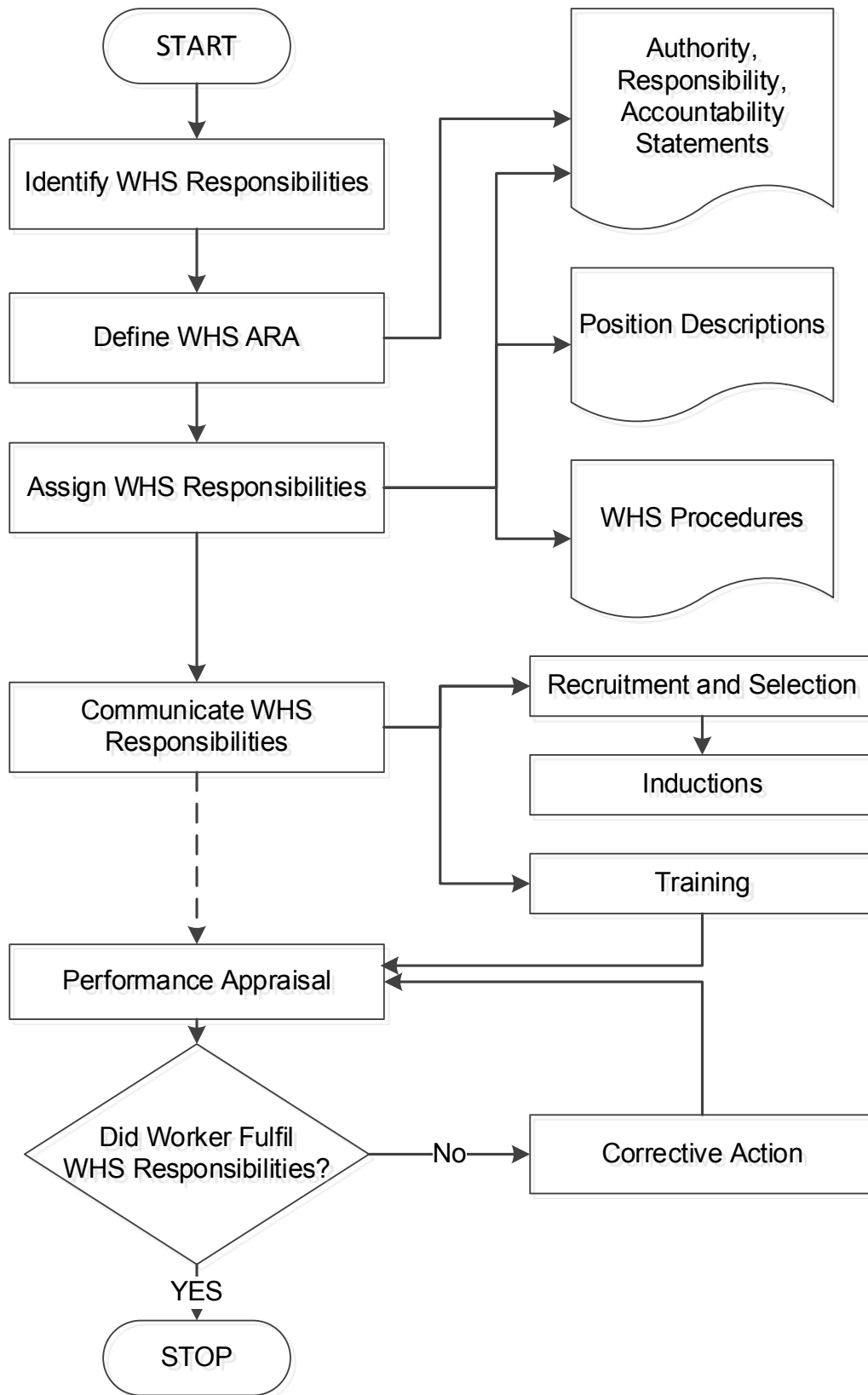


# RESPONSIBILITY AND SUPERVISION

## 1.0 SUMMARY / FLOWCHART



## 2.0 RESPONSIBILITIES

<b>Organisational Level</b>	<b>Health and Safety Responsibilities</b>
<p><b>WHS – Responsibilities – Officers (General Manager, Group Directors)</b></p> <p>An “Officer” is responsible for ensuring that the PCBU has exercised “due diligence” to ensure that the PCBU complies with the duties imposed by the WHS Act 2011.</p>	
<p><b>Level 1 (General Manager and Group Directors)</b></p>	Identify and document work health and safety responsibilities pertaining to the role and the roles of others.
	Assess health and safety performance of direct reports against work health and safety responsibilities on an ongoing basis and annually during Employee Performance Reviews.
<p><b>Level 2 (Section Manager, Unit Manager / Unit Co-ordinator, Project Manager)</b></p>	Identify and document work health and safety responsibilities pertaining to the role and the roles of others.
	Assess health and safety performance of direct reports against work health and safety responsibilities on an ongoing basis and annually during Employee Performance Reviews.
<p><b>Level 3 (Co-ordinator within a Unit, Team Leader, Supervisor, Ganger or Leading Hand or Operator)</b></p>	Identify and document work health and safety responsibilities pertaining to the role and the roles of others.
	Assess health and safety performance of direct reports against work health and safety responsibilities on an ongoing basis and annually during Employee Performance Reviews.
<p><b>WHS Responsibilities – Workers</b></p> <p>Under the NSW Work Health and Safety Act 2011, workers must take reasonable care of the health and safety of themselves and others.</p>	
<p><b>Level 4 (Team Member, Operator, Attendant, Trainee, Apprentice)</b></p>	Take reasonable care for the health and safety of people who are also at a SCC workplace and who may be affected by the worker’s acts or omissions at work.
	Comply, so far as reasonably able, with any reasonable instruction that is given by SCC to allow compliance with legislation.
	Cooperate with any reasonable SCC policy or procedure relating to health and safety at the workplace that has been notified to workers.
<p><b>Level 5 (Volunteer, Contractor, Other)</b></p>	Be in a fit state, free from fatigue, the influence of alcohol or other drugs.
	Report all injuries and incidents to their respective nominated SCC contact.
	Take reasonable care of their own health and safety and the health and safety of others.
	Identify and report workplace hazards.
	Use required Personal Protective Equipment.

### **3.0 PURPOSE & SCOPE**

#### **3.1 PURPOSE**

3.1.1 The purpose of this procedure is to document the processes implemented within Shoalhaven City Council (SCC) to ensure the fulfilment of all relevant WHS responsibilities, as prescribed by legislation, and that these requirements are duly identified, appropriately assigned, properly communicated, and documented in a manner accessible to the position holder or holders.

#### **3.2 SCOPE**

3.2.1 This procedure documents the health and safety responsibilities applicable to SCC [Person Conducting a Business or Undertaking], Officers of SCC [General Manager, Directors], SCC Workers and Others.

### **4.0 PROCEDURE**

#### **4.1 IDENTIFICATION OF WHS RESPONSIBILITIES**

4.1.1 WHS Responsibilities are specified within the WHS legislation and supporting Codes of Practice, Standards, and other requirements.

4.1.2 WHS Responsibilities will be identified through processes defined within Planning, Reporting and Review Procedure and Safety Legal Requirements.

#### **4.2 DEFINE AND DOCUMENT WHS RESPONSIBILITIES, AUTHORITIES AND ACCOUNTABILITIES**

4.2.1 WHS responsibilities, authorities, and accountabilities are defined and documented within the Authority, Responsibility, and Accountability (ARA) Statements for each position or role in SCC.

#### **4.3 RESPONSIBILITY FOR SCC'S WHS MANAGEMENT SYSTEM**

4.3.1 The General Manager has the overall responsibility for SCC's WHS Management System and the reporting of the system's performance to management.

#### **4.4 ASSIGNMENT OF WHS RESPONSIBILITIES**

4.4.1 The SCC WHS Policy document describes SCC's commitment to assign WHS responsibilities to Workers.

4.4.2 WHS responsibilities are assigned using, but not limited to, the following:

4.4.2.1 Authority, Responsibility, and Accountability (ARA) Statements

4.4.2.2 Position Descriptions

- 4.4.2.3 WHS System documents including Procedures and Safe Work Method Statements
- 4.4.2.4 Contractual arrangements with service providers.

#### **4.5 COMMUNICATION OF WHS RESPONSIBILITIES**

- 4.5.1 Relevant WHS responsibilities are communicated to SCC employees through:
  - 4.5.1.1 Recruitment and Selection processes
  - 4.5.1.2 Inductions
  - 4.5.1.3 Training
  - 4.5.1.4 WHS Communication and Information sessions.
- 4.5.2 Relevant WHS responsibilities are communicated to SCC contractors and their employees through:
  - 4.5.2.1 Approval and engagement processes
  - 4.5.2.2 Inductions
  - 4.5.2.3 Training
  - 4.5.2.4 WHS Communication and Information sessions
  - 4.5.2.5 Toolbox talks.
- 4.5.3 Relevant WHS responsibilities are communicated to SCC visitors, volunteers and others through:
  - 4.5.3.1 Inductions
  - 4.5.3.2 Training.

#### **4.6 ACCOUNTABILITIES**

- 4.6.1 Employees
  - 4.6.1.1 An employee's fulfilment, or otherwise, of assigned WHS responsibilities will be appraised on an annual basis by the employee's immediate supervisor or manager.
  - 4.6.1.2 The performance review will assess an employee's performance against the responsibilities documented within the relevant ARA Statement.
- 4.6.2 Contractors and Volunteers
  - 4.6.2.1 The performance of contractors and volunteers will be monitored in accordance with requirements documented within P06 Contractor & Volunteer Management.

#### **4.7 SUPERVISION**

- 4.7.1 Factors that influence how to supervise workers include:
  - 4.7.1.1 the nature of the work being undertaken, e.g. high-risk or low-risk;

- 4.7.1.2 the nature of the work environment where the work is being undertaken, e.g. remote or isolated; and
  - 4.7.1.3 the type of worker carrying out the job.
- 4.7.2 Different procedures are required to supervise different types of workers, such as:
- 4.7.2.1 young or inexperienced workers;
  - 4.7.2.2 experienced workers; and
  - 4.7.2.3 contractors with specialist skills.
- 4.7.3 Young workers
- 4.7.3.1 A worker with little experience, e.g. an apprentice or a young worker, requires a higher level of supervision than a tradesperson or an experienced worker.
  - 4.7.3.2 As the experience, capability and knowledge of the apprentices or younger worker grows, the level of supervision that you provide them can decrease.
  - 4.7.3.3 Do not reduce the supervision of a younger worker until the worker is ready.
  - 4.7.3.4 Induction, Coaching and Monitoring sessions are to be recorded utilising - P09.F01 Induction, Coaching and Monitoring Form.
  - 4.7.3.5 Supervisors need to make sure that the worker knows to ask for guidance if they have any doubt about the work task they are carrying out.
- 4.7.4 Experienced workers
- 4.7.4.1 Experienced workers generally require less supervision. However, workers who have done a job many times before tend to get complacent, and can start to take shortcuts so a supervisor must be vigilant about these kinds of risks.
  - 4.7.4.2 Complacency is one of the greatest risks to health and safety in the workplace.
  - 4.7.4.3 Experienced workers also need closer supervision when new plant or equipment is introduced or when new work processes are adopted.
- 4.7.5 Contractors
- 4.7.5.1 A contractor who comes into a SCC workplace may have specialist trade skills and will require less supervision than an inexperienced worker.
  - 4.7.5.2 In many cases, a supervisor will not have the same technical knowledge as a contractor which may make it difficult to ensure that the contractor is carrying out their work properly.

- 4.7.5.3 If your supervisor does not have a detailed knowledge of the task the contractor is undertaking, their role will be to ensure that the contractor complies with safety requirements and has considered and documented a safe system of work.
- 4.7.5.4 Every contractor SCC engage must be able to demonstrate their technical capability to conduct the work and to comply with your health and safety requirements while working at your worksite, e.g. by showing you their licence

## **5.0 REFERENCES & ASSOCIATED DOCUMENTS**

- 5.1 Work Health and Safety Act 2011 Part 2
- 5.2 Work Health and Safety Regulation 2011
- 5.3 AS/NZS 4801:2001 Occupational Health and Safety Management Systems – Specification with guidance for use
- 5.4 National Self-Insurer OHS Audit Tool 2014

**APPENDIX 1 - DEFINITIONS**

<b>Accountability</b>	The active measurement of a person’s fulfilment or otherwise of an assigned responsibility.
<b>ARA</b>	Authority, Responsibility, Accountability
<b>Authority</b>	The delegation of power to get things done by, with and through others. To be delegated the official power to carry out one or more of the management functions of planning, organising, directing, staffing, coordinating, reporting, purchasing and budgeting activities.
<b>EPR</b>	Employee Performance Review
<b>NAT</b>	National Audit Tool
<b>Officer</b>	<p>The <i>Work Health and Safety Act 2011</i> (WHS Act) adopts the meaning of Officer used in section nine of the <i>Commonwealth Corporations Act 2001</i>. Thus an Officer applies to people who can make decisions that significantly affect a business or undertaking.</p> <p>At SCC an Officer can be:</p> <ul style="list-style-type: none"> <li>• any person who can make, or participate in making, decisions that affect the whole, or a substantial part, of the business of SCC</li> <li>• a person who has the capacity to affect significantly SCC’s financial standing</li> <li>• a Manager of a Group, Section or Unit</li> <li>• an authorised Supervisor.</li> </ul> <p>A supervising officer is one who has responsibility for ensuring the work health and safety of other workers</p>
<b>PCBU</b>	<p>Person conducting a business or undertaking</p> <p>A 'person conducting a business or undertaking' or PCBU – is the new term that includes employers, may be an individual person or an organisation conducting a business or undertaking.</p> <p>A health and safety duty is owed by a PCBU if it:</p> <ul style="list-style-type: none"> <li>• arranges, directs or influences work to be done</li> <li>• contributes something towards the work being done.</li> </ul> <p>This duty also applies to:</p> <ul style="list-style-type: none"> <li>• principal, contractors and sub-contractors within the supply chain such as labour hire employees in the provision of SCC services or activities.</li> </ul> <p>In the WHS Management System, PCBU refers to SCC, and the General Manager is its authorised representative.</p>
<b>Responsibility</b>	Responsibilities are specific job functions within the position held. Each responsibility outlines a standard or task performed

	<p>as part of employment at SCC. Responsibilities are identified in WHS system documentation.</p>
<p><b>Worker</b></p>	<p>A person is a Worker if the person carries out work in any capacity for a person conducting a business or undertaking, including work as:</p> <ul style="list-style-type: none"> <li>• an employee</li> <li>• a contractor or sub-contractor</li> <li>• an employee of a sub-contractor</li> <li>• an employee of a labour-hire company who has been assigned to work in the organisation</li> <li>• an outworker</li> <li>• an apprentice or trainee</li> <li>• a student gaining work experience</li> <li>• a volunteer</li> <li>• a person of a prescribed class.</li> </ul>



**APPENDIX 2 - Authorities Responsibilities Accountabilities (ARA's)**

Understating Authority, Responsibility & Accountability Statements

**WHO?** Every position in Council has a level of Health and Safety authority, responsibility and accountability as an accompaniment to their job description.

**WHY?** Every worker has a level of authority, responsibility and accountability to help ensure that a safe working environment exists within Council.

**WHAT?** Positions within Council have been classified into different levels.

**WHERE?** The level that has been identified for your position is now to be an accompaniment to your job description. Explanations of each level are available in the WHS Authority/Responsibility and Accountability Policy in the WHS Manual and on the WHS Website.

**DO:** Please read through the level that applies to your position. Be prepared to discuss these statements at your annual Employee Performance Review.

***Safety is essentially your responsibility. It's your role to understand the statements and implement them in your daily tasks. For more information contact your supervisor, your WHS Committee Member, the WHS Unit or access the WHS Website.***  
Levels of Authority, Responsibility & Accountability (WHS Hierarchy Levels)

<b>LEVEL</b>	<b>TYPES OF POSITIONS</b>	<b>RESPONSIBILITY &amp; ACCOUNTABILITY</b>	<b>REPORTING FUNCTIONALITY</b>
Level 1	General Manager, Group Directors	Leads and manages the Organisation, or a Group	Makes decisions on behalf of the Council
Level 2	Section Manager, Unit Manager/ Unit Coordinator, Project Manager	Leads or manages a Section or a Unit, a function or a project	Reports to a Group Director or Section Manager
Level 3	Coordinator within a Unit, Team Leader, Supervisor, Ganger or Leading Hand or Operator	Co-ordinates a function within a Section or Unit, supervisor of staff	Reports to a Section or Unit Manager, Coordinator or Supervisor
Level 4	Team Member, Operator Attendant, Trainee, Apprentice	Work force operative	Will vary according to position held.
Level 5	Volunteer, Contractor, Others	Engaged or caused to be engaged by Council, or volunteers, to perform designated tasks	Reports to Council's assigned personnel tasked with the program or project

**APPENDIX 3 - AUTHORITY, RESPONSIBILITY AND ACCOUNTABILITY STATEMENTS**

<b>LEVEL 1: General Manager, Assistant General Manager, Group Directors</b>			
<b>Authority</b>	<b>Responsibility</b>	<b>Accountability</b>	<b>Examples of Evidence</b>
<ul style="list-style-type: none"> <li>• Make decisions on behalf of Council</li> <li>• Cease work if health and safety of persons or property is at immediate risk</li> </ul>	<p>Exercise due diligence including but not limited to the following:</p> <ul style="list-style-type: none"> <li>• Acquire and keep up to date knowledge of WHS matters</li> <li>• Have an understanding of the nature of Council’s operations and associated risks</li> <li>• Ensure Council has available appropriate resources and processes to eliminate or minimise risks to health and safety</li> <li>• Ensure Council has appropriate processes for receiving and considering information about incidents, hazards and risks and responding in a timely way</li> <li>• Ensure Council implements processes for complying with its duties and obligations</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure Council’s WHSMS is implemented, monitored, maintained and reviewed.</li> <li>• Eliminate unsafe/unhealthy acts and ensure corrective measures are implemented and reviewed.</li> </ul>	<ul style="list-style-type: none"> <li>• Attendance at WHS training or briefings.</li> <li>• Participation in the WHS System Review (minutes).</li> <li>• WHS targets and objectives set in response to identified WHS Issues.</li> <li>• Budget – funds available to respond to identified WHS issues.</li> <li>• Safety Discussed at Group Directors meetings and Group team briefs/meetings (agendas/ minutes)</li> </ul>

The above Authority Responsibility Accountability (Level 1) statements have been discussed and I understand what is expected of me.

Worker signed: \_\_\_\_\_ Date: / /

Supervisor signed: \_\_\_\_\_ Date: / /

**APPENDIX 4 - AUTHORITY, RESPONSIBILITY AND ACCOUNTABILITY STATEMENTS**

<b>WORKERS LEVEL: 2 Section/Unit/Project Managers/Unit Co-ordinators</b>			
<b>Authority</b>	<b>Responsibility</b>	<b>Accountability</b>	<b>Examples of Evidence</b>
<ul style="list-style-type: none"> <li>• Cease work if health and safety of persons or property is at immediate risk</li> <li>• Initiate/recommend action for employees who are noncompliant with Council's WHS Management System</li> <li>• Make recommendations for improvement of the WHS Management System and implement</li> <li>• Consult on Safety Matters</li> <li>• Disseminate WHS&amp;R information</li> </ul>	<ul style="list-style-type: none"> <li>• Take reasonable care for his or her own health and safety; and take reasonable care that his or her acts or omissions do not adversely affect the health and safety of other persons;</li> <li>• Conduct verification activities (ITM) in accordance with Council's Risk Management Policy</li> <li>• Cooperate and take an active role by participating in the</li> <li>• WHS&amp;R System</li> <li>• Ensure consultation and communication occurs with regards to the WHS&amp;R System</li> </ul>	<ul style="list-style-type: none"> <li>• Comply with all safety procedures, rules and standards and follow reasonable directions.</li> <li>• Ensure Inspection, Testing and Monitoring (ITM) is undertaken in accordance with the ITM Plan</li> <li>• Corrective actions followed up in a timely manner</li> <li>• Dissemination of Safety Information utilising appropriate communication tools.</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstrated adherence to WHS Policy and SWI'S/SWMS</li> <li>• Nil Incidents</li> <li>• Reporting of Hazards</li> <li>• Attendance at WHS Training</li> <li>• Updated WHSMS documentation</li> <li>• Demonstrated use of SWI'S/SWMS and SOPs.</li> <li>• Participate in review processes(EPR)</li> </ul>

The above Authority Responsibility Accountability (Level 1) statements have been discussed and I understand what is expected of me.

Worker signed: \_\_\_\_\_ Date: / /

Supervisor signed: \_\_\_\_\_ Date: / /

**APPENDIX 5 - AUTHORITY, RESPONSIBILITY AND ACCOUNTABILITY STATEMENTS**

<b>WORKERS LEVEL 3: Co-ordinators <u>within</u> a Unit, Supervisors, Team Leaders</b>			
<b>Authority</b>	<b>Responsibility</b>	<b>Accountability</b>	<b>Examples of Evidence</b>
<ul style="list-style-type: none"> <li>• Cease work if health and safety of persons or property is at immediate risk</li> <li>• Undertake risk Management activities and implement controls</li> <li>• Report hazards &amp; incidents and communicate WHS information.</li> <li>• Initiate/recommend action for workers who are non-compliant with Council's WHS Management System</li> <li>• Make recommendations for improvement of the WHS Management System and implement approved processes and procedures</li> <li>• Consult and disseminate Safety information</li> </ul>	<ul style="list-style-type: none"> <li>• Take reasonable care for his or her own health and safety; and take reasonable care that his or her acts or omissions do not adversely affect the health and safety of other persons;</li> <li>• Ensure hazards are identified, ranked and controlled as far as reasonably practicable</li> <li>• Conduct verification activities (ITM) in accordance with Council's Risk Management Policy</li> <li>• Ensure corrective actions are properly actioned, implemented and reviewed for effectiveness</li> <li>• Cooperate and take an active role by participating in the WHS Management System</li> <li>• Ensure consultation and communication occurs with regards to the WHS Management System</li> </ul>	<ul style="list-style-type: none"> <li>• Comply with all safety procedures, rules and standards and follow reasonable directions.</li> <li>• Ensure Risk Assessment processes and ranking are applied to all work tasks and corrective actions implemented and reviewed</li> <li>• Ensure ITM is undertaken in accordance with workplace schedules, legislation and Council's WHSMS</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstrated adherence to WHS Policy and SWI'S/SWMS</li> <li>• Nil Incidents</li> <li>• Reporting of Hazards • Attendance at WHS Training</li> <li>• Assessed as competent.</li> <li>• Updated WHSMS documentation</li> <li>• Demonstrated use of SWI'S/SWMS and SOPs.</li> <li>• Reporting of all identified hazards, accidents/ incidents and near misses to Manager / Supervisor</li> <li>• Participate in Induction</li> <li>• Participate in review processes(EPR)</li> <li>• Actively participate in Risk Assessments to determine presence of hazards and Initiate actions to rectify / eliminate the hazard.</li> <li>• Follow verbal instructions given by Managers / Supervisors.</li> </ul>

The above Authority Responsibility Accountability (Level 3) statements have been discussed and I understand what is expected of me.

Worker signed: \_\_\_\_\_ Date: / /

Supervisor signed: \_\_\_\_\_ Date: / /

**APPENDIX 6 - AUTHORITY, RESPONSIBILITY AND ACCOUNTABILITY STATEMENTS**

<b>Level 4: Workers, Trainees, Apprentices</b>			
<b>Authority</b>	<b>Responsibility</b>	<b>Accountability</b>	<b>Examples of Evidence</b>
<ul style="list-style-type: none"> <li>• Cease work if health and safety of persons or property is at immediate risk and consult.</li> <li>• Undertake risk management activities and the implementation of control measures</li> <li>• Consult on safety matters</li> </ul>	<ul style="list-style-type: none"> <li>• Take reasonable care for his or her own health and safety; and take reasonable care that his or her acts or omissions do not adversely affect the health and safety of other persons;</li> <li>• Ensure hazards are identified, ranked and controlled as far as reasonably practicable</li> </ul>	<ul style="list-style-type: none"> <li>• Comply with all safety procedures, rules and standards and follow reasonable directions.</li> <li>• Ensure ITM is undertaken in accordance with workplace schedules, legislation and Council's WHSMS</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstrated adherence to WHS Policy and SWI'S/SWMS</li> <li>• Nil Incidents</li> <li>• Reporting of Hazards • Attendance at WHS Training</li> <li>• Assessed as competent.</li> <li>• Updated WHSMS documentation</li> <li>• Demonstrated use of SWI'S/SWMS and SOPs.</li> <li>• Reporting of all identified hazards, accidents/ incidents and near misses to Manager / Supervisor</li> <li>• Participate in Induction</li> <li>• Participate in review processes(EPR)</li> <li>• Actively participate in Risk Assessments to determine presence of hazards and initiate actions to rectify / eliminate the hazard.</li> <li>• Follow verbal instructions given by Managers / Supervisors.</li> </ul>

The above Authority Responsibility Accountability (Level 4) statements have been discussed and I understand what is expected of me.

Worker signed: \_\_\_\_\_ Date: / /

Supervisor signed: \_\_\_\_\_ Date: / /

**APPENDIX 7 - AUTHORITY, RESPONSIBILITY AND ACCOUNTABILITY STATEMENTS**

<b>Level 5: Volunteers, Contractors and Others</b>			
<b>Authority</b>	<b>Responsibility</b>	<b>Accountability</b>	<b>Examples of Evidence</b>
<ul style="list-style-type: none"> <li>• Cease work if health and safety of persons or property is at immediate risk and consult.</li> </ul>	<ul style="list-style-type: none"> <li>• Take reasonable care for his or her own health and safety; and take reasonable care that his or her acts or omissions do not adversely affect the health and safety of other persons;</li> </ul>	<ul style="list-style-type: none"> <li>• Comply with all safety procedures, rules and standards and follow reasonable directions.</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstrated adherence to WHS Policy and SWI'S/SWMS</li> </ul>

The above Authority Responsibility Accountability (Level 1) statements have been discussed and I understand what is expected of me.

Worker signed: \_\_\_\_\_ Date: / /

Supervisor signed: \_\_\_\_\_ Date: / /