
Enforceable Undertaking

Part 4, Health and Safety at Work Act 2015

The commitments in this enforceable undertaking are offered to WorkSafe NZ

by

National Aluminium Limited

ENFORCEABLE UNDERTAKING

Section 1: General Information

Details of the person giving the undertaking – National Aluminium Limited

Nominated person: (contact for WorkSafe communications): Ron Holden / Sen Chen

Street address: 30-32 Bowden Road, Mt Wellington, Auckland 1061

Mailing address: P O Box 14-107, Panmure, Auckland 1741

Telephone: [REDACTED] (Ron Holden)
[REDACTED] (Sen Chen)

Email: ron.holden@altus.co.nz / sen.chen@altus.co.nz

Type of legal entity: Registered Company

Industry: Aluminium Manufacturer

Workers:

Full time:	324 (including on-hire)
Part time:	2
Casual:	7

(At the time of the incident)

Products and services: Designer and Manufacturer of aluminium window and door products

Comments:

At the time of the incident, the duty-holder was National Aluminium Limited, trading as NALCO. National Aluminium Limited has operated throughout New Zealand for many years.

In July 2016, National Aluminium Limited entered into a Joint Venture with Fletcher Building Products Limited. National Aluminium Limited and Fletcher Building Products are shareholders in Altus NZ Limited (known as Altus).

Altus specializes in design, manufacture, import and export of extrusion and rolled product, and distributes these products to both local and International markets.

Altus has factories in Auckland, Hamilton, Rotorua, Wellington, and Christchurch supplying one of the widest range of sheet, plate, treadplate, coil, and extruded Aluminium profiles in New Zealand.

As Altus is now the trading entity, the actions and Undertakings set out in this Enforceable Undertaking will be carried out by Altus.

Detail the contravention:

It is alleged by WorkSafe that National Aluminium Limited, as a Person Conducting A Business or Undertaking (PCBU) failed to comply with a duty, being the obligation in section 36 of the Health and Safety at Work Act 2015, to ensure, so far as is reasonably practicable, the health and safety of workers whose activities in carrying out work are influenced or directed by the PCBU, while the workers are carrying out the work.

WorkSafe alleged that there were three practicable steps that could have been taken by National Aluminium Limited:

1. Ensure that the Extrusion Press was adequately guarded to prevent entanglement
2. Develop, implement and monitor an adequate safe operating procedure for freeing tangled metal from the puller/run-out conveyor/cooling table area;
3. Ensure workers on the extrusion line are able to adequately communicate with one another.

Detail the events surrounding the contravention:

The worker was employed by ADECCO and was working at National Aluminum Limited's Hamilton Site. While involved in the operation of an Extrusion Press, the worker believed that another operator was directing the worker to enter an operational cooling table area of the Press. The worker entered the area to remove a piece of tangled metal. The run out conveyor on the cooling table reactivated, and the worker's overall leg became entangled and trapped in a rotating shaft which was not sufficiently guarded. The entangled overalls pinned the worker's leg to the shaft, the ankle was fractured when the shaft continued to rotate.

The worker was unable to attract the attention of the other operators to shut off the machine. When the worker's situation was identified, the operator activated the cycle-hold button rather than the emergency stop button. The two buttons were not readily distinguishable from each other. The worker suffered friction burns and a broken ankle.

Detail any enforcement notices issued that relate to the contravention

DATE ISSUED	NOTICE TYPE	NOTICE NUMBER	CONTRAVENTION OR PROHIBITED ACTIVITY	ACTION TAKEN IN RESPONSE TO NOTICE
20/04/2016	Prohibition	17501	Operation of a Cooling Table and Batching Table Prohibited	Prohibition Notice displayed as required, Monitoring controls instituted in accordance with Inspector's suggestions; Toolbox talks to advise of incident and toolbox tables, Commitment to guarding the couplings on the cooling and batching tables

Detail the rectifications to the workplace or work practices made as a result of the contravention, events and the enforcement notices issued:

Guarding Rotating shafts/coupling throughout the cooling/batching table identified, guarding designed, manufactured, and installed by 23/04/2016. Installation of full length guard of walking bench shaft completed by 07/05/2016. [Approximate cost \$10,000]

Lockout Additional Isolation protection designed, manufactured, and installed. This consists of a lockable control at tail stretch end for the tail stretch operator; key must be in position for machinery to be operated. Operator must turn key to isolate machinery, remove key while in cooling table area. The operator then replaces key and restarts machinery once in safe zone. Tail Stretch Lockout system installed 28/5/2016 [Approximate cost \$5,000]

JSP Job Safety Procedures for cooling table amended in coordination with WorkSafe inspector, including identified monitors. Tail Stretch Operator: 02/06/2016. Head Stretch & Puller Operator: 02/06/2016 Press Operator 02/06/2016 **[Direct cost not identified]**

Decommissioning Machine The Press on which the incident occurred has since been fully decommissioned and removed from the premises. National Aluminium Limited has invested heavily in a new extrusion press line which has a multitude of sensors associated with ensuring the safety of people. **[Direct cost not identified as Press was already due to be decommissioned]**

Communication with Workers Toolbox talks held with all workers who use that Press, on the next shifts after the incident. Workers made aware of the incident, the apparent causes, and the new requirements. **[Direct cost not identified]**

Total amount of money spent on rectifications:

Rectification	Approximate Cost
Additional guarding of rotating shafts/coupling	\$10,000
Additional Isolation Protection	\$5,000
Total	\$15,000

Detail the injury sustained or illness suffered by victim(s) or other(s) as a consequence of the contravention:

The worker suffered a fracture to his left lateral malleolus and partial thickness burns (friction) to the left hip, requiring skin grafts.

Detail the support provided or proposed to the victim(s):

A Manager went with the worker to hospital at the time of the accident, and notified the worker's family of the incident.

The Managing Director of National Aluminium Limited, personally made telephone contact with the worker on 3 occasions after the accident.

Hamilton Managers visited the worker in hospital and supported the family.

National Aluminium Limited (rather than his employer, Adecco) provided the worker with financial assistance (approximately \$200 cash) up to the time when ACC payments began. Payment of ACC confirmed the following day.

National Aluminium Limited offered Employee Assistance (Counselling) to both the worker and his family.

National Aluminium Limited worked with the worker's union to help ensure that there was a job available for him once he recovered.

The Managing Director spoke with, and then met with the worker and his mother on 15 December 15 2016, to check on his recovery and situation, and to offer him some further assistance. National Aluminium Limited has since made a payment to the worker in the sum of \$20,000 on 16December 2016 to recognise his suffering and the emotional harm that he has been through.

The Managing Director met with the worker and his mother again on 22 February 2017 to discuss the worker's progress, and to explain to the worker some of the commitments that National Aluminium Limited was considering as part of the Enforceable Undertaking. The worker discussed some of the issues the worker was having with ACC in relation to a secondary injury (an infection which required him to take significant time off work). National Aluminium Limited undertook to assist him with ACC.

The Hamilton Plant Manager met with the worker and the worker's mother on 29 March 2017. The worker agreed to allow National Aluminium Limited to assist with progression of a potential treatment injury claim with ACC.

National Aluminium Limited offered to pay 50 % of the worker's tertiary study fees for the next two years. However, the worker has now decided not to pursue further study.

The worker also suggested that as part of the Enforceable Undertaking, National Aluminium Limited support the worker's church volleyball team (The worker currently acts as umpire). National Aluminium Limited will make a financial contribution to the team, of approximately \$900.

On approximately 15 March 2017 National Aluminium Limited made a further compensatory payment of \$5,000 to the worker.

In April 2017, National Aluminium Limited attempted to assist with the worker's medical treatment and ACC claim/s.

In May 2017, National Aluminium Limited made a further compensatory payment of \$5,000. National Aluminium Limited has also offered to assist with EAP sessions.

Details any offer of amends or payments made to the victim(s) who sustained injury or suffered illness

In addition to the non-financial support referenced above, National Aluminium Limited has made three separate compensatory payments to the worker. The total direct financial compensation to the worker has been \$30,000.

National Aluminium Limited also made a small cash payment to the worker shortly after the accident, prior to the worker's ACC claim being processed, and will also make a financial contribution to the worker's Church volleyball team in the sum of \$900.

Detail any current HSMS Implemented and maintained by the person:

National Aluminium Limited takes health and safety very seriously. The Board, Senior Management and operational managers are committed to making safety a key part of the business and have a goal (published on its website) of achieving zero harm through a combination of safety conscious culture and proactive risk management.

National Aluminium Limited's management of health and safety is summarised below:

HSMS:

A comprehensive Health and Safety Manual is used by all sites Nationwide.

H & S Manual Policies, Processes and Templates are available to all workers (with e-mail access) on a Nationwide Intranet. All H & S Policies are discussed at 'toolbox' (team) talks annually and continually displayed on all Department noticeboards.

National Aluminium Limited has maintained a Tertiary level of accreditation with the ACC Workplace Safety Management Practices. Part of the accreditation is verification from an external ACC auditor every 2 years that the company has:

- Robust Health & Safety Policies, including; (overall) Health & Safety, Training, Injury Management, Drug & Alcohol and Monitoring Workplace Exposures.
- Evidence of an HSMS that contains;
 1. H & S Action Plan
 2. H & S Objectives
 3. Hazard management system
 - a) Job Safe Procedures for every task
 - b) Department Hazard Registers
 - c) Safe purchase of Machinery
 - d) Risk Assessments
 - e) Incident Reporting system, with evidence of corrective actions.
 - f) Internal work area audits
 - g) External audits
 4. Training needs identification, assessment and monitoring.

5. Injury Management and Rehabilitation.
6. Employee participation and engagement;
 - a) H & Safety Representatives on site.
 - b) H & S Committee.
 - c) Union Representatives.
 - d) Team Toolbox talks weekly, 2 way communication between workers and management.
7. Emergency Management procedures.
8. Contractor Management procedures.

Management of health and safety risks

Risks are managed in a systematic way, according to a comprehensive written process. Workers are involved in this process from induction, throughout their work with the company.

Detail the level of auditing undertaken on the HSMS, including compliance audits and audit frequency:

Monthly area work area audits
Monthly injury trends & hazards logged (Incident Reports) reviewed at H & S Committee
Monthly & Annual Action Plan review
6 monthly & annual H & S Objectives review
Project specific audits (new machinery, etc.)
Annual HSMS self review.
Bi-annual External 'Physical Conditions Audit' undertaken by GOSH Ltd
Paragon Noise & Air borne particles external audit (last completed 18/08/2014, scheduled for every 5 years, unless a change in conditions).
Bi-annual External ACC WSMP Audit; Bruce Gully (last completed for NALCO 03/08/2015)

Detail the consultation undertaken or proposed to be undertaken, in relation to this undertaking:

National Aluminium Limited has discussed the draft of the undertaking with the worker and his mother.

Section 2: General Terms

The person acknowledges and commits to the general terms set forth in the sub-terms below. It is noted again that the Undertakings given by National Aluminium Limited will, in substance, be carried out by Altus NZ Limited, the trading entity of National Aluminium Limited's joint venture.

Acknowledgement that the regulator alleges a contravention occurred

It is acknowledged that WorkSafe NZ alleges that National Aluminium Limited has contravened the provisions of the Health and Safety at Work Act 2015.

Statement of regret that the contravention occurred and the reasons the person considers this undertaking is the most appropriate response to the contravention

National Aluminium Limited deeply regrets that the incident in April 2016 occurred, and that serious injuries were suffered by the worker.

National Aluminium Limited considers that an Enforceable Undertaking is the most appropriate response to the contravention as it provides for a structured means of ensuring that positive changes and impacts come out of a very regrettable incident. It is National Aluminium Limited's intention that the undertakings given will benefit its workers, the wider industry, and the community.

Statement of commitment that the behaviour, activities and other factors which caused or led to the contravention has ceased and will not reoccur

National Aluminium Limited commits that the behavior, activities and other factors which led to the alleged contravention has ceased, and that National Aluminium Limited will, so far as is reasonably practicable, ensure that such circumstances do not arise again.

Acknowledgment of the policy published by the regulator for the acceptance of an undertaking

National Aluminium Limited acknowledges having read and understood WorkSafe's Enforceable Undertakings Operational Policy, December 2016

Acknowledgement that this undertaking will be published and publicised in full

National Aluminium Limited acknowledges that the undertaking will, if accepted, be published on WorkSafe's website in full and referenced in WorkSafe material.

Statement of the person's ability to comply with the terms of this undertaking and meet the projected costs of the activities

National Aluminium Limited acknowledges that it has the financial ability to comply with the terms of this undertaking and can provide evidence if required to further support this declaration.

In the event of impending receivership, liquidation or sale of the entity, National Aluminium Limited will advise WorkSafe of the relevant circumstances and its capacity to comply with the outstanding terms of this undertaking. WorkSafe acknowledges that National Aluminium Limited is no longer trading as a sole entity but that it has entered into a joint venture with Fletcher Building Products Limited and is trading as Altus.

Statement outlining any relationship between the person and any corporations, officers, employees, contractors, proposed beneficiaries of donations or scholarship or other recipient of financial benefit contained in this undertaking

National Aluminium Limited acknowledges that there are no known current relationships with any of the beneficiaries outlined in this Undertaking, except for the current workers of National Aluminium Limited, and the injured worker.

Statement regarding Intellectual Property

National Aluminium Limited grants WorkSafe a perpetual, non-exclusive, worldwide and royalty-free licence to use, for any purpose, all Intellectual Property Rights in relation to any material developed as a result of this undertaking. This licence includes the right to use, copy, modify and distribute the materials.

Acknowledgement that the person may be required to provide a statutory declaration

National Aluminium Limited acknowledges that it may be necessary for WorkSafe to obtain a statutory declaration outlining details of any prior convictions (safety related) outside of New Zealand and that it will provide such declaration if required by WorkSafe.

Statement of commitment from the person to participate constructively in all compliance monitoring activities for this undertaking

It is acknowledged that responsibility for demonstrating compliance with this undertaking rests with National Aluminium Limited.

Evidence to demonstrate compliance with the terms will be provided to WorkSafe by the due date for each term.

The evidence provided to demonstrate compliance with this undertaking will be retained by the person until advised by the regulator, that this undertaking has been completely discharged.

It is acknowledged that any failure to meet the due date for an enforceable term will result in the matter being escalated and may lead to enforcement action.

It is acknowledged that WorkSafe may undertake other compliance monitoring activities to verify the evidence and compliance with an enforceable term, and cooperation will be provided to WorkSafe.

It is acknowledged that WorkSafe may initiate additional compliance monitoring activities, such as inspections, as considered necessary at WorkSafe's expense.

It is acknowledged that details of all seminars, workshops and training conducted by a non-registered training provider must be notified to WorkSafe, by email, at least one week prior. Notification should include time, date, location and the trainer/facilitator.

Section 3: Enforceable Terms

National Aluminium Limited acknowledges all activities set forth in the enforceable terms below must be auditable and include a date for completion and an estimated cost for each activity.

National Aluminium Limited commits to performing the activities below diligently, competently and by the respective completion date.

A commitment by the person to perform activities that will ensure the ongoing effective management of risks to health and safety in the future conduct of its business or undertaking

National Aluminium Limited is committed to the effective management of risks to workplace health and safety.

The following approach will be taken to ensure this:

- Ongoing Workplace Health and Safety consultation with employees and contractors
- Ongoing risk assessments, along with regular updates and reviews of procedures to ensure the minimization of risks
- Arranging for relevant workers to participate in safety programs and training

National Aluminium is committed to undertaking the actions referred to below, which include initiatives intended to enable its senior leadership to be satisfied that the business can discharge its obligations under this undertaking.

A commitment by the person to disseminate information about this undertaking to workers, and other relevant parties

National Aluminium Limited agrees to disseminate information about the undertaking within the workplace, including to the members of any health and safety committee, health and safety representatives, workers and other relevant parties.

This information will be disseminated via meetings and newsletters for all staff at the following locations and will be completed within 30 days of the undertaking being given:

- Hamilton Te Rapa Site - 127 Maui Street
- Auckland Mount Wellington Site – 30-32 Bowden Road
- Christchurch Wigram Site – 15 Pilkington Way

Activities to be undertaken to promote the objects of the safety legislation that will deliver benefits for workers/others

ACTIVITIES	COST (\$)	TIMEFRAME
<p>1. <u>Incident Cause Analysis Method awareness and investigator training</u></p> <p>ICAM awareness and investigator training to be provided for our workers.</p> <p>This Training is designed for safety, operational, maintenance and supervisory personnel. It is designed to uncover and report on failed or absent defenses, team/individual actions, task and environmental conditions and organisational factors. It is paramount that Altus has a transparent investigation process that support the development of a 'Just Culture' that truly balances accountability with learning.</p> <p>ICAM investigators are a valuable asset in any organization seeking to</p>		

ACTIVITIES	COST (\$)	TIMEFRAME
<p>maximize learning from adverse events to avoid reoccurrence and improve future resilience to hazards</p> <p>Course Outcomes:</p> <p>Knowledge and understanding:</p> <ul style="list-style-type: none"> • Legislative requirements for accident reporting and investigation • Building an effective investigation team • Barriers to effective accident reporting and investigation, and how to overcome them • Investigation process • Effective tools for information-gathering and classification • Reconstructing timelines • Concepts of multiple causation and root cause analysis • ICAM principles • Understanding of human error and its role in accident causation • Organizational factors and their role in accident causation • Structure and content of effective investigation reports. Effective recommendations/corrective actions <p>Timeframe: Within 12 months following the commencement of the undertaking.</p> <p>Estimated cost of these undertakings is:</p> <ul style="list-style-type: none"> • 22 Employees - \$13,800 incl GST for training • Facilities and Catering - \$1,400 incl GST <p>2. <u>Workplace safety - NZQA unit standard (Limited Programme)</u></p> <p>Scope: Additional, off the job training supplied by Altus for all operational employees on the Hamilton site. Employees will look at how to work safely and the systems that our workplace has to keep them and others safe. Employees will receive a recognized qualification in being able to safely operate machinery and perform manufacturing process operations, identify hazards and complete an incident report.</p> <p>Outputs: The limited programme will lead to a Certificate in General Manufacturing L2 NZQA Qualification and will cover workplace safety training, lock-out/tag-out training, 5s training, communication training and organizational expectations training for these employees and will be conducted by in house trainers.</p> <p>Beneficiaries/Audience: Employees working on the extrusion press</p> <p>Delivery method: Training to be delivered by our accredited in-house trainer in collaboration with Competenz.</p> <p>Timeframe: Within 12 months from acceptance of this EU submission</p> <p>Safety outcome: Employees will be able to:</p>	<p>\$15,200</p>	<p>This has now been completed.</p>

ACTIVITIES				COST (\$)	TIMEFRAME
ID	Title	Level	Credit		
Workplace Safety					
In this module, you will look at how to work safely and systems your workplace has to keep you and others safe. You will be able to safely operate machinery and perform manufacturing process operations, identify hazards and complete an incident report.					
17459	Demonstrate and apply knowledge of safe manual handling practices in the workplace	2	3		
3490	Complete an incident report	1	2		
25046	Describe hazard identification and control, apply risk assessment procedures under supervision in the workplace	2	2		
497	Demonstrate knowledge of workplace health and safety requirements	1	3		
17593	Apply safe work practices in the workplace	2	4		
21329	Maintain housekeeping in a manufacturing environment	2	2		
Undertake Job Safety Analysis					
19522	Undertake job safety analysis	2	4		
Total			20		
Estimated cost of this undertaking				\$15,600	Within 12 months of the Date of this Undertaking
Cost of tutor: \$12,000					
Cost of training materials: \$1,200					
Sign-up fees for training agreement: \$2,400					
Total: \$15,600					
Total estimated cost of benefits for workers/others				\$30,800	

Activities to be undertaken to promote the objects of the safety legislation that will deliver benefits for industry

ACTIVITIES	COST (\$)	TIMEFRAME
<p>3. <u>WANZ – article in news letter</u></p> <p>Scope: Altus will publish an article about the incident, how it came about, and the lessons learnt in the WANZ (Window Assn of NZ) newsletter.</p> <p>Outputs: The article will inform the industry about the incident and the basis for the investigation by WorkSafe NZ. It will talk about the adjustments Altus has made to the work environment to prevent this unfortunate situation from happening again.</p>		

ACTIVITIES	COST (\$)	TIMEFRAME
<p>Beneficiaries/Audience: This can be read by any members of the industry. The main beneficiaries of the article will be other members in our industry. It will assist them to identify the risks in our industry and will highlight how such an injury can come about.</p> <p>Delivery method: Publication in newsletter</p> <p>Timeframe: Within 6 months of the Date of this Undertaking</p> <p>Safety outcome: The industry will be aware of the incident that occurred and will be able to learn how to avoid such an incident occurring again.</p> <p>4. <u>Managing director to speak to competitors' businesses, and at Aluminium Industry safety forums</u></p>	<p>Direct cost not identified</p>	<p>Within 6 months of the Date of this Undertaking</p>
<p>Scope: The Managing Director will make three separate presentations at competitors businesses after meeting with the individual owners or CEO's and explaining the background.</p> <p>The competitors are Inex Metals, McKecknie Metals and Ullrich Aluminium. Also do presentations at two separate franchisee conferences in August and October (with different audiences) covering approximately 50 x window and door business owners.</p> <p>Outputs: The speech will be about the importance of workplace health and safety, and will make reference to our own experience with this incident, investigation and undertaking. It will promote our commitment to safety, and discuss the ways in which Altus has improved its safety post incident.</p> <p>Beneficiaries/Audience: Industry leaders, safety regulators, experts and academics who attend the speech will benefit from the content.</p> <p>Delivery method:</p> <p>Public speaking at the following events :</p> <ul style="list-style-type: none"> • 3 x Competitor Extrusion business as listed above. • 2 x Franchisee Conferences capturing approximately 50 x Window and Door business owners. <p>Timeframe: During 2017</p> <p>Safety outcome: Increased awareness throughout the industry about health and safety, our learning from this serious harm incident and encouraging proactive thinking and behaviors towards the preventing of incidents.</p> <p>Estimated cost of these undertakings:</p>	<p>Direct cost not identified</p>	<p>By 31 December 2017</p>
<p>5. <u>Incident Cause Analysis Method Governance training for Franchisees</u></p> <p>ICAM awareness and investigator training to be provided for Altus network of franchisee Production / Factory managers. This Training is designed for safety, operational, maintenance and supervisory personnel. It is designed to uncover and report on failed or absent</p>		

ACTIVITIES	COST (\$)	TIMEFRAME
<p>defenses, team/individual actions, task and environmental conditions and organisational factors.</p> <p>ICAM investigators are a valuable asset in any organization seeking to maximize learning from adverse events to avoid reoccurrence and improve future resilience to hazards</p> <p>Course Outcomes:</p> <p>Knowledge and understanding:</p> <ul style="list-style-type: none"> • Legislative requirements for accident reporting and investigation • Building an effective investigation team • Barriers to effective accident reporting and investigation, and how to overcome them • Investigation process • Effective tools for information-gathering and classification • Reconstructing timelines • Concepts of multiple causation and root cause analysis • ICAM principles • Understanding of human error and its role in accident causation • Organizational factors and their role in accident causation • Structure and content of effective investigation reports. Effective recommendations/corrective actions <p>Timeframe: Within 12 months following the date of this Undertaking.</p> <p>Estimated cost of these undertakings is:</p> <ul style="list-style-type: none"> • Hold two one-day training sessions to be delivered by IMPAC Services to be held in Christchurch and Auckland with a maximum of 16 participants at each session. • Each training course @\$12,800 x 2 • Facilities and Catering - \$1,700 x 2 	<p>\$29,000</p>	<p>Within 12 months of the Date of this Undertaking</p>
<p>Total estimated cost of benefits for industry</p>	<p>\$29,000</p>	

Activities to be undertaken to promote the objects of the safety legislation that will deliver benefits for community

ACTIVITIES	COST (\$)	TIMEFRAME
<p>6. <u>Community Waikato H&S training program</u></p> <p>Project Concept – Altus and Community Waikato are keen to partner together to produce Health and Safety resources to better inform the community sector, in particular, small-medium sized community organisations and marae communities, about their obligations under the Health and Safety at Work Act 2015. The resources would highlight the legal changes, the key roles and associated responsibilities, the importance of developing a Health and Safety culture and the value of having and creating an effective H&S system with H&S policies.</p>		

ACTIVITIES	COST (\$)	TIMEFRAME
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As a Company of significant scale, Altus is open to sharing the learnings they experienced as the result of a challenging H&S incident that occurred in their place of business in April 2016. Altus has offered to share this experience as a 'case study' during the workshops, and /or in the booklet so that community groups can gain a grounded understanding about the consequences of a Health and Safety incident.

Altus would contribute a sum of \$35,000 to the project, together with its time and input in developing the case study for the booklet and presenting at the workshops.

Project Outputs – Overview

Outputs	Costs
<p>Output 1: A booklet for the community sector about "Health & Safety & developing your H&S system & policies". It will be freely available via:</p> <ul style="list-style-type: none"> · Electronic (pdf) version – Accessible on our website (& partners). · Hard-copy version – Distributed across the Waikato region's community sector. 	
<p>Output 2: H&S Booklet 'Launch Event' for community stakeholders</p> <ul style="list-style-type: none"> · The H&S booklet launch can happen at a Community Waikato event, preferably: the Community Waikato conference, 'Thriving in the 21st Century' (2-3 August at the Distinction Hotel, Te Rapa, Hamilton).¹ A second option is at the Community Waikato Annual General Meeting (Sept-Oct 2017). · NB: Community Waikato already has costs covered for both event options. 	
<p>Output 3: Workshop series, Phase 2 – H&S policies (based on booklet)</p> <ul style="list-style-type: none"> · Host 12 workshops (1/2 day = 3 hrs) across Waikato region. 	

Project – Overarching Outcomes

The Waikato region and the overall New Zealand sector of small-medium sized community organisations and marae communities can be better informed about the impact of the legislative changes and be more confident about developing their own H&S system and policies. Small-medium sized organisations and Marae will have the tools and knowledge to build a health and safety conscious culture that is committed to protecting the safety of staff, volunteers and visitors to their places of operation. *(The detailed Outcomes are outlined at pp 5-6.)*

Output 1: A booklet for the community sector about "Health & Safety & developing your H&S system & policies". *Content topics:*

- i) Highlight key legislative changes & what it means in practice
- ii) Highlight the key roles and associated responsibilities (governance & operations) specific to the community sector
- iii) An overview of the importance of establishing and following an effective organisational H&S system
- iv) Helpful Questions & Checklists for developing policies appropriate to community organisations, and to marae.

ACTIVITIES	COST (\$)	TIMEFRAME
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Resource	Action
Personnel – Time capacity for Booklet, Content Development	Community Waikato – Advisors (x2) i. Project planning & coordination; ii. Concept: content & format; iii. Meetings with H&S Experts for content concept & development (x3) iv. Development: community content focus, review of draft(s) & final version v. Meetings with Altus partner (x3)
H&S Experts (H&S Reference Team) for Booklet, Content Development	Vital Care Ltd – Gavin Thomas, H&S consultant. i. Meetings with Community Waikato – content concept & development (x3) ii. Develop content draft(s) iii. Complete final version McCaw Lewis – Renika Siciliano, lawyer. i. Meeting with Community Waikato ii. Legal review of booklet (draft 1)
Logo designer	i. Health & Safety logo (representing H&S & project partners)
Booklet publication (Virtual Print Ltd)	i. Electronic booklet (pdf version) ii. Hardcopy booklet (x800, A4, self-cover, up to 40-pages) www.virtualprint.co.nz

Output 2: H&S Booklet 'Launch Event' for community stakeholders. The H&S booklet launch can happen at a Community Waikato event, preferably: the Community Waikato conference, 'Thriving in the 21st Century' (2-3 August at the Distinction Hotel, Te Rapa, Hamilton).² (A second option is at the Community Waikato Annual General Meeting (Sept-Oct 2017)).

Resources	Actions
Personnel – (Time capacity; event hosting).	Community Waikato – Event Hosts i) Plan 'launch' component at event (when, where, how, duration). ii) Meet with Altus to agree on 'launch event', readiness, & presentation. iii) Event hosting (e.g., venue, registered attendees (170+), refreshments).
Altus Representatives (Time capacity; Travel; Presentation)	i) Meeting with Community Waikato to agree on 'launch' & presentation. ii) Travel to and from event venue (in Hamilton). iii) Presentation by Altus representatives (about their 2016 H&S experience, learnings & community contribution).

Output 3: Workshop series, Phase 2 – H&S policies
Host up to 12 workshops (3-hours long) across the Waikato region & based on the booklet.

Resources	Actions
Personnel – • Time capacity • Planning • Preparation • Facilitation • Return travel.	Community Waikato – H&S Workshops, Phase 2 – H&S Policies i) Arrange 12 'workshops' across the Waikato region (e.g., North Waikato (x2), Thames/Coromandel (x2), Hamilton (x2), South Waikato (x2), West Waikato (x2), East Waikato (x2)) ii) Meet with Altus to agree on 'workshop'

ACTIVITIES		COST (\$)	TIMEFRAME
	participation & presentation. iii) Return travel to workshop venue iv) Mileage cost (x12 workshop venues) v) Facilitation of x12 workshops.		
Altus Representatives • Time capacity • Preparation • Presentation • Return travel.	i) Meet with Community Waikato to agree on 'workshop' presentation mode & attendance (i.e., when, where, how). ii) Travel to & from workshop venue iii) Present at workshops (when available)	\$35,000	Within 12 months of the Date of the Undertaking
Total estimated cost of benefits for the community		\$35,000	

National Aluminium Limited agrees to pay WorkSafe's costs associated with this undertaking, as itemised below, and it is acknowledged that payment is due 30 days after receipt of the WorkSafe invoice:

COSTS	MINIMUM SPEND (\$)
Administrative	
Legal	\$3,414
Compliance monitoring	
Publication (if any)	
Total recoverable costs	\$3,414

Acknowledgement regarding any promotion of the person in relation to this undertaking

National Aluminium Limited agrees that it will not undertake any activities that may promote or benefit it without explicitly linking that activity / benefit to this undertaking.

Acknowledgement regarding documented HSMS

National Aluminium Limited acknowledges there is a formal documented HSMS acceptable to the regulator that satisfies the principles of *AS/NZS 4804:2001 Occupational health and safety management systems - General guidelines on principles, systems and supporting techniques* and commits to ensuring that the HSMS remains compliant with *AS/NZS 4804:2001 Occupational health and safety management systems - General guidelines on principles, systems and supporting techniques*.

Minimum spend

National Aluminium Limited commits to a minimum spend of \$129,114 for this undertaking.

National Aluminium Limited agrees to spend any residual amount arising from an original term not being completed or being less costly than estimated in this undertaking. Agreement on how to spend this residual will be sought from the regulator.

National Aluminium Limited acknowledges that the minimum spend comprises of the:

TOTAL COST	MINIMUM SPEND (\$)
Amends to victim	\$30,900
Benefits to workers/others	\$30,800
Benefits to industry	\$29,000
Benefits to community	\$35,000
WorkSafe's recoverable costs	\$3,414
Estimated total cost of the undertaking	\$129,114

Section 4: Execution

This undertaking is given by the person on the date it is accepted by the regulator as set forth in section 5 below.

COMPANY

National Aluminium Limited

on the 28th day of JULY, 20 17
(day) (month) (year)

Signature of person:

[Redacted Signature]

Witness name: IAN BICKERTON Witness address: HAMILTON

Witness signature:

[Redacted Signature]

Section 5: Acceptance

The undertaking is accepted by the regulator

on the 31st day of JULY, 20 17
(day) (month) (year)

Signature of person:

[Redacted Signature]

Name: B. Murray
General Manager, WorkSafe (or delegate)