

Auckland Council Safety Management Framework (SMF)



Auckland Council 2018
 AC SMF01 – Auckland Council Safety Management Framework
 Review date 19/02/2020

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Foreword by Head of Corporate Health and Safety

The 'Plan, do, check, act' (PDCA) approach

Auckland Council has moved away from using the legacy elements-style model of managing health and safety to a 'Plan, Do, Check, Act' (PDCA) model. The move to PDCA achieves a critical balance between the procedural and behavioural aspects of management.

The PDCA model treats health and safety management as an integral part of good management in general, rather than as a stand-alone. A summary of the actions involved in delivering effective arrangements and how they are frequently described is given within the Framework.

The Framework aims to:

- set out how health and safety is managed at Auckland Council
- support you in the identification and development of local arrangements into your departments.

Applying this framework proactively at all levels of management will provide a robust platform from which to achieve our health and safety goals and protect our most vital resource, our people - key to achieving our organisational vision for making Auckland a world class city.

Keep safe, keep well

Oli Sanandres

Head of Corporate Health and Safety & Wellbeing



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Introduction

Auckland Council is a PCBU (person conducting a business or undertaking) and has the primary duty of care to look after:

- the people it employs or engages
- those workers it influences or directs, including volunteers and contractors.

We must exercise our duty so far as is reasonably practicable. This document has been prepared so Auckland Council can meet its legal requirements under the Health and Safety at Work Act 2015.

Principles

Principle 1: Sensible risk management

Risk management is about taking practical steps to protect people from real harm and suffering. It should not be bureaucratic. Taking a sensible approach to risk management involves:

- ensuring that workers and the public are properly protected
- enabling innovation and learning
- ensuring that those who create risks manage them responsibly and understand that failure to manage significant risks responsibly is likely to lead to robust action
- providing overall benefit to society by balancing benefits and risks, with a focus on reducing significant risks - both those which arise more often and those with serious consequences
- enabling individuals to understand that as well as the right to protection, they also have to exercise responsibility.

Principle 2: Reasonably practicable

'Reasonably practicable' means 'what is possible in your circumstances to ensure health and safety, considered against what is reasonable to do in your circumstances'. This takes into account all relevant factors, including:

- the likelihood of the risk or hazard occurring

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- the degree of harm that would result
- what the person knows or should know about the risk or hazard and ways to eliminate or minimise it
- the availability and suitability of ways to eliminate or minimise it
- as a last step: an assessment of the cost of ways to eliminate or minimise the risk or hazard, including whether costs are grossly disproportionate.

We must also ensure, as far as is reasonably practicable:

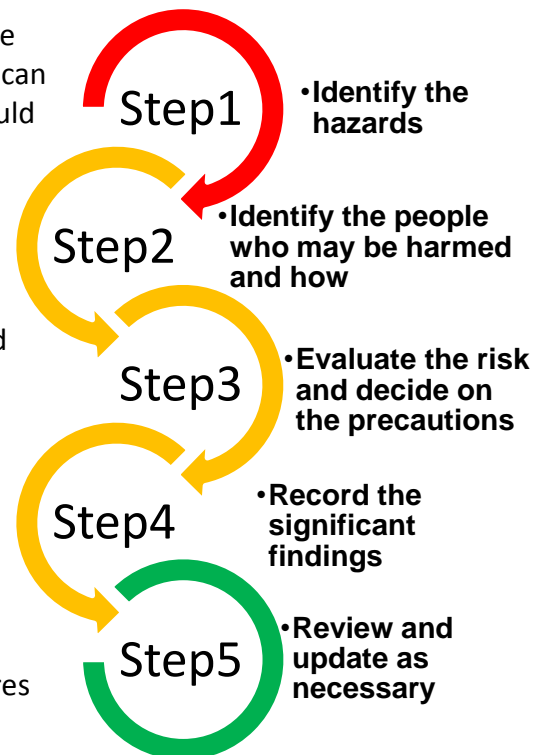
- Auckland Council’s work environment does not pose risks to health and safety
- safe plant, structures and systems of work are provided and maintained
- the safe use, handling and storage of plant, substances and structures
- there are adequate facilities for our people's welfare while at work
- all council workers receive the appropriate information, training, instructions and supervision necessary to protect them from health and safety risks
- The health of council workers and the conditions at the workplace are monitored to prevent workers’ injury or illness.

Principle 3: Risk assessment

A risk assessment is a careful examination of what could cause harm to people in the area of your responsibility, so that you can evaluate whether you have taken enough precautions or should do more to prevent harm.

Auckland Council, as a PCBU, is required to carry out risk assessments to identify the risks that staff are exposed to while at work, to meet our duty under the Health and Safety at Work 2015 (HSWA) and the HSWA (General Risk and Workplace Management) Regulations 2016.

However, risk assessment goes beyond simply complying with the law. Risk assessment is an excellent planning tool, which improves staff awareness and understanding of hazards and the risks they carry. It helps identify methods for controlling risks in the work environment, to prevent injury and minimise costs associated with accidents. Carrying out risk assessment as part of our operational activities ensures that we keep our people safe from harm and allow the organisation to run efficiently.



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Principle 4: Continuous improvement

Our SMF will follow The Deming Cycle or 'PDCA Cycle' model. This is a continuous improvement model consisting of a logical sequence of four repetitive steps for continuous improvement and learning: Plan, Do, Check and Act. At the heart of the system is a fundamental commitment to manage health and safety risks proactively, so that accidents and ill health are reduced (effectiveness) and the system achieves the desired aims by using fewer resources (efficiency).



The Deming Cycle was chosen because it's a very simple model that aligns itself to business by virtue of its simplicity. The chosen model is a system that relies heavily on outputs and visible improvement on the ground. Our SMF has been designed to align with the organisation's general operation.

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Principle 5: All our people have a role to play in the identification and management of risk

While clear responsibility is placed upon Auckland Council as an organisation to manage its risks, our people also have a duty to ensure their own safety and the safety of others. We must develop genuine partnerships between management and employees based on mutual trust, respect and cooperation.

Each one of us must put safety at the heart of what we do in delivering our excellent services. If we do this together, we can keep Auckland Council working safely for our workforce, including volunteers, and our visitors. The behaviours we want to see adopted are: openness and honesty, collaboration, embracing safety, communication and trusting our instincts.



To bring about a meaningful and sustainable improvement in our health and safety performance, we need everyone working together towards a common set of goals set in our strategy. For this to become our cultural norm, all stakeholders within our Safety Management Framework:

- must understand their role and accountability
- will be competent, through a combination of training and practice
- will be risk aware and will act to eliminate or mitigate risk as identified through personal leadership. This will be surfaced as the 'See, Say, Do' programme.

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Roles and responsibilities

All staff have a role to play in applying the principles in their everyday work.

Governing Body, local boards, committees

Council's Governing Body carries ultimate responsibility for the health and safety of all members of staff, visitors and other individuals while on council premises and in other places where they might be affected by council's operations.

Members and other nominated parties acting on committees play a crucial strategic role for Auckland Council. As Officers under the Act they must ensure governance for health and safety is in place, and govern in order to meet their own due diligence duties under the HSWA.

It is important to:

- demonstrate leadership and commitment to improving health and safety performance
- demonstrate effective health and safety governance (crucial).

Elected Members of Auckland Council are expected to ensure that health and safety is adequately considered when making decisions at a strategic level and demonstrate clear, visible leadership and accountability for the health and safety aspects of their decisions, services and activities covered by their committees

The Governing Body itself is required to:

- satisfy itself that it has an appropriate written statement(s) of policy on Health and Safety, along with effective arrangements to implement them.
- ensure that an effective mechanism by which staff are able to be consulted on and engaged on health and safety is provided.
- ensure that a health and safety committee is set up and meets regularly.
- ensure that procedures for staff to appoint health and safety representatives are provided, and enable them to discharge their responsibilities.
- Receive regular performance briefings and update reports from the head of Health and Safety
- Be notified of any incidents carrying a major risk to health and safety, any enforcement action taken against the organisation and any response taken in relation to these.

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In discharging these responsibilities, the Governing Body is advised in particular by the chief executive; the director of People and Performance and the head of Health and Safety.

Chief executive

The chief executive is ultimately accountable for ensuring the implementation of this framework across Auckland Council.

The chief executive will:

- provide leadership to ensure good standards of health and safety performance
- ensure the provision of competent health and safety advice
- ensure adequate resources are available for health and safety (such as the delivery of training, provision of systems and procedures)
- ensure that the organisation and arrangements for meeting our health and safety responsibilities are in place
- determine and periodically review council-wide targets in respect of health and safety
- Chair a strategic Corporate Health and Safety Committee whose specific responsibility is to lead, deliver and coordinate our vision for a safe, secure and healthy workforce.

Executive Lead Team (ELT)

- Endorse the belief that protecting the health and safety of our people is non-negotiable.
- Support a corporate culture in which health and safety is given an equal priority to other business objectives and lead this through the Health and Safety Committee
- Ensure safety is applied through the application of an integrated management system which is supportive, consistent, recognisable and output-driven.
- Support people leaders in setting the corporate conditions to nurture a best in class approach so that a positive safety culture flourishes.
- Acknowledge that good health and safety is good for business at all levels.

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Directors

Directors are ultimately accountable for ensuring the implementation of corporate and departmental policies within their divisions and directorates.

They will:

- foster positive attitudes - through leadership and personal example - towards health and safety throughout their operational areas, so that our beliefs and commitment to health and safety become the shared values of all our people
- ensure they have suitable and sufficient local arrangements in place, being implemented and reviewed regularly to allow them to meet the Safety Management Framework:
 - local management teams know and fulfil their individual responsibilities regarding health and safety
 - local managers receive information and training so they are competent to carry out the health and safety tasks assigned to them
- direct health and safety performance in their areas through the creation of health and safety improvement plans. Measure performance through the development of appropriate key performance indicators (KPIs).
- ensure that risk assessments are being carried out and that appropriate staff and managers are nominated, trained and resourced to be able to complete them
- make each general manager (GM) accountable for the safety performance of their department and is implementing safety into their operational life cycles.
- ensure they are fulfilling their role by making safety one of their objectives, and monitoring it as part of their performance management
- ensure that operational health and safety matters are regularly discussed and addressed within each of their management teams, ensuring the director and their senior leadership team (SLT) carry out appropriate numbers of safety observations
- form an appropriate health and safety improvement group for the discussion of specific departmental issues on safety, to enable representation and escalation into the strategic Corporate Health & Safety Committee.
- implement an appropriate inspection and audit programme for the proactive monitoring of safety systems and control measures, to enable the annual assurance process. The result of the annual audit will be summarised into an annual certificate of assurance, which will be provided to the Legal and Risk team as part of the end of year assurance programme.

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- identify and direct clear responsibilities for building management issues i.e. fire risk assessment, first aid provision, etc, where:
 - a building is occupied by more than one department
 - services are received from other directors
 - the department is spread over various sites.

General managers

General managers are accountable for ensuring safe operations and the safety performance of their department. They will:

- assure their director, through local auditing, that systems are in place and are effective to manage health and safety
- ensure the Local Arrangements are in place, applied, reviewed and integrated into the operations of the department
- organise and make available resources in order to support health and safety management
- Implement health and safety plans locally and regularly review performance against them
- ensure suitably trained safety coordinators are in place to support the directorate or divisional lead with any required system implementation, or to cascade and maintain safety information
- ensure that operational health and safety matters are regularly discussed and addressed within each of their management teams
- carry out safety observations in order to support and strengthen our health and safety culture.

People leaders

In practice, to ensure effective management of health and safety within their remit, general managers delegate the implementation of the following day-to-day tasks to people leaders.

All people leaders within departments are responsible for ensuring that activities carried out under their control are carried out safely and in accordance with relevant safety legislation, safety standards, codes of practice and their local procedures.

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People leaders will:

- Attend Managing Safety [Managing Safety at Auckland Council - Tupu Link](#) as part of their Health & Safety Induction
- ensure that risk assessments in their area are carried out
- ensure that identified control measures are implemented and continue to be effective
- ensure that the risk assessment is recorded in [Risk Manager](#), regularly reviewed, updated and shared with those of their people to whom it is relevant. If the people, processes or activities involved change, or if an accident (including ill-health), incident (including near misses) or nonconformity occurs, the risk assessment should be reviewed immediately
- ensure that staff within their remit receive induction, training, resource (including time), advice and support, and are supervised until deemed competent
- raise any issues of non-compliance through their line management structure
- apply and implement our health and safety standards and local arrangements
- ensure that where the need for health surveillance is identified in a risk assessment, staff within their remit are referred to the occupational health provider and, where required, attend appointments
- ensure that all staff have the appropriate personal protective equipment (PPE) and wear or use it
- investigate accidents and ensure agreed actions are completed
- empower and collaborate with their staff on the development of any safety measures
- ensure health and safety is regularly and meaningfully discussed as part of any team meeting and to allow for the escalation of issues up through the departmental governance structures i.e. Health and Safety Improvement Groups.

Head of Corporate Health and Safety

- Leads and is responsible for the development and implementation of the SMF.
- Designs and implements an assurance framework programme.
- Acts and leads on strategic health and safety matters for the council group as head of profession.

Corporate Health and Safety Team

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The Corporate Health and Safety Team constitutes a competent safety advisory resource for Auckland Council. The team will:

- provide impartial advice on health and safety across all levels of the organisation
- provide the auditing and monitoring function in order to provide assurance to the chief executive and ELT on safety management
- reports on compliance and monitor performance across the council, through the use of safety performance indicators
- Leads the development of a positive health and safety culture.

Authorised Corporate Health and Safety advisors within the health and safety section will:

- have access to all areas and carry out planned and unannounced inspections and audits within any area or operation of Auckland Council. They will be afforded the maximum cooperation by all managers
- have the appropriate authority to make safe or stop any works being carried out by, for or on behalf of Auckland Council, until such risks are adequately controlled, where a serious danger or risk is identified or suspected
- produce health and safety performance reports for the ELT, Corporate Safety Committee and others
- act, with the Legal team, as principal liaison with WorkSafe NZ, New Zealand Police, Fire and Emergency New Zealand and other appropriate enforcement authorities, in relation to health and safety-related matters occurring in corporate buildings.

Occupational Health and Wellbeing Team

The Occupational Health and Wellbeing Team are part of the Corporate Health and Safety Team. Their role, in conjunction with their Health and Safety colleagues, is to provide advice on prevention and rehabilitation to ensure people are fit for work. This includes the provision of health surveillance programmes identified by management's risk assessments.

The service provides:

- information and advice to assist managers in meeting requirements laid down by health and safety legislation specific to health risk management

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- confidential and impartial advice to employees, management and the People and Performance Team on matters of health that may affect their ability to carry out some or all of their tasks
- advice to managers on return to work plans and injury management.

Corporate Property and Community Facilities Teams

The Corporate Property Team is accountable for corporate office and local board facilities. The Community Facilities team is accountable for community service facilities.

Responsibilities in the context of Auckland Council buildings

- Monitor and assess the safe condition of the fabric and structure of buildings. Where necessary, seeking specialist advice from other Auckland Council departments or specialist contractors, and taking remedial action.
- Ensure, for buildings in multiple occupancy, that appropriate consultation is carried out with users on health and safety issues affecting all aspects of use of the building, including changes to the structure, occupancy and fabric of the building.
- Draw up and revise as necessary, specifically risk assessments for common areas in the building. Co-ordinate the assessment of other hazards that impact on health, safety or security of the building or occupants.
- Hold and maintain an up to date and appropriate premises health and safety file which may include:
 - copies of risk assessments
 - asbestos registers
 - appropriate evidence of monitoring and inspections, e.g. water temperature checks to support Legionella control, electrical installation certificates etc.
- Coordinate arrangements in the building for dealing with emergencies, including fire and mass evacuations, in order to safeguard occupants and others who could be harmed.
- Bring to the attention of any person that may carry out work on the fabric or fixture and fittings of the building any known hazards. For example:
 - the provision of an asbestos management plan
 - any other controls in place for potentially hazardous work areas, such as Permits to Work
 - controls in place for high risk processes such as Hot Works Permits.

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- Bring to the attention of the appropriate senior manager matters outside their control or competence but which have implication for the continuing safety and integrity of the building or its use.

All staff

All employees have a legal obligation to take reasonable care for their own health and safety and for that of others (e.g. contractors, volunteers and visitors) and to cooperate with respect to health and safety matters. In addition, all employees must:

- work safely and efficiently without endangering their own health and safety, and that of their colleagues and any other person who may be affected by their acts and omissions
- stop work where it is felt a serious and imminent risk of harm is present in a task due to an uncontrolled hazard
- ensure that they understand the safety rules and procedures that apply to their work and that they follow any safety instructions issued by their supervisor, team leader or manager
- adhere to local health and safety standard operating procedures
- not recklessly interfere with or misuse any equipment or systems intended for ensuring health and safety
- attend health and safety training, and actively put it into practice
- advise their line manager of any additional or unmet training needs, deficiencies in safe working systems, faults or hazards in their working environment
- report to a manager any accidents, incidents, near misses or hazardous situations - including violence and aggression - as soon as possible after the incident
- fully cooperate as required in any investigation and provide all facts as necessary to the investigating officer
- ensure they have authorisation to bring into the workplace any tool, substance or piece of equipment of their own which is potentially hazardous to their health and safety and that of others
- be aware of the emergency evacuation procedures, positions of fire alarms, equipment and exits and know who the local fire marshall and first aider are for the area where they are working, and who to contact in an emergency.

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Framework

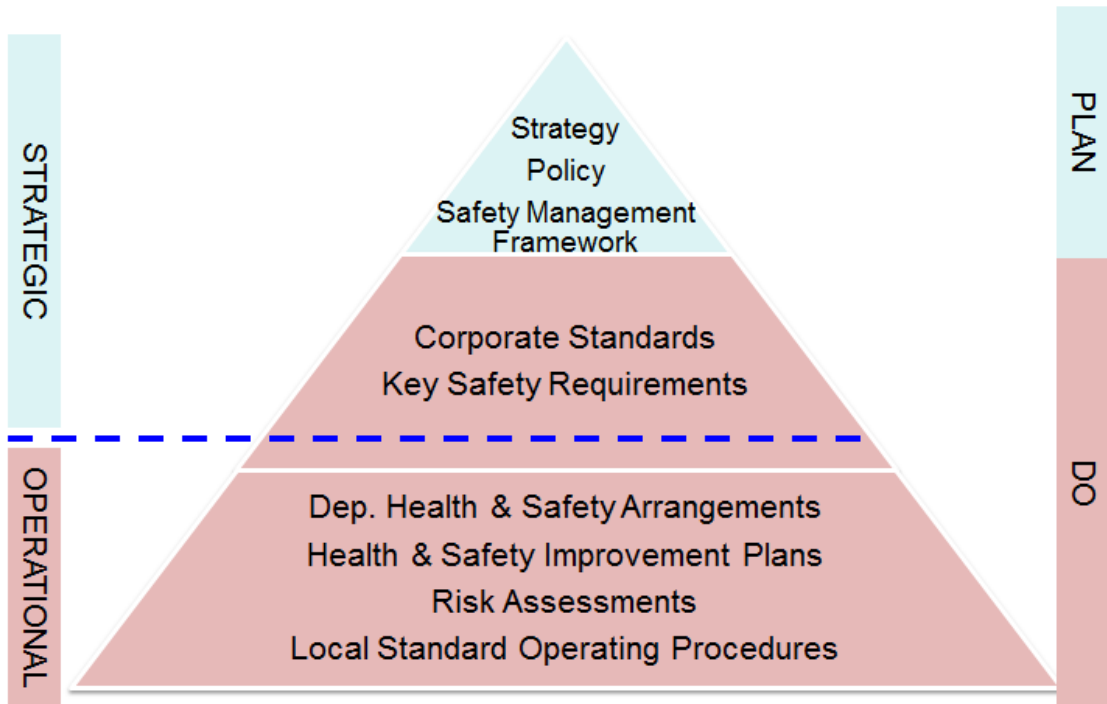
A corporate policy statement & charter is in place.

This Auckland Council Safety Management Framework determines how health and safety will be managed.

A policy statement and charter has been made and signed by the mayor and the chief executive. It sets out expectation for the behavioural approach to health and safety required by our people and our leaders.

The framework will provide high level direction and set minimum requirements through, corporate standards and KSRs. These will give direction and set parameters for local implementation, to increase consistency of approach and ensure regulation of safety practice.

Overview of the Auckland Council Framework for Health & Safety Management





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While the SMF is flexible and can be adapted to individual departments through local arrangements, there are a number of standards that apply to all of the council. These must be adhered to in order to control critical risk areas and maintain critical corporately-aligned systems such as incident and accident reporting.

Corporate standards (CSTD)

These standards will be created centrally, in collaboration with departments, through the governance process established in Corporate Standard 1: 'Developing and implementing health and safety documentation.'

Example

No department will create a health and safety policy, nor a hazard-specific policy or standard (e.g. 'Managing Work-related Violence Policy') for their own use. Corporate Standard 1, 'Developing and implementing health and safety documentation', lays down the procedure should a department require a standard or other safety documentation be created.

Key safety requirements (KSRs)

KSRs will be formulated by considering legal requirements, approved codes of practice and industry best practice. They will give people leaders and our people appropriate information on hazards, in a manner highly tailored to the council. KSRs are created by the Corporate Health and Safety Team. They will only be created by authorised, competent individuals and will be approved in line with CSTD1.

A KSR has been designed specifically to be used with CSTD3 (Risk assessment). The KSR provides the knowledge required by a manager to understand hazard and how hazards can occur, in order to then apply this knowledge using the risk assessment process, within Risk Manager. The outputs or controls from the risk assessment will then be used in any development of any standard operating procedure.

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Example

KSR in operation



Risk management (risk assessment)

All local tasks and activities must be risk assessed and have controls identified, by applying CSTD3. This allows consistency of approach so that our risk scores can be measured in line with our broader Enterprise risks. The Corporate Enterprise Risk Matrix is used to assess risks.

All risk assessments must be recorded, managed and escalated through the Risk Manager system. They must remain 'live' (kept updated alongside the operational lifecycle) until the activity is no longer carried out.

Departments must maintain their risk assessments live through Risk Manager in order to be able to compile and maintain visibility of the organisational risk register. This register is critical for elected members and the ELT to make decisions on safety. It will be regularly reviewed by the Corporate Health and Safety team and Audit and Risk Committees.

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Critical risks

Our critical risks will be identified through correct application of risk assessment at all levels. Critical risks are typically those with the potential to cause death or life-changing injury. It is therefore vital that all departments apply risk assessment consistently and effectively. Once identified by the Corporate Health and Safety Team, critical risks will be proactively managed and a corporate risk assessment will be carried out to ensure consistent controls are applied as a minimum standard throughout the organisation. Further controls can and should be applied locally depending on the specifics of the task carrying the critical risk.

Critical risk management framework reporting (risk register)

The risk registers will be automatically organised and managed through Risk Manager which will allow our top risks to be reviewed, controls audited and their effectiveness reported to the ELT, Corporate Health and Safety Committee, Audit and Risk Committee and the Governing Body to ensure good proactive management. The critical risk register will be reviewed quarterly. New high or extreme risks will be reported immediately to the ELT for review.

Mandatory health and safety training

Given the key strategic importance of empowering our people to understand and apply health and safety, some mandatory health and safety training courses have been identified for all staff and some managers.

- Corporate induction: this must be completed by all new staff, including temporary and contract, by the end of their first week at Auckland Council.
- Managing Safely: all people leaders will attend the Managing Safely course provided by the Corporate Health and Safety Team.
- Risk assessor training: under the HSWA, risk assessment is a key requirement and the foundation on which safety is managed. Anyone carrying out this task must attend the General Risk Assessors Course based on CSTD3. The course is delivered by the Corporate Health and Safety Team internally.

Risk Manager – our health and safety management software

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Auckland Council uses Risk Manager to record and manage our risks. It is also our incident and near miss reporting tool. Use of the system is mandatory across the council.

All local safety outputs, e.g. risk assessment, audits, inspections, Investigations, etc, must be input into the appropriate module in Risk Manager to assure compliance, drive vital safety data and, critically, drive our risk registers. The latter ensure that risk profile and our top risks can be reported to the ELT and the Governing Body.

Guidance: certain outputs may not be able to be captured in Risk Manager, for example, job safety analysis. However, local inspections, safety tours, safety observations, and Take 5's, as stipulated in your arrangements and health and safety plans, must be recorded on this central system

Tupu

Tupu is our Learning and Development System. It must be used to record all health and safety training material.

Health and safety governance framework

A governance framework comprises of systems to direct and monitor an an organisation. Allocating responsibility drives action: in this case, safety management. A governance framework is fundamental to an organisation's overall risk management function, which is a key responsibility of directors.

Corporate Health and Safety Committee

The committee's function will be:

- to set strategic direction
- to set values and standards, with clear objectives and targets for management which are monitored.

The committee will hold departments to account for performance of safety, and direct on matters relating to the overall management of health and safety throughout the organisation.

The committee will be chaired by the chief executive. The committee allows Auckland Council to establish a meaningful governance framework for decision-making for

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safety. It also allows the council to provide a clear communication and escalation pathway for safety issues, through its alignment to health and safety groups and committees at the operational level. It is particularly important for addressing critical risk issues.

The committee will help to:

- raise the profile of health and safety across Auckland Council and provide corporate visibility, to ensure good standards of health and safety performance in all council activities
- highlight and push out good practice and success stories on health and safety
- ensure that the organisation of arrangements for carrying the council's health and safety framework and other statutory requirements are adequate
- develop and oversee the implementation of health and safety strategy for Auckland Council
- monitor and track any enforcement action by relevant agencies being taken against Auckland Council and ensure corporate lessons are learnt
- review specific health and safety policies for Auckland Council and consider best practice.
- resolve issues that arise within or between departments that it has not been possible to resolve at a local level
- monitor the implementation of any strategy or improvement plans for health and safety within Auckland Council
- monitor key performance information regarding health and safety across Auckland Council and make recommendations for improvement where required
- monitor and make recommendations on the effective use of financial, human, physical and information resources with regard to effective management of health and safety
- determine and periodically review council-wide health and safety targets.

The Corporate Health and Safety Committee constitution and terms of reference can be found on the intranet or through this link

In setting the strategic aims for the business the committee will benefit from a fundamental understanding of the role health and safety plays in the overall performance of Auckland Council. Furthermore, their leadership role and influence in setting clear values and standards to work to, and holding people leaders to account for engaging with our systems, is key to establishing the safety culture within our organisation.

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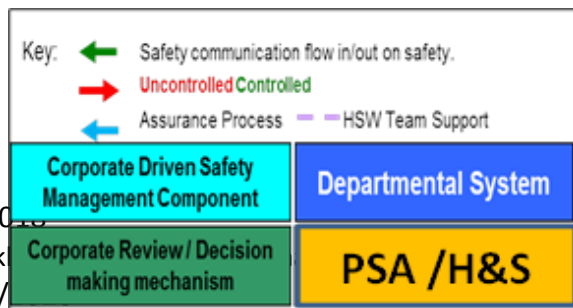
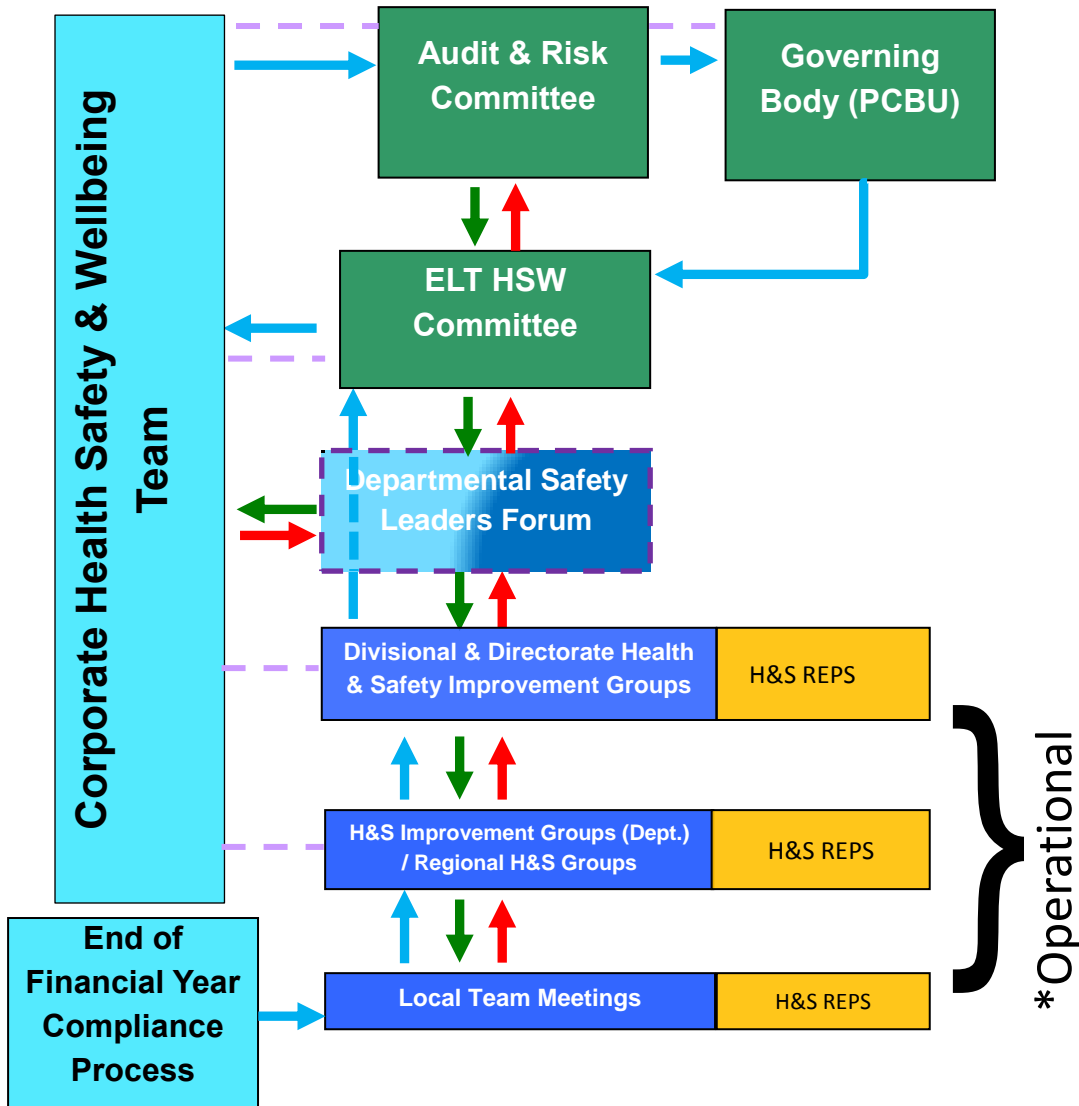
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A diagram of our governance framework showing information flows into and out of the corporate mechanisms to manage health and safety is included overleaf. Note information on the Local Governance mechanisms is found under the Divisional and departmental health and safety arrangements section of this framework, specifically under Health and safety improvement groups – Local Governance



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Divisional and departmental health and safety arrangements

Each division is required to ensure appropriate arrangements for managing health and safety are in place. The arrangements will be implemented according to, and shall reflect the complexity of, the Division and its risk profile.

Example

It would be appropriate for each of the three directorates under the Operations Division to have their own arrangements. What's more, it may also be appropriate for other larger complex departments, like Community Facilities, to implement their own arrangements. By comparison, given its low risk profile, the Governance Division's systems need not be as complex and can be managed as a single divisional level

Divisional, directorate and departmental health and safety arrangements will not duplicate existing or proposed corporate policy, corporate standards or KSRs.

Local arrangements will tie into the corporate system through various touch points:

- Health and safety governance framework
- corporate standards and KSRs
- auditing frameworks.

The Health and Safety Governance Framework will inform and shape divisional reporting arrangements; however, these will be applied operationally through their departments. In essence, divisional arrangements simply ensure departments have the means to manage health and safety; the directors will measure this performance accordingly.

Health & Safety Charters

A local charter from each director should be provided, reinforcing each director's commitment to health and safety. The charter will allow directors to set their own tone, set expectation for managing health and safety and communicate what they want to achieve, e.g. from a culture perspective. It should reinforce the Corporate Policy Statement

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Departmental arrangements

General managers are required to develop and implement their own departmental health and safety arrangements. These should tie back into the wider divisional arrangements for ease of monitoring and control.

In designing departmental arrangements, risk profile and departmental complexity should be used as guiding elements. The Corporate Health and Safety Team can advise in this respect.

Guidance

This key part of the framework will establish a structure for managing health and safety. It will detail what departments are going to do in practice, to achieve the aims set out in the director's charter and how health and safety will be managed within the department. The additional actions departments take to manage health and safety should be set out under this arrangements section. They could include:

- staff training
- local inductions
- health and safety improvement groups
- general rules for risk assessors, strategies and numbers of assessors, etc
- use of safety equipment and personal protective equipment (PPE), including goggles, safety boots or high-visibility clothing
- testing of plant
- health surveillance.

Arrangements will clearly set out who is responsible for specific actions. They must secure ownership and accountability. The arrangements should also highlight the governance and procedural arrangements within the department and how this maps into the division. They must be tailored to meet the needs of the department, taking into consideration the nature of work and associated risks. Local arrangements form a key component of the Auckland Council Safety Management Framework and shall be maintained as a live document.

Departmental Sponsors

Each GM or Head of (in non-operational roles) is accountable for the health and safety of their people to their director. However, it would be beneficial to also nominate a

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Departmental lead team member as a safety sponsor. The intent would be for this senior manager to sponsor safety, coordinate safety activity such as the assurance program and support their lead. A critical expectation of the sponsor would be to hold all his peers to account on their safety performance.

Health and safety leads

The generally low risk divisions – CEO, Finance, CPO and Governance do not require a lead and safety should be managed through their people Leaders and coordinated as above by their sponsor as they contain lower risk operations.

However, depending on the individual risk profile of their department, the system can and should flex up.

Example

In the case of RIMU in the CPO, it may be appropriate for them to nominate an additional departmental lead for this area, given its risk profile. Finance may feel the need to do something similar with their property department.

Operations Division – high risk

Complex and high risk departments within Operations and the three directorates must nominate an appropriate person to act as their departmental / directorate health and safety lead.

Example

High Risk areas under Operations like City Parks and Community Facilities, and the three directorates due to their risk profiles and operational complexity, will find benefit in the health and safety lead role being made full time, their competency level should reflect this, i.e. aligning this role to a health and safety professional as appropriate. The health and safety lead must work with the departmental leadership team.

The leads will coordinate health and safety matters for their department. It is not necessarily their job to “do” health and safety for their department - this is the job of all people leaders - but to set the conditions to operationalise safety and monitor performance for the department through the appropriate provision of information.

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The leads, through the coordination of local audits, will help assure that their local safety arrangements:

- are embedded into the everyday operation of the department's work
- are effective and maintained as directed by the director and as required across the organisation.

They will provide a critical conduit and be a key single point of contact between the departments and the Corporate Health and Safety Team, for:

- creation of safety documentation and guidance consultation
- exploit local communication systems
- accident reporting and Investigation
- safety specific training procurement
- local compliance (inspection and auditing)
- health and safety risk management
- end of year assurance process.

They must be competent in accordance with the risk profile of their department. High risk departments' leads will be expected to be trained to a minimum of NEBOSH Certificate (globally recognised health and safety qualification) standard, or equivalent.

Health and safety leads must attend the Departmental Safety Leaders Forum (DSLRF) as detailed in the SMF.

The sponsor would not be expected to attend the Safety Leaders Forum as detailed above.

Departmental health and safety improvement plans

Health and safety improvement plans must be produced by each department. Low risk divisions may produce a divisional plan as per the risk parameters discussed above. They are used to outline the top workstreams of a department to help it achieve its safety objectives. Council has facilitated a tool – Safe365 to simplify this gap analysis and visualise performance.

Like business plans, health and safety improvement plans are a key planning and communication tool, both within and between departments, for identifying priorities, tracking performance, peer learning and support.

Progress monitoring shall be regular and at minimum on a quarterly basis.

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Health and safety improvement groups – Local Governance for Engagement

At the smallest unit level (e.g. by team), health and safety performance will be discussed as a regular item at meetings. Any issues captured can then be escalated as necessary through the organisational layers until successful resolution.

A health and safety improvement group will be formed at the Divisional Level.

Health and safety improvement groups will be set up to best reflect the operation of their department. For example, some groups may meet regionally.

It is expected the group is chaired by a senior manager of the department or director. Health and safety management, performance and issues should be discussed within this framework. The purpose of this group is to drive the governance processes into each operational business unit.

It is expected these groups will meet as necessary in accordance to the departmental risk profile, but at least twice a year. Agendas for the meeting must be appropriate with regards to the department's work or risk exposure. Minutes will be published on the intranet and made available to all staff.

Accidents and Incidents statistics will be monitored by this group and reviewed as necessary, to ensure departmental learning and prevention of recurrence.

A health and safety advisor from the Corporate Health and Safety Team will be invited to all meetings and will attend as necessary, to:

- provide central updates and information on health and safety matters
- provide guidance as required
- facilitate information sharing and corporate learning
- monitor the effectiveness of the group and support its work.

A suggested structure for this group and the interaction of any safety sub groups is shown below:

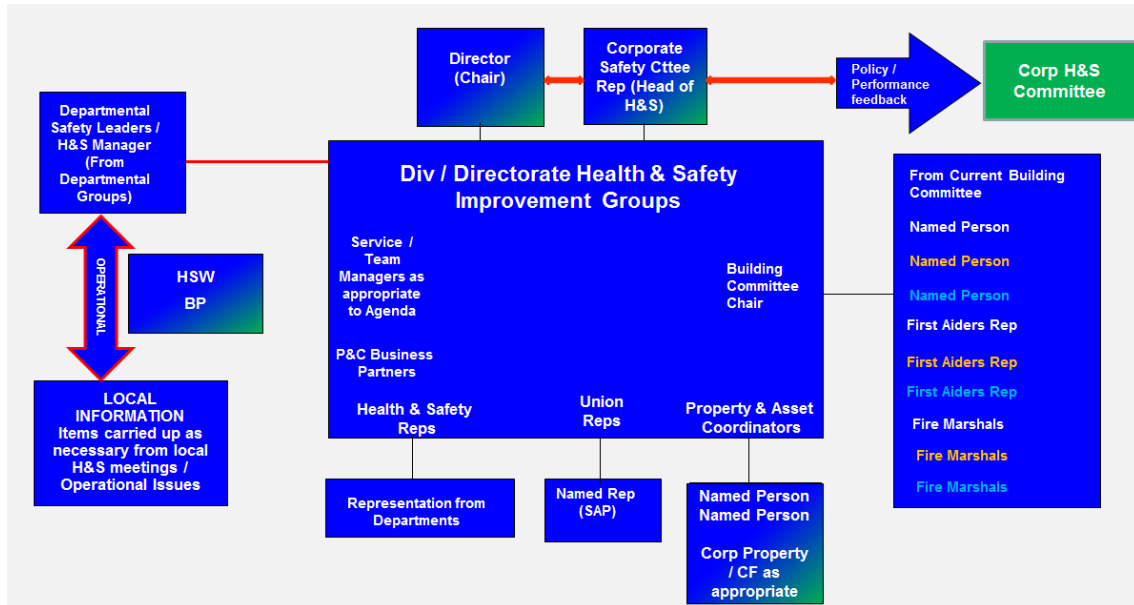
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Building committees

All building committees will be aligned as sub groups of the Corporate Health and Safety Committee.

Given the new governance requirement to manage operational safety matters as a departmental function, under GMs the building committees will be refocused to consider and manage the shared coordination throughout all our buildings, of:

- fire
- first aid
- emergency preparedness
- health and safety rep management.

Given the focus of these building committees is building or asset related, Corporate Property and Community Facilities will be major stakeholders at these meetings. It is expected they not only attend but actively manage the work within these groups.

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Departmental Health and Safety Leaders Forum (DLSF)

This is a new functional group chaired by the head of Corporate Health and Safety. It will become a community of practice through which best practice can be shared across Auckland Council. The DLSF will be a critical group where many of the operational obstacles and cross-functional issues can be brought back for resolution to the corporate centre, and vice versa, without clogging up the Corporate Health and Safety Committee.

Safety representatives and union representation

In order to comply with HSWA, any worker may notify the PCBU that they wish for one or more health and safety representatives to be elected to represent them. A PCBU may, on its own initiative, initiate the election of one or more health and safety representatives to represent workers. Auckland Council will maintain a network of safety representatives.

The main responsibilities of a safety representative are:

- to collaborate with management to investigate incidents, near misses and unsafe conditions and investigate complaints by any person they represent relating to their health and safety
- to attend health and safety improvement group meetings and building committee meetings to ensure their members are effectively represented.
- to carry out inspections of the workplace at agreed intervals having given reasonable notice to the responsible manager. Where possible, these should be done collaboratively and can be used as part of the First line of defence (local assurance) inspection programme
- to work in conjunction with the Corporate Health and Safety Team and local people leaders, on behalf of employees whose health and safety they represent. To make representations to the appropriate senior manager on health and safety matters where reasonable actions are not being undertaken, exposing people to serious harm. As per the Health and Safety at Work Act 2015 take action as necessary through the use of Improvement or Prohibition notices.

Auckland Council will provide a Corporate Health and Safety Committee that will discuss corporate issues, disseminate information and monitor performance. The Union and the safety representatives may each nominate an attendee. Terms of Reference can be viewed by request to the head of Corporate Health and Safety.

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Assurance auditing, monitoring and due diligence

Assurance will be in accordance with the Three Lines of Defence model.

The chief executive is primarily responsible for ensuring the effective implementation of health and safety systems while monitoring health and safety performance and directing action where relevant.

Health and safety awareness and appropriate management is the responsibility of all staff on a day to day level. However external assurance is provided through external independent audits, this is good practice. Undertaking regular external safety auditing will provide Auckland Council with an independent check on how well we are managing managing health and safety. Audit outcomes will be reported to the Health and Safety Committee, chief executive, governing body and Audit & Risk Committee.

First line of defence: local assurance

It will be the responsibility of local managers to monitor their day-to-day performance with regard to health and safety, including:

- regular monitoring of controls
- review of their risk assessments
- investigation of accidents and near misses
- identifying those at risk with regard to health issues
- maintaining records
- reporting to local health and safety improvement groups.

Second line of defence: departmental assurance

It will be the responsibility of directors to provide adequate mechanisms for the proactive monitoring of safety performance, including an inspection programme and annual audit.

The result of the annual audit will be summarised into an annual certificate of assurance, aligned to the current end of year financial compliance process as managed by Legal and Risk. This would provide an assurance to the chief executive that the divisions and their departments have systems in place to manage health and safety

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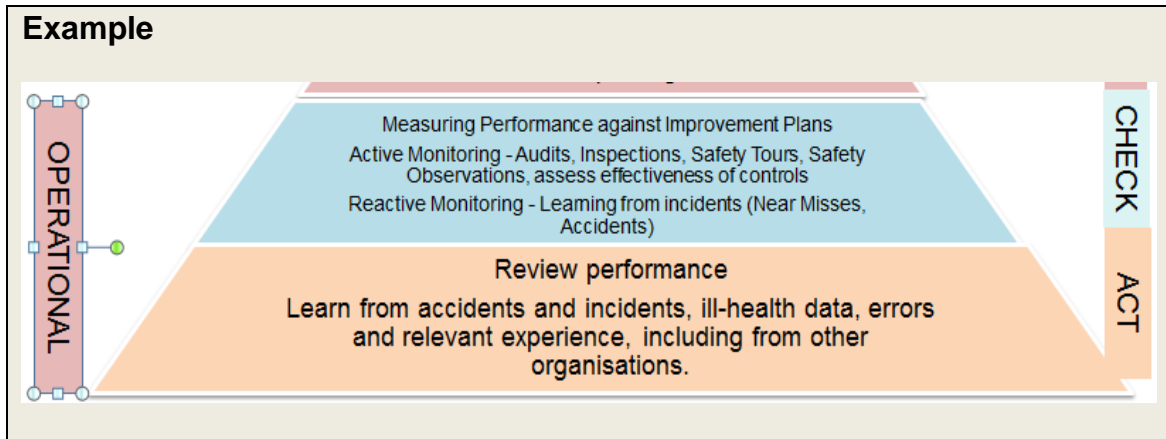
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and that they are effective. All departments will report on compliance, and monitor performance against relevant safety performance indicators.

The assurance process should involve a form of peer review and contain some cross-departmental audits. This is seen as an opportunity to break silos, share best practice and improve consistency of approach: an assurance exercise with a fresh pair of eyes.



Third line of defence: corporate assurance

in order to provide assurance to the chief executive and ELT on our safety management systems and legislative compliance across the organisation, The Corporate Health and Safety Team will provide the auditing and monitoring function. The head of Corporate Health and Safety will ensure that a corporate audit and inspection plan is in place that includes all departments.

The result of the annual audit will be summarised into a report which will be reviewed by the Corporate Health and Safety Committee and ELT.

In order for health and safety to be successfully integrated into our business operations there needs to be an active and reactive monitoring processes in place. This is the 'check, act' element of the PDCA management system.

Assurance will be demonstrated by:

- documentation:
 - divisional health and safety management systems
 - departmental health and safety plans
 - risk registers
 - copies of risk assessments

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- safe working methods
- training records.
These will be produced and kept electronically in Risk Manager or TUPU. It is essential that working documents such as risk assessments are easily available to all employees.
- Practice / Inspections - managers will ensure that active monitoring is carried out in their areas, based on their health and safety plans and standard operating procedures (SOPs).

Compliance with assurance programme must be discussed as part of individual performance monitoring within MyTime conversations.

Independent review

Systems and practices will be independently reviewed against our charter and SMF, corporate standards and local procedures.

Health and safety management will be scrutinised further by the Internal Audit team who will report to the Audit and Risk Management Committee. Internal Audit and external auditors may verify our arrangements and compliance with our health and safety management system from time to time. They may also audit the operation of the Corporate Health and Safety Team.

WorkSafe New Zealand - as the national enforcement agency - and other external accreditation bodies may require that parts or all of our systems be audited.

Reporting

KPIs are in place to monitor council-wide safety performance. Indicators are proactive (lead) and reactive (lag). They will be used to monitor general compliance with health and safety at team, departmental, divisional, and corporate level and to drive improvement activity.

Red card for unsafe conditions actions or behaviours

In order to fulfil the expectation of the Auckland Council Health and Safety Policy Statement / Charter and to empower our people to take ownership over safety, we will facilitate a red card system. The red card may be produced at any time where one of our people feels an uncontrolled risk exists that could expose them to serious harm. The job will be immediately stopped. No blame or repercussion will be taken upon that staff member for using this mechanism. Once produced the line manager must

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immediately review the situation and ensure controls are implemented before the work can restart. The player of the red card is the only person who can sign off on this, apart from an advisor in the Corporate Health and Safety team or local HSW professional.

A red card incident must be reported into Risk Manager under the appropriate category.

Abuse of the red card system for concerns other than safety will be investigated.