THE UNIVERSITY OF WESTERN AUSTRALIA

UWA Safety and Health

Leadership & Governance Framework

Seek Wisdom and Lead Safely

Executive Summary

This Leadership and Governance document will inform UWA Senate and Senior Executive Management Leaders on a safety and health framework to apply through all levels of UWA.

This document should be read in conjunction with UWA's:

- Safety and Health Policy;
- Safety and Health 'Our Commitment' Poster;
- Safety and Health Strategic Plan 2021 to 2025;
- Injury Management and Wellbeing Framework and Strategic Plan 2021 to 2025.

For a diagram overview of UWA's Safety Management System and its Injury Management and Wellbeing Framework refer to:

Appendix 1 – UWA Safety Management System Framework (Page 12); and

Appendix 2 – UWA Injury Management and Wellbeing Framework and Strategic Plan (Page 13).

The specific focus of this document is to establish a Safety Management System (SMS) that embeds a proactive safety and health culture as defined in AS / NZS ISO 45001 Standard – *Occupational Safety and Health Management System Requirements*.

Safety and health governance at UWA should include:

1. A Structure for setting the vision and commitment to safety and health;
2. Agreement on how safety and health objectives will be met;
3. The framework for monitoring performance; and
4. Certification through a reputable JAS-ANZ accredited external safety auditor.

Five stages of safety governance have been outlined to give insight into how Senior Executives can progressively and effectively improve existing frameworks.

This document uses the 'Plan, Do, Check, Act' principle outlined in AS / NZS ISO 45001 and gives guidance on actions to support all levels of management at UWA to lead safely (as shown on Page 5).

Should UWA operate in this way, it will progressively and effectively improve safety performance and result in a fully proactive and integrated safety governance framework.

External audits undertaken as per the requirements outlined in AS / NZS ISO 45001 will provide all levels of UWA with assurance that safe systems of work are in place and continuously improved.

Head of Safety
Michael Janscak

March 2021

Five Stages of Safety Leadership and Governance

Based on industry practice, businesses and organisations are run by Boards and in a similar way, the University's board is the Senate.

The following five stages demonstrate degrees of maturity in a business / organisation's safety and health governance on the continuum of its safety journey:

Reactive – Boards at the reactive stage of health and safety governance generally only get engaged after there has been an incident and tend not to make disclosures about performance in their annual reports. These are the least effective boards when it comes to safety and health because they view it as a management responsibility.

Compliant – Many boards respond to new legislation by focusing on compliance. They are aware of their legal duties and try to ensure basic safety and health reporting, often focusing on lag indicators. Safety and health may be briefly referred to annual reports. Legal compliance is the main driver, rather than a desire to understand the importance of safety leadership and culture.

Calculative – Boards that have gone beyond compliance may include a safety vision and a plan with lead indicators to calculate and manage risks. Their safety systems and processes are likely to be disclosed in annual reports.

Proactive – Boards comfortable with their role in safety leadership become more proactive. They may seek greater health and safety performance from their executive teams and establish safety and health committees. The chair often makes a personal commitment to safety and health. The annual report and public disclosures may include both lag and lead indicators.

Integrated – At the integrated stage, high safety and health performance and business excellence is understood and accepted by the board and senior executives. Clear statements about the board's role in safety are made in annual reports. Safety related disclosures (good and bad) are honest and transparent. The most effective safety governance frameworks occur where boards ensure that safety and health is completely integrated with operations.

AS / NZS ISO 45001 Requirements – Using 'Plan, Do, Check, Act' Principle

The below diagram from AS / NZS ISO 45001 shows the 'Plan, Do, Check, Act' principle which promotes an ongoing continuous approach to safety management built from a strong foundation of leadership.

The 'Plan, Do, Check, Act' principle is an iterative process used to achieve continual improvement. This proactive culture principle has been applied to each of the individual elements as follows:

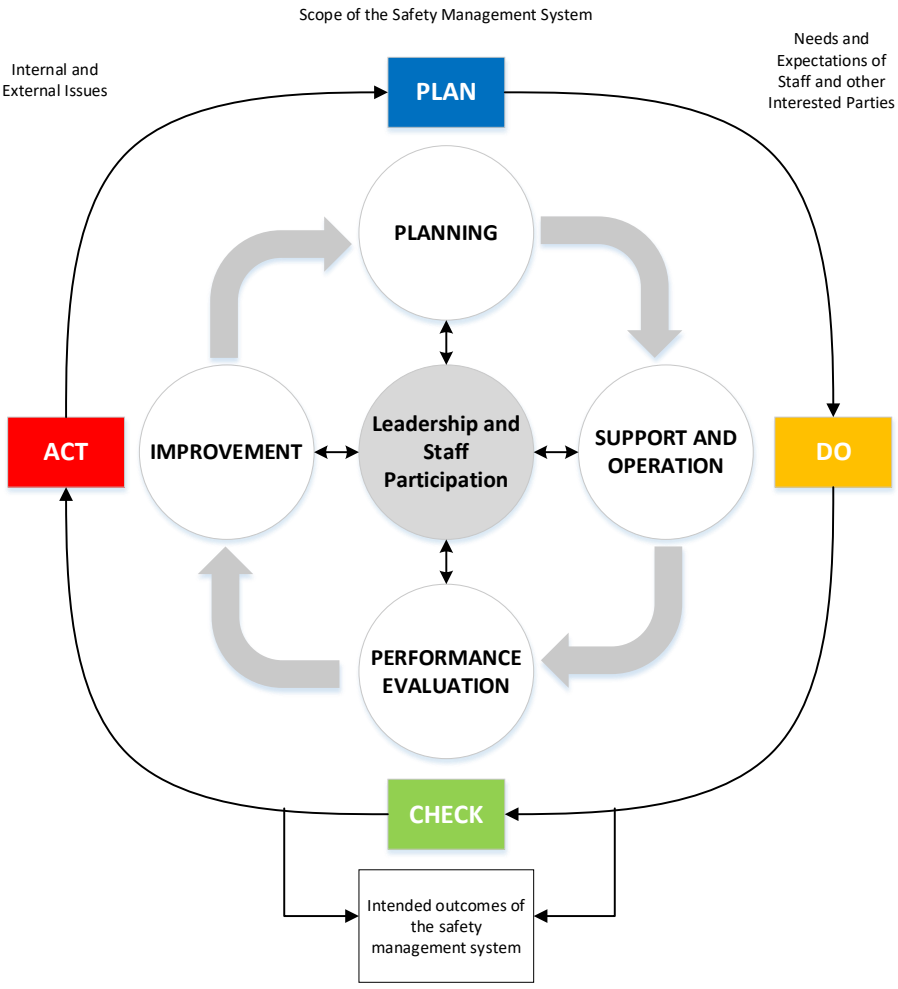
Plan – Determine and assess safety and health risks, opportunities and establish safety and health objectives necessary to deliver results in accordance with UWA's Safety and Health Policy.

Do – Implement the planned processes.

Check – Monitor and measure activities and processes with regard to UWA's Safety and Health Policy, its objectives and report on results.

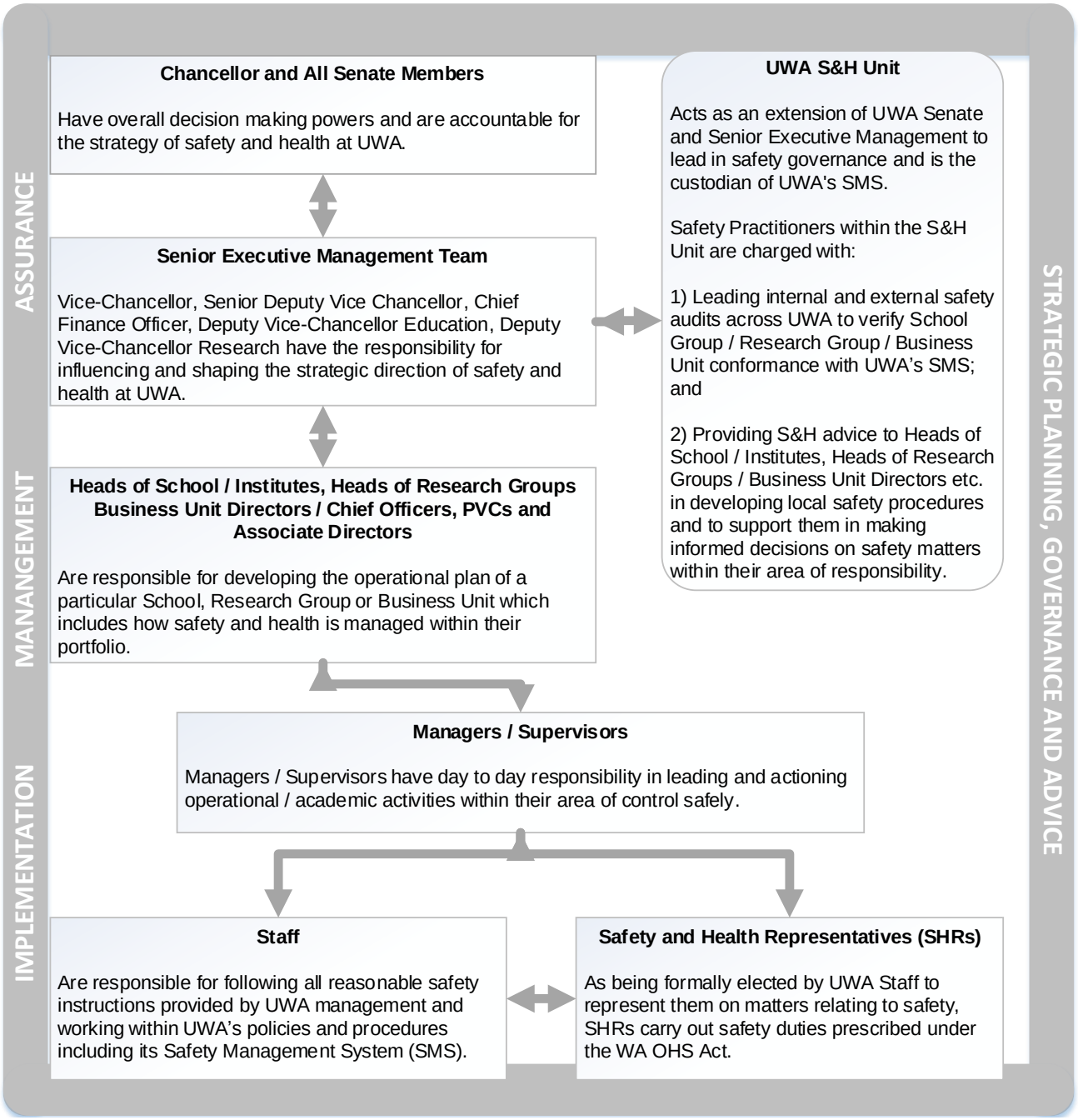
Act – Take actions to continuously improve the safety and health performance to achieve the intended outcomes as defined in UWA's Safety and Health Policy.

The 'Plan, Do, Check, Act' principle forms the basis in this document for guidance to all levels of management throughout UWA on the actions they are expected (but not limited) to undertake as outlined on pages 6 to 11.



UWA S&H Leadership and Governance Framework

The below diagram outlines the safety and health reporting and management framework which reinforces responsibilities and accountabilities throughout all levels of UWA.



Senate

Senate Members have strategic oversight of all matters related to safety and health at UWA and should seek assurance that effective arrangements are in place and are working.

The information below details practical guidance that will assist in ensuring members of the Senate satisfy themselves that UWA meets its safety and health responsibilities aligned to AS / NZS ISO 45001 – Occupational Safety and Health Management System Requirements

PLAN

- Ensure that safety and health appears regularly on the agenda of senate meetings.
- Ensure safety and health matters are communicated in a timely manner from and to the Senate.
- Review UWA's Safety and Health Policy on a regular basis.
- Plan, review and endorse UWA's Safety and Health Strategic Plan 2021 to 2025 which includes strategic priorities and objectives.
- Ensure there is a process for auditing safety and health performance as aligned to AS / NZS ISO 45001.
- Be aware of significant safety and health risks faced by the organisation.
- Consider the safety and health implications of strategic decisions such as large projects and organisational change.
- Ensure that UWA has set safety and health Positive Performance Indicator (PPI) targets.

DO

Seek assurances that:

- Safety and health arrangements are adequately resourced;
- Risk control measures are in place and remain effective for significant risks;
- UWA Executives have completed due diligence training to ensure they are aware of and act on their safety and health responsibilities;
- A member of the Senior Executive Management Team chairs UWA's University Safety Committee to oversee safety and health.
- UWA has appointed competent safety and health staff.
- There is a process for staff and / or Safety and Health Representatives (SHRs) to be involved and engaged in decisions that affect their safety and health.

CHECK

- Regularly review results of internal / external safety and health audits aligned to AS / NZS ISO 45001 and verify conformance with UWA's SMS and compliance with WA OSH Legislation.
- Verify that UWA regularly completes a Management Review of its SMS as per AS / NZS ISO 45001 requirements.
- Evaluate key performance targets and PPIs relevant to safety and health.
- Where appropriate, ask for more information on safety prevention, maintenance and competency.

ACT

- Seek assurance in the completion of actions identified in internal / external safety and health audits as aligned to AS / NZS ISO 45001 to foster continuous improvement.
- Seek assurance that progress is being made towards the strategic priorities and objectives outlined in UWA's Safety and Health Strategic Plan.
- Provide feedback on UWA's safety and health PPI results to foster continuous improvement.
- Be satisfied that lessons are learnt from incidents, non-conformance and corrective actions.

UWA-WIDE ASSURANCE

Senior Executive Management Team

Leaders of the Senior Executive Management Team will be expected to demonstrate the same leadership qualities in safety and health as in their academic and professional field. Making sure that staff, students, visitors, contractors etc. are safe is an essential part of managing risk and the leadership / executive team has an influential part to play.

Although accountability will rest with this team, operational aspects of safety and health management will normally be delegated to appropriate executives, heads and managers. However, senior executives must implement a process to gain assurances that these responsibilities are being fulfilled.

PLAN

- Ensure safety and health is included in UWA's Integrated Planning Exercise and as a part of Executive Strategic Planning.
- Lead by demonstrating ownership and commitment to safety and health at UWA supported by signing a dedicated commitment statement.
- Agree how the policy will be measured, monitored and reported.
- Allocate sufficient resources to the management of safety and health.
- Set safety and health targets for your leadership team as aligned to the Positive Performance Indicators (PPI) outlined in UWA's Safety and Health Strategic Plan 2021 to 2025.
- Ensure that the UWA-wide S&H Risk Register is reviewed by the University Safety Committee at least once annually to verify UWA's Risk Profile and to initiate action where necessary.
- Ensure that leaders of Schools / Research Groups / Business Units use the UWA-wide S&H Risk Register to develop their own local area S&H Risk Register as a means to document and validate the effectiveness of local risk controls
- Agree on a UWA safety and health audit program as aligned to AS / NZS ISO 45001.
- Ensure safety and health implications of strategic decisions such as large projects and organisational change are identified and controlled.
- Ensure sufficient resources (staff, plant / equipment, training, etc.) are made available to ensure all required operational activities across UWA are able to be undertaken safely.

DO

- Lead by example e.g. take an interest in safety and health activities, raise awareness and support a proactive risk management culture.
- Implement UWA's Safety and Health Commitment Statement by displaying it in prominent locations and regularly drawing attention to its key messages.
- Integrate safety in all day to day education, research, community and business activities.
- Lead in the review of and endorse UWA's SMS which includes university wide procedures, guidelines, checklists forms etc.
- Seek assurance from senior leaders within your portfolio to ensure they as a minimum complete a yearly safety inspection of at least one part of an area for which you are responsible. Include safety and health issues for discussion with your direct reports and reinforce this through your management line to validate that safety and health risks are adequately controlled.
- Provide leadership at the University Safety Committee to ensure safety matters have a voice at the senior management level at UWA.
- Communicate and meet with UWA Safety and Health Unit to ensure that UWA's S&H strategy and operational plan remains relevant.

CHECK

- Check that proactive safety actions are being integrated into daily operations.
- Enquire with your direct reports and their management line to ensure they are aware of and work within UWA's Hazard / Incident and Investigation Reporting Procedure.
- Receive and review performance data such as PPIs.
- Regularly check to see if UWA's Safety and Health Strategic Plan 2021 to 2025 targets are being progressed.
- Biennially review UWA's Overarching Terms of Reference (TOR) for all safety related committees ensuring relevant managers and staff have been appointed to fulfil the purpose of each committee.
- Review deployment of staff and financial resources to ensure that work task and work environment safety needs are being met as a part of executing strategic and operational planning.

ACT

- Review your health and safety performance and that of your direct reports.
- Celebrate achievements and positive performance.
- Redirect and reinforce key actions where targets have not been achieved or where hazards / risks are not adequately controlled.
- Act on safety and health reports, audits actions and committee actions to assist with directing continuous improvement.
- Ensure the University Safety Committee undertakes an annual Management Review of UWA's SMS to ensure continued suitability, adequacy and effectiveness.

Heads of School / Institutes, Heads of Research Groups, Business Unit Directors, Chief Officers, PVCs, Directors and Associate Directors

As senior leaders at UWA, you are expected to identify hazards in your work area and implement controls and local safety management procedures to minimise risk to staff, students, visitors and contractors working in your area of responsibility.

You must have a clear understanding and oversight of the operations and activities undertaken in your work area so that you are able to implement the most appropriate controls to lead safely.

PLAN

- Consider how you will apply UWA's Safety and Health Leadership and Guiding Principles defined in UWA's Safety and Health Strategic Plan 2021 to 2025 in your area of responsibility.
- Ensure that a local School / Research Group / Business Unit specific Safety and Health Risk Register has been developed to assist in profiling local risks.
- Ensure that local standard operating procedures reflecting the control of identified risks have been developed according to the requirements outlined in UWA's overarching SMS.
- Establish a Safety and Health Committee that meets regularly and supports communication, consultation and participation on safety matters and the monitoring of UWA PPI Targets.
- Ensure local induction programs have been developed for all new starters.
- Ensure that managers / supervisors, staff and students have been provided with safety training specific to the operational needs and risks identified within the local area Safety and Health Risk Register.
- Ensure sufficient resources (staff, plant / equipment, training etc.) are made available for required operational activities to be undertaken safely.

DO

- Ensure that the School / Research Group / Business Unit has a local S&H Risk Register and that risks are regularly assessed and managed to validate that risk controls are effective.
- Complete as a minimum a yearly safety inspection of at least one part of an area for which you are responsible. Include safety and health issues for discussion with your direct reports and reinforce this through your management line.
- Ensure all hazards and incidents within the School / Research Group / Business Unit are identified, reported and investigated within the time frames prescribed in UWA's SMS.
- Continually increase the capability of Managers / Supervisors in your School / Research Group / Business Unit to support effective local risk management and control.
- Ensure responsibilities are delegated within your portfolio and understood for tasks such as the completion of workplace safety inspections and risk assessments.
- Ensure pre-purchase risk assessments are completed prior to acquiring any plant or equipment item.
- Ensure where managers / supervisors, staff and students have completed relevant safety training that their attendance and competency assessment results have been recorded.
- Assess the safety and health impact of new projects from concept and design phase through to completion and operation.
- Ensure where contractors are engaged, selection includes an assessment of their ability to safely complete the required works.

CHECK

- Check that the School / Research Group S&H Risk Register is reviewed annually to ensure that it remains up to date.
- Analyse hazard and incident reports for your work area to identify emerging trends and ensure agreed actions have been completed.
- Confirm that your direct reports are completing safety inspections and risk assessments of their area and all identified actions are completed and closed.
- Check that all mandatory safety and health training programs are being completed by your management line and staff.
- Check that staff have been kept informed by monitoring progress on safety and health issues and actively seek their views on continuous improvement.

ACT

- Ensure that all reported hazards / incidents are acted on by your managers / supervisors and staff in a prompt manner within your area of responsibility.
- Regularly follow-up with managers / supervisors and staff to ensure reported hazards / incidents are appropriately actioned and closed.
- Ensure that all recommendations and actions from internal / external safety and health audits have been reviewed, actioned and closed.
- Review local area S&H performance and celebrate achievements that support proactive management.
- Take all opportunities (proactive or reactive) to work towards a culture of continuous improvement as aligned to AS / NZS ISO 45001.
- Undertake an annual review of safety within the School / Research Group / Business Unit that your lead to ensure continued suitability, adequacy and effectiveness.

Managers / Supervisors

As a Manager / Supervisor in a School / Research Group or Business Unit you are expected to ensure that local safe systems of work have been developed and implemented.

Managers are required to regularly validate and provide assurance to their senior management that local safety risk controls are in place and remain effective.

PLAN

- Consider how you will apply UWA's Safety and Health Leadership and Guiding Principles defined in UWA's Safety and Health Strategic Plan 2021 to 2025 in your area of responsibility.
- Determine the type and frequency of risk assessments required to meet UWA PPI Targets.
- Develop a schedule to ensure relevant work areas undergo six monthly safety and health inspections in consultation with the locally appointed SHR.
- Ensure all plant and equipment under your responsibility is tested as necessary, kept in good working order and that records of maintenance are retained.
- Ensure all chemicals (hazardous substances / dangerous goods) under your responsibility have the appropriate Safety Data Sheet (SDS), risk assessment and that inventories are kept up to date and actively managed.
- Develop a plan to ensure all staff and students within your area of responsibility complete all UWA-wide and local area safety training.
- Develop existing communication channels (e.g. team meetings) to keep staff informed of safety and health related information and to receive feedback to proactively manage risk.
- Plan to regularly collate records demonstrating risk management within your area of responsibility.
- Plan your resources and ensure all staff understand what is expected of them to ensure their safety.

DO

- Support the Leader of the School / Research Group / Business Unit in maintaining a local S&H Risk Register and validate that risk controls are effective.
- Lead in the completion of risk assessments alongside work area SHRs and subject matter experts.
- Work within UWA's SMS and develop local Standard Operating Procedures and safe systems of work reflective of actions and controls identified in risk assessments.
- Ensure all new starters undergo a local work area induction.
- Ensure all staff under your responsibility are provided with safety training / refresher training and their competency assessed to support them to safely complete all work tasks they are expected to complete.
- Ensure relevant safety and health information is provided to contractors to complete works safely.
- Review safety and health inspection findings as completed by locally appointed SHRs.
- Ensure all hazards and incidents that are reported in your area of responsibility are assessed and closed within the time frames prescribed in UWA's SMS.
- Lead in hazard / incident investigations to identify and implement relevant controls and corrective actions.
- Provide regular reports to the responsible management line to confirm risks have been identified, assessed, controlled and the controls have been validated as effective.
- Participate in investigations including Root Cause Analysis (RCA) in the event of a Lost Time Injury (LTI) or a near miss incident that has occurred and that could have led to a LTI.
- Participate in internal and external safety audits as per the requirements defined in UWA's SMS and AS / NZS ISO 45001.

CHECK

- Analyse hazard and incident reports for your work area and ensure agreed actions are completed.
- Regularly monitor risk controls to ensure controls are effective and risks do not escalate.
- Check that all plant and equipment maintenance requirements are undertaken and that records have been retained demonstrating regular upkeep.
- Regularly check that chemicals within your area of responsibility that are no longer used are disposed of safely from the workplace.
- Regularly monitor and report on progress towards achievement of UWA PPI Targets for your work area as set by your line manager and UWA Senior Management.
- Monitor completion rates of local safety inductions and safety training programs as per agreed targets.
- Report key findings of safety inspections and outcomes of risk assessments to your local safety and health committee to foster collaboration and share knowledge.

ACT

- Promptly respond to hazards / risks that are identified as not being adequately controlled.
- Ensure closure of actions arising from work area safety inspections and internal / external audits to assist in better managing risk and supporting local continuous improvement.
- Embed a culture of learning and proactive risk management reflective of outcomes as related to hazard / incident investigations, inspections and audit findings.

LOCAL AREA OPERATIONAL MANAGEMENT

Staff

All UWA staff must take reasonable care for their own safety and health at work and avoid harming the safety and health of other people through an act or omission at work.

Staff must:

- Follow all reasonable safety and health instructions by their immediate manager / supervisor or as otherwise provided by UWA Management;
- Work within UWA's policies, procedures and guidelines including its Safety Management System (SMS);
- Use Personal Protective Equipment (PPE) where required;
- Take good care of equipment;
- Report hazards and incidents (including near misses);
- Report work-related injuries or harm to health; and
- Co-operate with their manager / supervisor to enable them to meet their duties under the WA OSH Act.

LOCAL AREA OPERATIONAL IMPLEMENTATION

Safety and Health Representatives (SHRs)

The function of SHRs at UWA is to carry out safety and health actions with respect to the workplace or group for which they are elected under the WA OHS Act.

SHRs formally represent staff in the workplace on safety matters, however do not have management responsibility or authority.

The functions of a SHR at UWA include:

- Inspecting the workplace at appropriate times agreed with the work area manager / supervisor
- Investigating dangerous occurrences or risks of imminent and serious injury or harm to health;
- Keeping informed on matters relating to safety and health;
- Reporting hazards / incidents (including near misses) to their manager / supervisor and on UWA's electronic incident management system;
- Referring matters to their local area safety and health committee;
- Consulting and cooperating with their immediate manager / supervisors and UWA Management on safety and health matters; and
- Liaising with UWA Management and WorkSafe WA where relevant and necessary.

LOCAL AREA OPERATIONAL SUPPORT

UWA Safety and Health Unit

The Head of Safety and Safety Practitioners within this Unit act as an extension of UWA's Senate and Senior Executive Management to lead in safety governance and WA safety legislative compliance.

The mechanism to demonstrate safety compliance will be for the UWA Safety and Health Unit to embed an Internal / External Safety Audit Program of UWA's SMS that meets the requirements of AS / NZS ISO 45001.

Gaining certification with AS / NZS ISO 45001 will be achieved by the UWA Safety and Health Unit guiding Schools / Research Groups / Business Units in developing local safe systems of work which are able to be validated during external audits.

PLAN

- Develop and maintain UWA's Safety and Health Strategic Plan which is aligned to UWA's overarching Strategic Plan.
- Develop and maintain UWA's Safety Leadership and Governance Structure to reinforce UWA-wide safety responsibilities and accountabilities.
- Develop and work with Senior Executive Management to promote UWA-wide Safety Leadership and Guiding Principles.
- Develop and work with Senior Executive Management to establish and reinforce PPI.
- Develop a UWA S&H Annual Operational Plan to deliver on key actions and enablers as defined in the UWA Safety and Health Strategic Plan.
- Develop UWA's SMS and supporting documentation as per the requirements of AS / NZS ISO 45001.
- Maintain UWA's Safety and Health Risk Register to be used and modified within Schools / Research Groups and Business Units.
- Develop an Internal / External Safety Audit Program as aligned to AS / NZS ISO 45001 in consultation with a competent JAS-ANZ external auditor.

DO

- Maintain an Overarching Terms of Reference (TOR) for all safety related committees at UWA.
- Implement actions and enablers as identified in the UWA S&H Annual Operational Plan.
- Prepare / arrange for Senior Leader safety due diligence training to ensure they are aware of their safety and health responsibilities.
- Develop and maintain UWA-wide online safety training modules for Managers / Supervisors and Staff.
- Provide training and support to Managers / Supervisors in understanding UWA's SMS and how they can work with their senior management line to develop and validate local safe systems of work.
- Guide School / Research Groups / Business Unit Managers / Supervisors in how to successfully prepare and collate evidence for internal / external safety audits.
- Facilitate incident investigations including Root Cause Analysis (RCA) to assist in implementing relevant controls and to minimize incident reoccurrence.
- Provide safety advice, guidance and recommendations to managers / supervisors and their senior management line where requested to support them in making informed decisions.
- Undertake Key Risk Audits and Internal Safety Audits as aligned to AS / NZS ISO 45001 and provide reports to leaders of Schools / Research Groups / Business Units to consider required actions.
- Provide key safety and health information and commentary on UWA's SMS to support the University Safety Committee to complete an annual Management Review.

CHECK

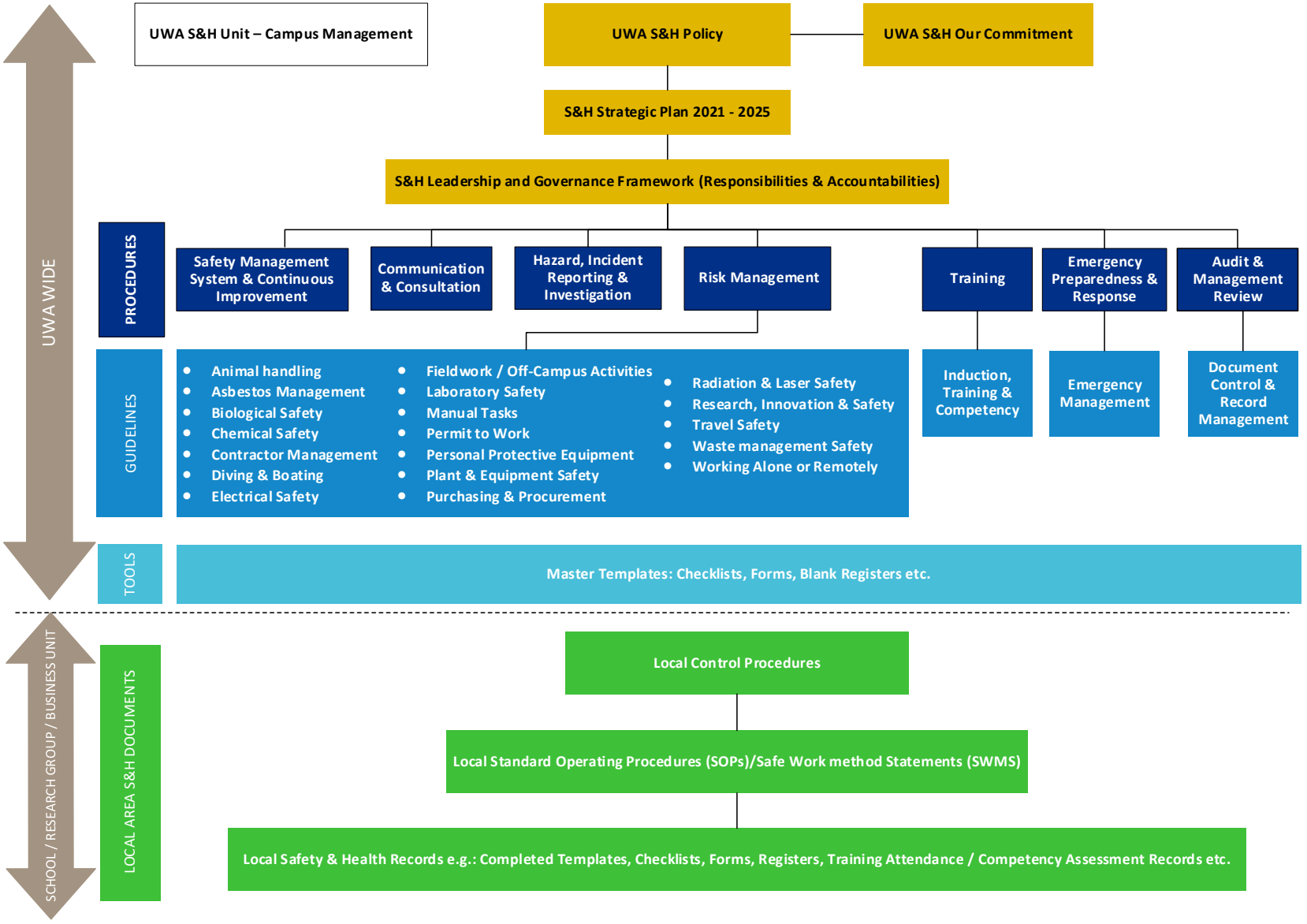
- Check completion rates of all UWA-wide mandatory safety training and report to the University Safety Committee, ARC and Senate on performance results.
- Check results of UWA-wide PPI Targets and provide Quarterly and Annual Reports the University Safety Committee, ARC and Senate to evaluate and improve performance.
- Assess and report progress towards achievement of UWA's strategic priorities and objectives outlined in the UWA's Safety and Health Strategic Plan.
- Assess and report to University Safety Committee on progress towards achievement of actions and enablers as outlined in UWA S&H Annual Operational Plan

ACT

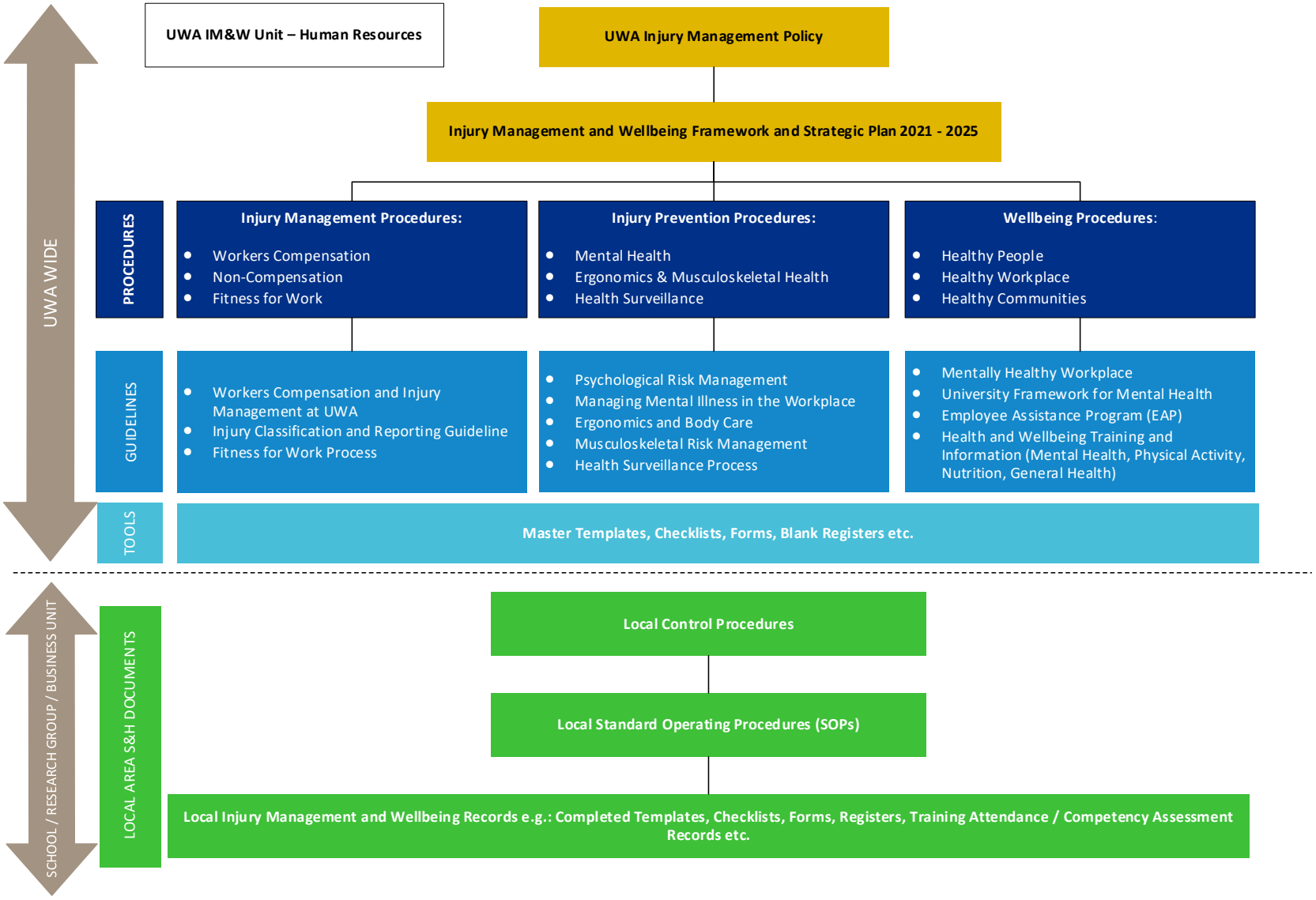
- Ensure on behalf of UWA Senate and Senior Executive Management that all recommendations and actions identified in all UWA external safety audits are actioned and closed by responsible leaders of Schools / Research Groups / Business Units.
- Provide feedback to Schools / Research Groups / Business Units Managers / Supervisors on the potential improvements to local safe systems of work that they have developed in line with UWA's SMS.
- Provide feedback and advice to School / Research Group / Business Unit Managers / Supervisors on the outcome of Root Cause Analysis Incident Investigations to minimise reoccurrence.
- On an annual basis provide feedback to Senior Executive Management on safety and health performance and as appropriate make recommendations for recognition and reward.

UWA-WIDE STRATEGIC PLANNING, GOVERNANCE AND ADVICE

Appendix 1 - UWA Safety Management System Framework



Appendix 2 - UWA Injury Management and Wellbeing Framework



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