



Transport
Roads & Maritime
Services

OneRMS Safety Management System Manual

Principles and requirements under the OneRMS SMS.



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Introduction

Roads and Maritime Services (Roads and Maritime) is a service delivery agency for Transport for NSW. Established on 1 November 2011, Roads and Maritime is the delivery agency providing agreed outcomes across the road and maritime networks within the context of an integrated transport strategy.

Roads and Maritime delivers projects and programs to reliably and safely improve the movement of people and goods by various transport modes, including through the road and freight network, NSW waterways, the public transport network and active transport such as cycling and pedestrian networks.

Roads and Maritime prioritises safety for its workers, industry partners and customers.

Purpose

Roads and Maritime has a legal and moral duty to put in place suitable arrangements to manage work health and safety (WHS). This is achieved by implementing a safety management system.

This is a key document in Roads and Maritime's OneRMS safety management system (OneRMS SMS). This document:

- Sets out Roads and Maritime's OneRMS SMS and explains the structure, content and relationship with other systems within the agency
- Establishes how Roads and Maritime maintains a safe and healthy workplace and addresses our obligations under WHS legislation
- Takes into account the agency's risk profile, core functions, services and work activities
- Sets a standard for Roads and Maritime and industry partners to seek to achieve
- Supports integration of key standards to promote the achievement of a positive safety culture.

Using this document

Who is this document for?

This document has been designed to assist:

- Roads and Maritime executives and others who may be deemed officers with duties under section 27 (Duty of officers) of the [Work Health and Safety Act 2011](#)
- Those accountable for or involved in implementing and maintaining WHS systems within Roads and Maritime and industry partners
- People with health and safety responsibilities or duties under WHS legislation and the OneRMS SMS.

This is a guide to understanding how WHS is managed across Roads and Maritime. This manual is also useful for workers, industry partners and other stakeholders. See [roles and responsibilities](#).

What does this document do?

This document:

- Provides a high-level guide on how Roads and Maritime manages WHS systematically across our operations
- Outlines the structure, scope and elements of the OneRMS SMS
- Describes the OneRMS SMS elements, sub-elements and associated requirements that collectively enable effective WHS management in all our undertakings:
 - [Part 4A](#) sets out requirements for Roads and Maritime
 - [Part 4B](#) sets out requirements for industry partners who carry out work for Roads and Maritime
- Sets out the hierarchical document arrangement.

What is not in this document?

This document does not include procedures, guidance material, templates or tools for implementation. We have provided references and links for supporting documents.

Divisional or branch-level safety management systems or safe work procedures are not covered in this document.

OneRMS Safety Management System

The OneRMS safety management system (OneRMS SMS):

- Details our requirements for effectively managing WHS, based on the scope and diversity of our business operations
- Delivers the objectives set out in the [WHS policy statement](#).

It applies to:

- All persons undertaking work with or for Roads and Maritime
- All activities carried out by Roads and Maritime as a person conducting a business or undertaking ([PCBU](#)).

Purpose

The **purpose** of the SMS is to:

- Achieve our safety objectives consistently and systematically across all our operations
- Help meet our legislative obligations
- Facilitate organisational learning and foster a positive safety culture.

Functions

The **functions** of the SMS are to:

- Provide assurance to our [duty holders](#) that hazards have been identified and risks are being effectively controlled, so far as is reasonably practicable
- Support a consistent approach to managing WHS risks effectively
- Support better collaboration
- Provide a rational and systematic basis for decision making and resource allocation.

Features

Features that support the purpose and functions include:

- An integrated systems approach to safety with an emphasis on the positive impact of early planning and design
- Flexible solutions to suit the diversity of our operations
- Clear expectations and requirements of how we effectively manage risk in collaboration with our industry partners.

Stakeholder benefits include:

Workers

- Greater focus on health and well-being
- Exposed to less safety risk due to consistent, high safety standards applied to the design and planning of work
- Consistent expectations for working safely across our industry
- Capability building and training that is specific to role and risks

Divisions

- Alignment of existing systems allows for consistency across operations and easier exchange of safety risk intelligence
- Greater assurance that we are meeting our legal obligations
- Inclusion of safety elements in tender criteria
- A consistent approach to making risk-based decisions

Industry partners

- Consistent expectations for risk management
- Improved access to safety risk information
- Clear expected standards for safety performance reporting
- Safety in design from the start and throughout project lifecycle
- A framework for consultation, cooperation and coordination

Safety leaders, duty holders

- A governance framework that describes how officers and duty holders enact their safety obligations
- Systematic basis for resource allocation and decision making
- Prioritisation and investment based on safety risk and performance data
- Assurance that hazards have been identified and risks are being effectively controlled, so far as is reasonably practicable.

1. Scope and context

1.1 Organisational and operational context of Roads and Maritime

OUR PURPOSE

Enabling safe and efficient journeys throughout NSW.

OUR VISION

To be the leader in the management and delivery of safe, efficient and high quality services and infrastructure to the community and businesses of NSW.

OUR VALUES

Our **values underpin every decision** we make and our behaviour when working with others.

- *Customer focus:* we place the customer at the centre of everything we do.
- *Collaboration:* we value each other and create better outcomes by working together.
- *Solutions:* we deliver sustainable and innovative solutions to NSW's transport needs.
- *Integrity:* we take responsibility and communicate openly.
- *Safety:* we prioritise safety for our people and our customers.

OUR SERVICES

- Build and maintain infrastructure
- Provide licence and registration services
- Manage compliance to rules and regulations
- Provide safety management services
- Deliver traffic management services
- Deliver environmental solutions
- Manage tolling services
- Regulate users of roads and waterways.

OUR CORE BUSINESS

- Grow the road and waterway networks
- Improve services and the operation of our networks
- Maintain roads and maritime assets
- Finance, plan and support current and future networks.

Understanding the operational context of Roads and Maritime's undertakings is critical to the application of the SMS to our various activities and associated risks

Roads and Maritime activities include:

- Building and maintaining road infrastructure
- Conducting maritime assurance activities
- Administering licences and registration
- Acquiring land
- Providing rest areas
- Monitoring the security of assets
- Funding infrastructure projects
- Maintaining wharves
- Inspecting and regulating heavy vehicles.

Roads and Maritime is involved in those activities in various capacities. While Roads and Maritime may do work, we may also collaborate with other government agencies and industry partners, provide funds to councils or assist in construction with our design expertise.

WHS duties and obligations will arise in every capacity and the specific nature of our involvement will determine the extent of the WHS duties and obligations. However, if Roads and Maritime has a duty or obligation, then irrespective of whether another party also has that duty, Roads and Maritime must discharge that duty to the standard required by WHS legislation. The OneRMS SMS frameworks assist us in managing those duties or obligations by establishing standards and expectations on how we manage risks.

The Agency Safety Risk Register (ASRR) represents our operational risk profile and facilitates strategic WHS decision making.

1.2 Divisional context

Divisions have their own risk context based on their particular scope of operation. As a consequence each division has a Divisional Safety Risk Profile and risk registers, reflecting the context and scope of their operational areas.

Each Division must ensure their current systems align with the OneRMS SMS requirements, taking their operational and business needs into account.

1.3 Legal context

Roads and Maritime must demonstrate compliance with WHS legislative obligations. The [Work Health and Safety Act 2011](#) and [Work Health and Safety Regulation 2017](#) are the key legislative instruments in NSW. Other regulatory or legal obligations may also apply under other Acts, Regulations, Codes of Practice and Australian Standards, etc.

We closely monitor legislation, standards and codes of practice for changes that may affect the OneRMS SMS. We will review and update the OneRMS SMS and associated documents periodically based on legislative, regulatory or industry changes. We initiate a legislative compliance review for applicable WHS documentation and we will advise users when documents are updated.

2. Documents within the OneRMS SMS

The OneRMS SMS documentation hierarchy assists users to understand and apply it across a variety of operational contexts without being prescriptive. Divisions or industry partners may have additional guidance material, procedures or tools for their local context.

However, these must align to the commitments of the [WHS policy statement](#) and support the achievement of the standards for health and safety set out in the OneRMS SMS frameworks and requirements.

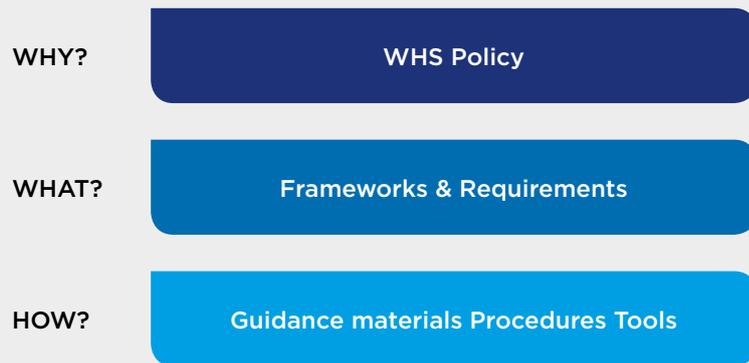


Table 1 expands on the “why, what, how” to describe the types of documents in the OneRMS SMS.

Table 1: OneRMS SMS document hierarchy

WHY		
<p>POLICY The WHS policy statement expresses our WHS vision and the principles by which we intend to manage WHS to improve safety performance. It defines the key drivers for managing and implementing safety systems.</p>		
WHAT		
FRAMEWORKS	REQUIREMENTS	
<p>Frameworks apply to specific OneRMS SMS elements or sub-elements. Frameworks:</p> <ul style="list-style-type: none"> Describe the conceptual structure and high-level process for how that element or sub-element is systematically addressed Provide context to OneRMS SMS requirements, procedures and tools Clarify interfaces with related elements within and outside the SMS, where applicable. 	<p>OneRMS SMS requirements:</p> <ul style="list-style-type: none"> Set out what is expected (as a minimum) to effectively facilitate compliance with legislation, industry standards and other business requirements Set minimum or precise standards for the detailed outcomes in terms of quality or performance expected Enable a harmonised approach to effectively managing WHS risks. 	
HOW		
GUIDANCE	PROCEDURES	TOOLS
<p>Guidance materials set out best practice for meeting the requirements of the policy and frameworks. They:</p> <ul style="list-style-type: none"> Assist staff in carrying out activities but allow discretion and flexibility in how to implement requirements Complement procedures Reflect best practice in relation to a specific subject, without being prescriptive. 	<p>A procedure controls WHS management processes and:</p> <ul style="list-style-type: none"> Specifies the way to carry out a task or process Sets out how requirements will be actioned and implemented Identifies roles and responsibilities Establishes record keeping requirements Provides instructions to complete a task, but is prescriptive only to the level necessary. <p>Certain procedures apply to all workplaces to ensure consistency, eg First aid. Other procedures can be customised to meet divisional or local needs.</p>	<p>Tools are documents that assist end-users to implement the higher-level documents and:</p> <ul style="list-style-type: none"> Assist staff in undertaking specific tasks, in a practical way Provide explanatory documents for end users Provide local job instructions and guidance around safe work practices Supplement the SMS documentation to meet business needs. <p>These can be in the form of templates, forms, guides, checklists and other tools.</p>

3. OneRMS SMS elements

The OneRMS SMS comprises six elements divided into sub-elements.



Risk management and **safety assurance** processes are at the centre of a safety management system. They must be driven by **organisational commitment and leadership** and by effectively implemented processes that address **assets, people and quality**. Consultation, cooperation and coordination are integral to all elements of the OneRMS SMS.

ORGANISATIONAL COMMITMENT AND LEADERSHIP

Commitment, responsiveness, active support and input from Roads and Maritime management are critical for the effectiveness of the OneRMS SMS in achieving WHS outcomes.

- [WHS policy statement](#) and [WHS Strategy](#)
- [WHS governance, accountabilities and responsibilities](#)
- [Safety leadership and culture](#)
- [Transport health and safety reporting](#)

RISK MANAGEMENT

Provides for the identification, management and mitigation of safety risks within our varied operations.

- [WHS risk management](#)
- WHS risks and risk controls

SAFETY ASSURANCE

Provides confidence that safety risks, processes and behaviours are managed through appropriate measures that identify potential threats to safety.

- [Safety assurance](#)
- [Occurrence management and investigations](#)

ASSETS

Provides whole-of-lifecycle approach to safety that takes advantage of the positive impact of early planning and design on safety and efficiency goals.

- [Design safety lifecycle management](#)
- [WHS in procurement](#)

PEOPLE

Enables a healthy and capable workforce, open information flow and collaboration to achieve shared solutions.

- [Consultation, cooperation and coordination](#)
- [WHS capability and training](#)
- [Health and wellbeing](#)

PROCESSES

Covers quality assurance processes that ensure the health and effectiveness of the SMS.

- [Document control](#)
- [Records control](#)
- [Review and continuous improvement](#)
- [Safety promotion](#)

4A. OneRMS requirements for Roads and Maritime

The OneRMS SMS requirements are the minimum standards Roads and Maritime expects are in place on any work we undertake, either directly or in partnership. These standards assist us to meet legislative requirements and apply contemporary better practice, described in standards, accepted codes of practice and in place widely across industry.

[Part 4B](#) sets out requirements for industry partners who carry out work for Roads and Maritime.

Organisational commitment and leadership

WHS Policy Statement and Strategy

PS1 Maintain a WHS Policy Statement

Roads and Maritime documents and implements a [WHS policy statement](#) aligned with the purpose and context of the agency and the nature of our WHS risks and opportunities. It is reviewed at appropriate intervals to ensure it remains relevant, is appropriate and aligns with agency and industry documents.

PS2 Align WHS Strategy with the WHS policy statement

Roads and Maritime's [WHS strategy](#) demonstrates how the [WHS policy statement](#) is implemented throughout the agency.

PS3 Maintain a WHS Strategy

The Roads and Maritime [WHS strategy](#) documents the agency's WHS objectives. Delivery planning incorporates priorities to achieve [WHS policy statement](#) commitments. Objectives and priorities are reviewed each year.

PS4 Communicate WHS policy statement and WHS Strategy

Roads and Maritime:

- Promotes safety values and reports on progress and performance against the [WHS strategy](#)
- Ensures workers have access to the [WHS policy statement](#) and [WHS strategy](#) on the Roads and Maritime intranet and internet. The [WHS policy statement](#) is displayed in all Roads and Maritime workplaces.

WHS governance, accountabilities and responsibilities

under the *WHS governance, accountabilities and responsibilities framework*

GAR1 Ensure safety governance structures enable safety to be managed within the agency

A safety governance structure is established in Roads and Maritime that is responsive to change and continuously improved, allowing safety to be managed at all levels.

See [WHS risk management](#) and [Review and continuous improvement](#) frameworks.

[Australian Standard AS 8000](#)

[WHS Act](#) (sections 18 and 27)

GAR2 Define safety accountabilities and responsibilities

Roads and Maritime provides processes to ensure safety accountabilities are clearly defined for people making safety and risk-based decisions, and they are aware of their WHS responsibilities.

See [Safety assurance framework](#).

Australian National Audit Office (ANAO) governance principles

[WHS Act](#) (sections 27, 28 and 29)

GAR3 Develop processes to ensure that officers demonstrate due diligence

Roads and Maritime sets processes to ensure that duty holders:

- Understand and demonstrate due diligence to address WHS risks
- Have the capability to discharge their duties
- Have access to risk and assurance information
- Fulfil other WHS obligations.

See [Safety assurance framework](#).

[WHS Act](#) (sections 14, 15 and 27)

Safety leadership and culture

under the *Safety leadership and culture framework*

SLC1 Demonstrate active safety leadership

Roads and Maritime leaders demonstrates active safety leadership that is consistent, visible and regular across all operations and levels. The [WHS policy statement](#) informs the behaviour and commitment of safety leaders.

See [WHS governance, accountabilities and responsibilities framework](#).

SLC2 Monitor the state of the safety leadership and culture and set practical and achievable goals

Roads and Maritime assesses the maturity of its safety culture to identify strengths and weaknesses as a baseline for improvement.

SLC3 Promote a strong reporting and learning culture

Roads and Maritime safety leaders encourage the reporting of hazards and occurrences including near misses and actively seek to share lessons learnt at all levels.

See [Safety assurance, Occurrence management and investigations, Safety promotion](#) and [Transport health and safety reporting standard](#).

Safety planning and performance reporting

under the *Transport Health and Safety Reporting Standard*

<p>SPP1 Incorporate safety planning into the business planning cycle</p>	<p>Roads and Maritime’s Executive sets safety objectives and targets to implement the WHS policy statement and WHS Strategy to drive safety improvement at all functional levels.</p>
<p>SPP2 Establish and maintain safety performance reporting</p>	<p>Roads and Maritime establishes a process to ensure that safety performance reporting:</p> <ul style="list-style-type: none"> • Is aligned with, and adds value to, safety planning • Enables benchmarking of performance • Recognises and keeps pace with industry practice • Is of a frequency that balances the time needed to identify actionable trends with the need for early intervention.
<p>SPP3 Set key performance indicators (KPIs)</p>	<p>Roads and Maritime:</p> <ul style="list-style-type: none"> • Sets SMART (specific, measurable, attainable, relevant and time-bound) KPIs to measure progress towards meeting targets and realising safety objectives • Uses both positive performance and outcome indicators to provide a holistic assessment of safety performance.
<p>SPP4 Integrate safety planning and WHS performance outcomes into the planning cycle</p>	<p>Roads and Maritime communicates and publicises its safety planning and performance reporting program to inform divisional, branch, team and individual performance.</p>

Risk management

WHS risk management

under the *WHS risk management framework*

RM1 Identify reasonably foreseeable hazards (hazardous events)	<p>Roads and Maritime identifies reasonably foreseeable hazards and hazardous events on the Agency Safety Risk Register and Divisional Safety Risk Profiles. These are a key source of information when preparing local risk registers.</p> <p>WHS Act (section 17); WHS Regulation (clause 34)</p>
RM2 Identify and manage WHS risks	<p>Roads and Maritime identifies and manages WHS risks arising from activities – including business-as-usual operations, projects and programs, organisational changes, changes to assets and networks – throughout all lifecycle phases, and assigns responsibilities and accountabilities.</p> <p>WHS Act (section 17); WHS Regulation (clauses 34, 35)</p>
RM3 Identify hazards and risks that cover those to whom we owe a duty of care	<p>Roads and Maritime implements and maintains a process that seeks to ensure risks are evaluated for their effect on workers and others to whom we owe a duty of care.</p>
RM4 Demonstrate elimination before minimisation and the use of the hierarchy of controls	<p>Roads and Maritime uses the hierarchy of controls in managing hazards and risks and eliminates risks to health and safety, so far as is reasonably practicable, and if it is not reasonably practicable to eliminate risks to health and safety, to minimise those risks so far as is reasonably practicable. See procedure WHS risk management.</p> <p>WHS Act (section 17); WHS Regulation (clause 36)</p>
RM5 Implement appropriate control measures to manage WHS risks throughout the lifecycle	<p>Roads and Maritime applies the WHS risk management process throughout all lifecycle phases of operations. Where different stakeholders are responsible for different phases, during transitions between phases there is a handover of WHS risk management information between the stakeholders. See procedure WHS risk management.</p>
RM6 Identify and manage actions (treatments)	<p>Roads and Maritime implements and maintains a process to ensure that actions are identified and managed to minimise WHS risks through effective controls (eg implementing a risk control or conducting an assurance activity to ensure a control is in place). See procedure Safety action tracking.</p> <p>WHS Act (section 17); WHS Regulation (clause 35)</p>
RM7 Monitor and review governance and safety performance	<p>Roads and Maritime implements and maintains a system to monitor and review risks to ensure management processes are operating as intended.</p> <p>See Safety assurance framework.</p> <p>WHS Act (section 17); WHS Regulation (clause 38)</p>

Safety assurance

Safety assurance

under the *Safety assurance framework*

<p>SA1 Seek or provide assurance that reasonably foreseeable hazards and risks are identified</p>	<p>Roads and Maritime Officers exercise due diligence by implementing and maintaining a process to assure the identification of hazards and risks.</p> <p>See WHS risk management framework.</p> <p>WHS Act (sections 17, 19 and 27); WHS Regulation (clause 34)</p>
<p>SA2 Seek or provide assurance it was not reasonably practicable to eliminate a risk</p>	<p>Roads and Maritime uses the hierarchy of controls in managing hazards and risks ie elimination before minimisation. For assurance, an evidence-based, robust and defensible position must be presented to justify why it was not reasonably practicable to eliminate a risk.</p> <p>See WHS risk management framework.</p> <p>WHS Act (section 18); WHS Regulation (clauses 35 and 36)</p>
<p>SA3 Seek or provide assurance that appropriate control measures are in place to manage WHS risks</p>	<p>Roads and Maritime implements and maintains a process that seeks to assure controls are effective ie fit for purpose, suitable for the nature and duration of work, and installed, set-up and used correctly.</p> <p>See WHS risk management framework.</p> <p>WHS Act (sections 19 and 27); WHS Regulation (clause 37)</p>
<p>SA4 Seek or provide assurance that hazards and risks are identified and managed throughout the lifecycle</p>	<p>Roads and Maritime implements and maintains a process that demonstrates how hazards and risks are managed throughout the lifecycle.</p> <p>See WHS risk management framework.</p> <p>WHS Act (section 27)</p>
<p>SA5 Seek or provide assurance that CCC arrangements are implemented and maintained</p>	<p>Roads and Maritime ensures that consultation, cooperation and coordination (CCC) arrangements are implemented and maintained in line with the Consultation, cooperation and coordination framework.</p> <p>WHS Act (sections 27, 46 and 47)</p>
<p>SA6 Seek or provide assurance that the safety management system is functioning and managing risk</p>	<p>Roads and Maritime implements and maintains a process that seeks to assure that the elements of the safety management system are working together as a system and are effectively managing risk.</p>
<p>SA7 Monitor and review WHS governance and safety performance</p>	<p>Roads and Maritime implements and maintains a system to monitor and review WHS governance and safety performance.</p> <p>WHS Act (section 27); WHS Regulation (clause 38)</p>

Occurrence management and investigations

under the *Occurrence management and investigations framework*

OMI1 Provide a reporting system through which hazards and occurrences can be reported and communicated

Roads and Maritime:

- Implements and maintains a documented process that ensures workers can report all hazards and occurrences. The procedure [Hazard and occurrence reporting](#) outlines how and what should be reported, including reporting of significant and sensitive occurrences
- Identifies the need for, develops and distributes safety information and communications following reports of hazards and occurrences. See [Safety promotion framework](#).

[WHS Act](#) (section 27)

OMI2 Assess and respond to reported hazards and occurrences

Roads and Maritime implements and maintains a system by which hazards and occurrences are responded to. The procedure [Occurrence management](#) details how occurrences are managed and escalated to investigations if required; the daily triage (occurrence assessment) process is described.

[WHS Act](#) (section 27)

OMI3 Report 'notifiable incidents' to the regulator

Roads and Maritime implements and maintains a process for reporting notifiable incidents to the regulator. The procedure [Hazard and occurrence reporting](#) details how this is done.

[WHS Act](#) (sections 27, 35 and 38)

OMI4 Manage and track safety actions (including regulatory notices)

Roads and Maritime implements and maintains a process to ensure regulatory notices are complied with and if relevant, safety actions are carried out. The procedure [Safety action tracking](#) provides assurance that safety actions are being captured and completed in a timely manner, responsible parties are identified and the evidence trail is preserved.

[WHS Act](#) (section 27)

OMI5 Ensure the systemic investigation of safety matters

Roads and Maritime implements and maintains a process to ensure the systematic investigation of safety matters. The procedure [Safety investigation](#) provides criteria for whether an investigation is required and at what level, who can conduct it and what protocols should be followed to ensure investigations are carried out in a timely manner.

[WHS Act](#) (section 27)

Assets – Whole of lifecycle approach

Design safety – lifecycle management

under the *Design safety lifecycle management framework*

DS1 Identify and document safe design requirements

Roads and Maritime identifies potential infrastructure users and documents their safe design requirements for the infrastructure system design. Based on these requirements, a design safety program plan scopes the project activities.

[WHS Act](#) (sections 19 and 22)

DS2 Analyse safe design requirements

Roads and Maritime analyses the practicability of implementing the documented safe design requirements into the system design. Based on the analysis, a safe design specification for the infrastructure system is developed.

[WHS Act](#) (sections 19 and 22)

DS3 Develop safe design

Roads and Maritime develops a design prototype using the safe design specification.

[WHS Act](#) (sections 19 and 22)

DS4 Evaluate safe design

Roads and Maritime evaluates the design prototype under realistic operational conditions.

[WHS Act](#) (sections 19 and 22)

DS5 Certify safe design

Roads and Maritime confirms that the physical infrastructure system has been constructed in accordance with the safe design specification. It then submits all safe design analysis documents to support safe design certification.

[WHS Act](#) (sections 19 and 22)

* These requirements ensure, so far as is reasonably practicable, that the infrastructure system is designed to be without risks to the health and safety of persons as required by the [WHS Act](#).

WHS in procurementunder the *WHS in procurement framework*

PRO1 Identify and manage WHS hazards and risks associated with the provision of goods and services	Roads and Maritime identifies and manages safety risks arising from activities throughout the procurement lifecycle. See WHS risk management framework . Roads and Maritime's Procurement Manual
PRO2 Provide and maintain appropriate plant, structures and systems of work that are safe and without risks to health and safety of workers and others	Roads and Maritime provides and maintains appropriate plant, structures and systems of work that are safe and without risks to health and safety of workers and others (including work tools, vehicles or mobile plant). WHS Act (section 19)
PRO3 Provide relevant training, instruction and supervision to allow workers and others to perform work safely	Roads and Maritime provides instruction and training to workers to enable work to be carried out safely. See WHS capability and training framework . WHS Act (section 19); WHS Regulation (clause 39)
PRO4 Establish and provide arrangements for consultation, cooperation and coordination (CCC) with other duty holders	Roads and Maritime establishes CCC arrangements to ensure details from Principal Contractor's WHS plans or project risk assessments are provided to subcontractors as applicable to the scope of work they are undertaking before work starts. See Consultation, cooperation and coordination framework . WHS Act (section 19)
PRO5 Ensure safety is considered when selecting subcontractors	Roads and Maritime ensures safety is considered during subcontractor selection and procurement.
PRO6 Ensure safe work method statements (SWMS) are developed, shared, carried out and reviewed for all high-risk construction work	Roads and Maritime implements a documented process to ensure: <ul style="list-style-type: none"> • SWMS are developed for all high-risk construction work • Work is carried out in accordance with SWMS • Workers comply with SWMS • SWMS are shared • SWMS are reviewed by the Principal Contractor / Contract / Project Manager against defined criteria before work starts. See procedure Safe Work Method Statement .
PRO7 Ensure subcontractors and Principal Contractors participate in WHS inspections	Roads and Maritime implements a documented process to ensure subcontractors participate in undertaking WHS inspections with the Principal Contractor within their immediate and other work areas.

People – empowered workforce and partnerships

Consultation, cooperation and coordination

under the *Consultation, cooperation and coordination framework*

CCC1 Clarify the context for WHS consultation, cooperation and coordination (CCC)

CCC arrangements must be relevant to the work being conducted and cover:

- All workers (including industry partners)
- Others whose health and safety is likely to be directly impacted by the work activities being carried out, and
- Duty holders of all PCBUs involved in the delivery of the business outcome.

CCC2 Identify duty holders within Roads and Maritime and other PCBUs

Where more than one Roads and Maritime division or more than one PCBU is delivering or causing work to occur, duty holders of each must be identified and participate in CCC. Each duty holder retains responsibility for their duty in relation to the WHS matter and must discharge their duty to the extent of their influence and control.

[WHS Act](#) (sections 46 , 47 and 49)

CCC3 Establish and provide arrangements for consultation with workers (including industry partners)

WHS consultation arrangements with workers must provide an opportunity for workforce participation and representation in WHS initiatives, identifying WHS risks and issues, sharing views and risk control information and contributing input to the decisions made around WHS matters. See procedure [WHS consultation](#). Each PCBU must have arrangements in place for WHS consultation with workers.

[WHS Act](#) (sections 47 and 49, Divisions 3 and 4 of Part 5);
[WHS Regulation](#) (Chapter 2)

CCC4 Establish and provide arrangements for consultation, cooperation and coordination with other duty holders

CCC arrangements between duty holders who have duties over the same WHS matters must be developed in consultation and must establish how duty holders will work together. The arrangements must enable exchange of information about:

- Shared WHS risks and how they will be managed
- Assurance that controls are in place
- Hazards and occurrences reported
- Learnings from safety investigations
- Overall safety performance.

CCC5 Identify shared WHS risks

Each PCBU needs to identify the WHS risks that need to be managed and the interface with other PCBUs' activities where duty holders have a concurrent duty of care.

CCC6 Ensure information is shared between workers, duty holders and others

Protocols and mechanisms for sharing WHS information with workers, duty holders and others needs to be established. This can include distribution of meeting minutes, toolbox talks, presentations, safety interactions, emails, intranet etc.

See [Safety promotion framework](#).

People – empowered workforce and partnerships

Consultation, cooperation and coordination

under the *Consultation, cooperation and coordination framework*

<p>CCC7 Monitor and review the effectiveness of CCC arrangements</p>	<p>Monitoring of the effectiveness of CCC arrangements should consider the scope, structure and scale of the business or undertakings and nature of WHS risks; the interface between duty holders, worker participation and representation; and the way consultation, cooperation and coordination occur.</p>
<p>CCC8 Ensure capability and resources for CCC</p>	<p>Capability and resources (financial, technological and human) must be allocated to support effective communication and collaboration for improved WHS risk management.</p> <p>See Safety assurance, WHS risk management and WHS capability and training frameworks.</p>
<p>CCC9 Resolve WHS issues in a timely manner</p>	<p>CCC arrangements must include a process to escalate WHS issues to resolve them promptly. The procedure WHS consultation provides guidance around the issue resolution process. If there is no agreed procedure, the default procedure prescribed in clause 23 of the WHS Regulation applies.</p>
<p>CCC10 Provide evidence for how CCC has been implemented</p>	<p>Duty holders must be able to demonstrate how the legislative requirements for CCC have been met in relation to consultation with workers and duty holders with a duty over the same WHS matters.</p> <p>See Records control framework and Transport Records Management Policy</p>

WHS capability and training

under the *WHS capability and training framework*

CAP1	Identify WHS selection criteria during recruitment	<p>During the NSW Government recruitment and selection process, Roads and Maritime identifies the WHS capabilities that form part of the position or role description and selection criteria to ensure that the applicant has the WHS capabilities required to perform the role.</p> <p>See NSW Public Sector Capability Framework</p>
CAP2	Check and verify WHS qualifications and certifications	Roads and Maritime checks, verifies and records WHS qualifications and certifications during the merit selection process.
CAP3	Ensure workers complete mandatory induction and WHS compliance training prior to conducting work	<p>Roads and Maritime ensures workers (including industry partners) complete mandatory safety induction and WHS compliance training (eg WHS induction, site induction, construction induction) during on-boarding before working independently.</p> <p>WHS Act (section 19); WHS Regulation clause 39 and Part 6.5)</p>
CAP4	Identify WHS capability development needs through a risk-based process of needs analysis	<p>Roads and Maritime conducts risk-based training needs analysis to determine WHS capability development needs using processes such as WHS data reporting, risk registers, focus groups, culture surveys and training data. This includes capability development for workers in high-risk, safety specialist or safety leader roles.</p> <p>WHS Regulation (clause 39)</p>
CAP5	Ensure workers complete competency-based training and are assessed on the competency standards	Roads and Maritime ensures that workers complete competency-based training before performing any WHS specialist role or high-risk work that involves operating plant or machinery. Workers are assessed on the competency standards.
CAP6	Determine the competency of workers for work undertaken	Roads and Maritime has processes in place to check that workers are competent to undertake work, eg where someone hasn't performed a task over a long period of time and might have degraded skills.
CAP7	Deliver WHS capability development in accordance with CAP4 and CAP5 via information, training and supervision	Roads and Maritime provides WHS capability development and training to workers as required. This includes risk-based capability development for workers in high-risk, safety specialist or safety leader roles.
CAP8	Review providers and programs delivered	Roads and Maritime reviews and evaluates the performance of the WHS capability providers and programs delivered to ensure its requirements and needs are met.
CAP9	Maintain, retain and review records	Roads and Maritime maintains, retains and reviews WHS capability development, training and assessment records. These must be stored on the agency's electronic or learning management systems.

Health and wellbeing

under the *Health and wellbeing framework*

HW1 Identify and manage health and wellbeing hazards and risks	<p>Roads and Maritime identifies and manages hazards, risks and organisational needs related to worker health and wellbeing.</p> <p>See WHS risk management framework and WHS health and wellbeing programs guideline¹.</p>
HW2 Implement and review health and wellbeing programs, procedures and tools	<p>Roads and Maritime develops and implements programs, procedures and tools to address identified health and wellbeing management requirements. These:</p> <ul style="list-style-type: none"> • Apply contemporary evidence and risk-based practice to create a healthier and safer workplace • Encourage and empower workers to make informed choices at work and at home to achieve and maintain optimal levels of health, fitness and safety • Feature health and wellbeing-related initiatives, ensure access to workplace health and medical services where appropriate and utilise relevant safety management system procedures, guidance and tools. <p>Roads and Maritime reviews and evaluates the effectiveness of health and wellbeing programs delivered, procedures and tools.</p>
HW3 Monitor worker health and manage fitness for work	<p>Roads and Maritime implements strategies to monitor the health of workers and manage their fitness for work, that are consistent with exposure risks, relevant legislative requirements and industrial instruments. See <i>WHS fitness for work guidelines</i>¹ and the procedure Health monitoring.</p> <p>WHS Regulation (Chapter 7, Part 7.1, Division 6)</p>
HW4 Provide a safe place of work (including emergency management plans)	<p>Roads and Maritime provides adequate facilities for workers and others. See procedure <i>Work environment and facilities</i>¹.</p> <p>Roads and Maritime ensures that emergency management plans and protocols are in place.</p> <p>WHS Regulation (Chapter 3, Part 3.2)</p>
HW5 Manage workplace injury and illness	<p>Roads and Maritime provides first aid in the workplace according to a risk-based assessment of requirements. See procedure First aid.</p> <p>WHS Regulation (clause 42)</p> <p>Injury and illness reported in the workplace is managed in accordance with the Workers Compensation Act 1987 and Workplace Injury Management and Workers Compensation Act 1998. See procedure Injury management and return to work.</p>
HW6 Maintain privacy, confidentiality and records	<p>Roads and Maritime ensures that any health or personal information is handled in accordance with obligations under the Health Records and Information Privacy Act 2002, Privacy and Personal Information Protection Act 1998, WHS Act and WHS Regulation.</p>

¹ To be developed in 2017/18

Processes – supporting quality processes

Document control

under the *Document control framework*

DC1	Assign a document controller	Roads and Maritime management assigns sufficient resources to ensure document control processes are implemented.
DC2	Ensure documents can be readily located and are available at points of use	Roads and Maritime ensures current versions of relevant documents are available at points of use. The system assists users to find documents. Hard copies are available when necessary.
DC3	Review and revise documents	Roads and Maritime ensures that documents, when revised, may only be re-released by the same authority as the original approval. There is a register of relevant WHS documents enabling periodic review to be scheduled.
DC4	Documents are readily identifiable	Roads and Maritime WHS documents provide suitable space for document metadata (title, version, date of issue, etc.).
DC5	Communicate document changes	Roads and Maritime ensures changes to documents are communicated to their intended users. See Safety promotion framework .
DC6	Monitor external documents that affect the safety management system	Roads and Maritime implements practical arrangements for monitoring changes to external documents relevant to the safety management system and adjusting the system accordingly.
DC7	Withdraw obsolete documents	Roads and Maritime ensures obsolete documents are withdrawn from points of use.
DC8	Manage document changes	Roads and Maritime ensures: <ul style="list-style-type: none"> • Users are consulted appropriately during document development and change processes • Changes to safety management system documents are publicised • Changes are recorded and records are readily available.

Records control

under the *Records control framework*

RC1 Control WHS records	Roads and Maritime implements a documented process for controlling WHS records, covering how records are captured, stored and protected.
RC2 Capture records	Roads and Maritime's register of WHS activities shows what records are required. Safety-related procedures identify what records are generated by the activities they describe and what data is required. Forms designed for capturing records are reviewed for adequacy before being approved.
RC3 Associate records with the activity that generated them	Roads and Maritime ensures records can be readily associated with the process, activity and event that generated the record. Form design and procedure design support this process.
RC4 Store and file records	Roads and Maritime's records control procedures ensure that records: <ul style="list-style-type: none"> • Are preserved from loss, damage, tampering and unauthorised access • Can be retrieved when required.
RC5 Maintain privacy, confidentiality of (personal) records	Roads and Maritime ensures that WHS records about an individual are accessible to that individual and the individual can correct any inaccuracies. WHS records about an individual are only accessible to authorised persons.
RC6 Establish record retention period and disposal requirements	Roads and Maritime establishes a register of WHS records with record-retention requirements from the WHS Regulation and SafeWork NSW and nominates relevant retention times for other records. The register shows how records are to be disposed of.
RC7 Ensure data quality	Roads and Maritime's records control procedures ensure that records deliver the information needed when retrieved.

Review and continuous improvementunder the *Review and continuous improvement framework*

RCI1	Implement and maintain a continuous improvement process	Roads and Maritime implements and maintains a process to test and refine the safety management system in consultation with workers and others.
RCI2	Review the safety management system	Roads and Maritime follows a cycle of reviews so that each one critically looks at a comprehensive part of the safety management system to ensure it is fit for purpose and effective.
RCI3	Monitor activities under the safety management system	Roads and Maritime routinely checks that activities under the safety management system are being conducted and that safety performance of the system is meeting set targets.
RCI4	Conduct a program of audits under the safety management system	Roads and Maritime follows a program of audits to confirm that parts of the safety management system exist, are implemented and complied with.
RCI5	Enable organisational learning	Roads and Maritime looks for relevant lessons and practices from: <ul style="list-style-type: none"> • Industry partners and other organisations • Regulator and safety investigation bodies • New and emerging issues in Roads and Maritime activities • Safety actions and investigations • Research literature.
RCI6	Incorporate improvements to the safety management system	Roads and Maritime takes the outputs from other review and continuous improvement activities and incorporates them into the safety management system.

Safety promotionunder the *Safety promotion framework*

SPR1	Identify need for, develop and distribute WHS communications	Roads and Maritime: <ul style="list-style-type: none"> • Identifies the need for, develops and distributes WHS information and communications • Shares and provides evidence of successes and lessons learned from occurrences and investigation outcomes • Raises awareness of WHS matters and identified or potential hazards and risks.
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4B. OneRMS requirements for industry partners

Many of our industry partners have safety management systems in place designed to meet their risk exposure and operational requirements. Roads and Maritime have placed more emphasis on the specific areas of particular importance to us. Industry partners undertaking work for Roads and Maritime must demonstrate how their safety management system meets or exceeds our requirements.

[Part 4A](#) sets out requirements for Roads and Maritime.

Risk management

WHS risk management

RM1 Identify reasonably foreseeable hazards (hazardous events)	Identify reasonably foreseeable hazards and hazardous events using a risk register.
RM2 Identify and manage WHS risks	Identify and manage WHS risks arising from activities – including business-as-usual operations, projects and programs, organisational changes, changes to assets and networks – throughout all lifecycle phases, and assign responsibilities and accountabilities.
RM3 Identify hazards and risks that cover those to whom we owe a duty of care	Implement and maintain a process that seeks to ensure risks are evaluated for their effect on workers and others to whom we owe a duty of care.
RM4 Demonstrate elimination before minimisation and the use of the hierarchy of controls	Use the hierarchy of controls in managing hazards and risks and eliminate risks to health and safety, so far as is reasonably practicable, and if it is not reasonably practicable to eliminate risks to health and safety, to minimise those risks so far as is reasonably practicable.
RM5 Implement appropriate control measures to manage WHS risks throughout the lifecycle	Apply the WHS risk management process throughout all lifecycle phases of operations. Where different stakeholders are responsible for different phases, during transitions between phases there is a handover of WHS risk management information between the stakeholders.
RM6 Identify and manage actions (treatments)	Implement and maintain a process to ensure that actions are identified and managed to minimise WHS risks through effective controls (eg implementing a risk control or conducting an assurance activity to ensure a control is in place).
RM7 Monitor and review governance and safety performance	Implement and maintain a system to monitor and review risks to ensure management processes are operating as intended.

Safety assurance

Safety assurance

SA1	Seek or provide assurance that reasonably foreseeable hazards and risks are identified	Exercise due diligence by implementing and maintaining a process to assure the identification of hazards and risks.
SA2	Seek or provide assurance it was not reasonably practicable to eliminate a risk	Use the hierarchy of controls in managing hazards and risks ie elimination before minimisation. For assurance, an evidence-based, robust and defensible position must be presented to justify why it was not reasonably practicable to eliminate a risk.
SA3	Seek or provide assurance that appropriate control measures are in place to manage WHS risks	Implement and maintain a process that seeks to assure controls are effective ie fit for purpose, suitable for the nature and duration of work, and installed, set-up and used correctly.
SA4	Seek or provide assurance that hazards and risks are identified and managed throughout the lifecycle	Implement and maintain a process that demonstrates how hazards and risks are managed throughout the lifecycle.
SA5	Seek or provide assurance that CCC arrangements are implemented and maintained	Ensure consultation, cooperation and coordination (CCC) arrangements are implemented and maintained.
SA6	Seek or provide assurance that the safety management system is functioning and managing risk	Implement and maintain a process that seeks to assure that the elements of the safety management system are working together as a system and are effectively managing risk.
SA7	Monitor and review WHS governance and safety performance	Implement and maintain a system to monitor and review WHS governance and safety performance.

Occurrence management and investigations

OMI1 Provide a reporting system through which hazards and occurrences can be reported and communicated	<p>Implement and maintain a documented process that ensures workers can report all hazards and occurrences.</p> <p>Identify the need for, develop and distribute safety information and communication, following reports of hazards and occurrences.</p>
OMI2 Assess and respond to reported hazards and occurrences	<p>Implement and maintain a system by which hazards and occurrences are responded to.</p>
OMI3 Report 'notifiable incidents' to the regulator	<p>Implement and maintain a process for reporting notifiable incidents to the Regulator.</p>
OMI4 Manage and track safety actions (including regulatory notices)	<p>Implement and maintain a process to ensure regulatory notices are complied with and if relevant, safety actions are carried out.</p>
OMI5 Ensure the systemic investigation of safety matters	<p>Implement and maintain a process to ensure the systematic investigation of safety matters.</p>

Assets – Whole of lifecycle approach

Design safety – lifecycle management

DS1 Identify and document safe design requirements	Identify potential infrastructure users and documents their safe design requirements for the infrastructure system design. Based on these requirements, a design safety program plan scopes the project activities.
DS2 Analyse safe design requirements	Analyse the practicability of implementing the documented safe design requirements into the system design. Based on the analysis, a safe design specification for the infrastructure system is developed.
DS3 Develop safe design	Develop a design prototype using the safe design specification.
DS4 Evaluate safe design	Evaluate the design prototype under realistic operational conditions.
DS5 Certify safe design	Confirm that the physical infrastructure system has been constructed in accordance with the safe design specification. It then submits all safe design analysis documents to support safe design certification.

People – empowered workforce and partnerships

Consultation, cooperation and coordination

CCC1 Clarify the context for WHS consultation, cooperation and coordination (CCC)

CCC arrangements must be relevant to the work being conducted and cover:

- All workers
- Others whose health and safety is likely to be directly impacted by the work activities being carried out, and
- Duty holders of all PCBUs involved in the delivery of the business outcome.

CCC2 Identify duty holders within Roads and Maritime and other PCBUs

Where more than one Roads and Maritime Division or more than one PCBU is delivering or causing work to occur, duty holders of each must be identified and participate in CCC. Each duty holder retains responsibility for their duty in relation to the WHS matter and must discharge their duty to the extent of their influence and control.

CCC3 Establish and provide arrangements for consultation with workers

WHS consultation arrangements with workers must provide an opportunity for workforce participation and representation in WHS initiatives, identifying WHS risks and issues, sharing views and risk control information and contributing input to the decisions made around WHS matters. Each PCBU must have arrangements in place for WHS consultation with workers.

CCC4 Establish and provide arrangements for consultation, cooperation and coordination with other duty holders

CCC arrangements between duty holders who have duties over the same WHS matters must be developed in consultation and must establish how duty holders will work together. The arrangements must enable exchange of information about:

- Shared WHS risks and how they will be managed
- Hazards and occurrences reported
- Learnings from safety investigations
- Overall safety performance.

CCC5 Identify shared WHS risks

Each PCBU needs to identify the WHS risks that need to be managed and the interface with other PCBUs' activities where duty holders have a concurrent duty of care.

CCC6 Ensure information is shared between workers, duty holders and others

Protocols and mechanisms for sharing WHS information with workers, duty holders and others needs to be established. This can include distribution of meeting minutes, toolbox talks, presentations, safety interactions, emails, intranet etc.

People - empowered workforce and partnerships

Consultation, cooperation and coordination

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<p>CCC8 Ensure capability and resources for CCC</p>	<p>Capability and resources (financial, technological and human) must be allocated to support effective communication and collaboration for improved WHS risk management.</p>
<p>CCC9 Resolve WHS issues in a timely manner</p>	<p>CCC arrangements must include a process to escalate WHS issues to resolve them promptly.</p>
<p>CCC10 Provide evidence for how CCC has been implemented</p>	<p>Duty holders must be able to demonstrate how the legislative requirements for CCC have been met in relation to consultation with workers and duty holders with a duty over the same WHS matters.</p>

Roles and responsibilities

ROLE	RESPONSIBILITIES
Executive (including directors)	<ul style="list-style-type: none"> • Govern WHS management within Roads and Maritime • Authorise a WHS policy that supports a proactive approach to the management of WHS • Ensure the effectiveness of WHS management arrangements operating within respective divisions • Ensure that WHS responsibilities are appropriately defined and that appropriate resources (including financial, time and training) are provided • Ensure WHS risks are eliminated so far as is reasonably practicable or, when it is not reasonably practicable to do so, minimised so far as is reasonably practicable • Ensure Roads and Maritime fulfils its duty to its workers and all those affected by its undertakings. When Roads and Maritime has the same duty as an industry partner in regard to any matter, ensure that Roads and Maritime complies with that duty to the standard required by that WHS Act • Provide assurance that WHS systems and compliance strategies are in place and are effective • Lead their Divisions in implementing applicable OneRMS SMS frameworks and requirements.
Line managers, supervisors, team leaders	<ul style="list-style-type: none"> • Ensure workers are made aware of their health and safety responsibilities • Carry out risk assessments and consult workers and industry partners when identifying, assessing and applying controls to potential hazards • Ensure consultation arrangements are in place • Ensure workers are provided with appropriate resources, training and education in safe systems of work • Ensure the conditions at the workplace are monitored and take action for the purpose of preventing illness or injury to workers.
<u>Workers</u>	<ul style="list-style-type: none"> • Take reasonable care of their own and others' health and safety at workplaces • Comply with Roads and Maritime's safe systems of work • Actively support and participate in WHS consultation and other activities (including training) • Assist managers and supervisors in applying appropriate safety measures.
<u>WHS Branch</u>	<ul style="list-style-type: none"> • Develop WHS documents (including procedures, guidance material) to promote a safe workplace and ensure compliance with legislative requirements • Support divisions in implementing OneRMS SMS frameworks and requirements • Provide advice on WHS issues • Support the business in implementing safe systems of work.

Definitions

Term	Definition
Duty holder	<p>Refers to any person who owes a WHS duty under the WHS Act including a person conducting a business or undertaking (PCBU), designer, manufacturer, importer, supplier, installer of products or plant used at work (upstream duty holders), an officer, workers and other persons at the workplace.</p> <p>More than one person can concurrently have the same duty in which case the duty is shared. Duties cannot be transferred.</p>
PCBU	<p>Person conducting a business or undertaking as per section 5 of the WHS Act.</p>
Stakeholder	<p>Person or organisation that can affect, be affected by, or perceive themselves to be affected by a decision or activity. A decision maker can be a stakeholder.</p>
WHS Act	<p>Work Health and Safety Act 2011 (NSW)</p>
WHS Regulation	<p>Work Health and Safety Regulation 2017 (NSW)</p>
Worker	<p>A person is a worker if the person carries out work in any capacity for a PCBU as per section 7 of the WHS Act.</p>

References

Roads and Maritime references

Doc no	Title
RMS 16.451	<i>WHS Policy Statement</i>
RMS 16.452	<i>WHS Strategy 2015-19</i>

External references

Title	Source	Type
<i>Australian Work Health and Safety Strategy 2012-2022</i>	Safe Work Australia www.safeworkaustralia.gov.au	Strategy
<i>Work Health and Safety Act 2011</i>	NSW Legislation www.legislation.nsw.gov.au	Legislation
<i>Work Health and Safety Regulation 2017</i>	NSW Legislation www.legislation.nsw.gov.au	Legislation
<i>Work Health and Safety Management Systems and Auditing Guidelines</i>	NSW ProcurePoint www.procurepoint.nsw.gov.au	Guidelines
<i>AS/NZS 4801:2001 - Occupational health and safety management systems - Specification with guidance for use</i>	SAI Global www.saiglobal.com	Standard
<i>AS/NZS 4804:2001 - Occupational health and safety management systems - General guidelines on principles, systems and supporting techniques</i>	SAI Global www.saiglobal.com	Standard

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Change history

Issue	Date	Description of change
1.0	22/03/17	First issue
2.0	01/09/17	Updated following WHS Regulation 2017 superseding WHS Regulation 2011. No other changes.

Feedback

Contact WHS Branch with feedback on this document at onermsms@rms.nsw.gov.au