety at Work Act 2015.

For more information, see the WorkSafe New Zealand website.

## Officer

In the context of the Accredited Employer Programme and in relation to a Person Conducting a Business or Undertaking (PCBU), an officer includes any person occupying a position in relation to the business or undertaking that allows the person to exercise significant influence over the management of the business or undertaking (for example, a chief executive). Examples include:

- for a company - any person occupying the position of a director of the company
- for a partnership (other than a limited partnership) - any partner
- for a limited partnership - any general partner.

A business or undertaking can have more than one officer. Every officer has a duty – it is not a joint duty. Officers have a duty because they make decisions about policy and investment that can affect workers’ health and safety.

For the statutory definition of officer in this context, see section 18 of the Health and Safety at Work Act 2015.

## Overlapping duties

Businesses (or PCBUs) that work together will likely share health and safety duties in relation to the same matter – these are known as overlapping duties. So far as is reasonably practicable, businesses must consult, co-operate, and co-ordinate activities to successfully meet their health and safety responsibilities to workers and others.

For more information on overlapping duties, refer to the WorkSafe New Zealand website.

## People in charge of others

People who have responsibilities for others in the workplace, such as a manager, team leader, supervisor, foreperson, second in charge, or similar.

## Person Conducting a Business or Undertaking (PCBU)

Will generally be a business entity such as a company, in this context.

The statutory definition of PCBU is contained in section 17 of the Health and Safety at Work Act 2015.

## Personal Protective Equipment

Anything used or worn by a person to minimise risks to their health and safety.

Also see the statutory definition for personal protective equipment at section 16 of the Health and Safety at Work Act 2015.

## Plant

Includes machinery, vehicles, vessels, aircraft, equipment, appliances, containers, implements, and tools. Plant also includes any part of these, or anything fitted to these.

Also see the statutory definition for plant at section 16 of the Health and Safety at Work Act 2015.

## Privacy breach

A situation where an organisation or an individual either intentionally or accidentally:

- provides unauthorised or accidental access to someone's personal information
- discloses, alters, loses, or destroys someone's personal information

A privacy breach also occurs when someone is unable to access their personal information due to, for example, their account being hacked. In this context, an example of a privacy breach could be the injured employee's claim information not being handled separately from their personnel information as an employee of the Accredited Employer.

For more information see the Privacy Act 2020 and the Office of the Privacy Commissioner website.

## Procedure

A series of steps that is clearly documented in either hard copy text format, electronic text format, or a series of hard copy or electronic flowcharts, diagrams, picture-form representations or similar, or any combination of these.

## Process

A series of steps which may or may not be documented to verify who does what, when, and how, to achieve a desired result or outcome.

## Regulatory agency

A body that sets and enforces standards for a particular industry or field of activity. Regulatory agencies are also known as regulatory bodies, regulatory authorities, or regulators.

Also see the statutory definition for regulatory agency at section 16 of the Health and Safety at Work Act 2015.

## Rehabilitation

A process of active change and support with the goal of restoring the injured employee's health, independence, and participation, and comprises treatment, social rehabilitation, and vocational rehabilitation.

Refer to the Accident Compensation Act 2001 for further detail.

## Relevant party

In a claims and injury management context, relevant party refers to people that may be invited to and attend direct consultation meetings. These people are often selected by the injured employee to provide support, including with communication and understanding entitlements.

In a health and safety context, relevant party refers to any individual or group who has an interest in and/or impact on the Accredited Employer's health and safety-related decisions, activities, and/or results.

## Return to work duties

The tasks an injured employee will undertake when a return to their pre-injury role is not appropriate. Other terms may include alternative, transitional, modified, or light duties.

## Revoked cover decision

A cover decision that has been officially cancelled by the Accredited Employer based on current or new information indicating that the original cover was incorrectly granted, either because the injury wasn't part of an accident event, or the diagnosis isn't causally linked to an accident event. A revoked cover decision may impact the entitlements the injured employee is entitled to.

## Risk

For the purposes of this Glossary, the term risk is used in the context of health and safety and the Accredited Employer Programme, and describes the likelihood that certain consequences, such as death, injury, or illness, will occur when a person is exposed to an identified hazard. Risk can be classified as inherent or residual:

- Inherent risk: the risk before controls have been implemented.
- Residual risk: the risk remaining after controls have been implemented.

## Risk assessment

An assessment of an Accredited Employer's workplace that helps to:

- identify an organisation's risks
- assess the likelihood and impact of the risks, considering existing controls
- compare estimated levels of risk against a pre-established appetite or threshold to determine what more may need to be done to decrease any residual risk level if required.

## Risk control

Any measure introduced to eliminate identified hazards and risks or minimise their likelihood and/or severity.

## Safe Work Instrument

A form of legislation that supports or complements regulations under the Health and Safety at Work Act 2015. Safe Work Instruments can be used to:

- prescribe detailed or technical matters or standards that change relatively frequently and will often be industry-specific
- set additional or modified workplace controls for hazardous substances approved or reassessed by the Environmental Protection Authority
- provide an alternative means of complying with regulations
- support the effective operation of the health and safety regulatory framework, for instance by setting exposure monitoring standards or stipulating requirements for training, competence, or safety management systems.

For more information, see the Health and Safety at Work Act 2015 or the WorkSafe New Zealand website.

## Safe Work Method Statement

A step-by-step description of how to do a task, job, or activity safely and is intended to identify and manage all risks associated with each stage of that task, job, or activity.

## Safety Data Sheet

A document that provides comprehensive information about the properties and uses of a hazardous substance and how it should be safely used, stored, transported, and disposed of. A Safety Data Sheet also provides first aid information, guidance about the personal protective equipment that the person handling the substance should wear and what to do in the event of an emergency, such as a spill or fire.

For further information, refer to the WorkSafe New Zealand website.

## Self-assessment

An internal assessment carried out by the Accredited Employer organisation in respect of the claims and injury management and health and safety sections of the Accredited Employers Programme Assessment to determine whether the organisation can meet or maintain the accreditation requirements of the Accredited Employers Programme.

## Senior management

The management level within a business or organisation that reports directly to the most senior manager, such as the chief executive or board, and has the authority to make resources available for maintaining and improving the organisation's health and safety management system. This description may also include the next tier of managers in a large multi-site organisation.

## Sensitive claim

A claim for mental injury caused by a specified criminal act such as grooming, sexual abuse and sexual assault crimes. See Schedule 3 of the Accident Compensation Act 2001.

## Serious injury

A type of injury where the injured employee has acquired a lifetime disability or significant impairment that will likely require ongoing home and community support services.

## Site Specific Safety Plan

An agreement between businesses working on a specific site that determines how health and safety will be managed.

## Standard Operating Procedure

Documented, often step-by-step, processes by which employees can perform each task or aspect of their role within the Accredited Employer's business or operation.

## Team manager

A case manager's supervisor from within either a Third Party Administrator or an Accredited Employer.

## Third Party Administrator

A third party engaged by an Accredited Employer to assist with claims and injury management. Under the AEP Accreditation Agreement, overall responsibility and the contractual relationship remain between ACC and the contracted Accredited Employer.

## Unfavourable, cancelled, or suspended entitlement decisions

Unfavourable entitlement decisions are decisions made regarding entitlements that the injured employee may not prefer or agree with.

Cancelled entitlement decisions are decisions that have been made to permanently stop providing the injured employee with entitlements. This could be due to non-compliance by the injured employee with requirements, treatment, or a rehabilitation plan.

Suspended entitlement decisions are decisions that have been made to temporarily pause providing the injured employee with entitlements. This could be due to non-compliance (as outlined above), or as a result of missing information that is needed to show the injured employee's continued need for entitlements. The entitlements may resume when the conditions for providing the entitlements are met again, for example, when missing information such as a medical certificate is provided.

## Union

A membership-based organisation which seeks to maintain or improve the employment conditions of its members. Also see the statutory definition for union at section 5 of the Employment Relations Act 2000.

## Vocational Initial Occupational Assessment (VIOA)

The VIOA is part of the Vocational Independence Assessment process. This assessment determines an injured employee's suitability for work types by reason of experience, education or training, or any combination of these. The VIOA is the first assessment and is used to consider whether the work types previously identified are suitable for the injured employee because they match the skills the injured employee has gained through education, training, and experience.

## Vocational Initial Medical Assessment (VIMA)

The VIMA is part of the Vocational Independence Assessment process. This assessment determines whether an injured employee can work in roles other than their pre-injury job for 30 hours or more a week. The VIMA is the final assessment and is used to consider whether:

- an injured employee's Vocational Rehabilitation is complete
- the work types identified in Vocational Independence Occupational Assessment (VIOA) are medically sustainable for at least 30 hours or more per week.

## Vocational rehabilitation

The support provided to an employee to enable them to keep working or return to work, and to undertake duties that are appropriate given the injury and skills. Vocational rehabilitation may include:

- Transitional, alternative, or modified duties
- Worksite assessments.

## Volunteer

A person who is acting on a voluntary basis, whether the person receives out-of-pocket expenses or not. Also see the statutory definition of volunteer at section 16 of the Health and Safety Act 2015.

## Weekly compensation

A weekly payment that injured employees are entitled to (usually up to 80% of their usual income) if they can't perform all their usual work activities because of an injury. The statutory definition for weekly compensation is at section 6 of the Accident Compensation Act 2001.

## Worker

A worker for the purposes of the Accredited Employer Programme is defined at section 19 of the Health and Safety at Work Act 2015.

## Workplace

A place where work is being carried out, or is customarily carried out, for a business or undertaking. Includes any place where a worker goes, or is likely to be, while at work. Also see the statutory definitions of 'worker' and 'place' at section 20 of the Health and Safety at Work Act 2015.





**He Kaupare. He Manaaki.  
He Whakaora.**  
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