Responsibility, Authority & Accountability Procedure (12) V1

**Version Control & Change History**

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# PURPOSE

The purpose of this procedure is to describe the formalised processes that Catholic Church Endowment Society Inc., have in place to establish and define the specific health and safety responsibilities, authorities and accountabilities applicable to each level of officers, managers, supervisors & workers.

# SCOPE

This procedure applies to all workers under the Catholic Church Endowment Society Inc. (CCES).

# DEFINITIONS

Definitions can be found on the [Catholic Safety Health & Welfare SA Website](http://www.cshwsa.org.au/definitions/).

## Information

Nil

# RESPONSIBILITIES

Specific responsibilities for carrying out certain actions required by the CCES, have been allocated to particular position holders within the organisation. Such responsibilities are consistent with the obligations that the legislation places on officers, managers, supervisors, workers and others in the workplace.

Responsibility, authority and accountability processes have been defined in Responsibility, Authority & Accountability Procedure (12), and summarised in [Responsibility, Authority & Accountability Matrix – Workers (007F)](https://www.cshwsa.org.au/download/4134/), [Responsibility, Authority & Accountability Matrix – Managers & Supervisors (083F)](https://www.cshwsa.org.au/download/4331/) and [Responsibility, Authority & Accountability Matrix – Officers (008F)](https://www.cshwsa.org.au/download/4131/).

You are required to familiarise yourself with this procedure in order to understand the obligations that you may have in relation to its implementation and to carry out your assigned actions and responsibilities.

# **PROCEDURE**

## Defining Responsibilities

Responsibilities refer to the activities or processes over which a position holder is empowered and expected to exert control.

Responsibilities associated with managing, performing and / or verifying activities driven by Policies, the Business Management System, and legal and other requirements shall be defined.

A Responsibility, Authority & Accountability Matrix shall be established by the CSH&W SA and endorsed by the Self Insured Governing Council (SIGC) to align specific WHS responsibilities to the general organisational structure including:

* Officers;
* Management and supervisory levels;
* Workers, labour hire personnel, contractors, visitors and other personnel (e.g. trainees, students, & volunteers).

### Position Descriptions

Broad work health safety (WHS) responsibilities for all personnel will be identified and documented within each position description. The manager has the responsibility for maintaining the currency of position descriptions for each of their workers. Position descriptions are defined by the recruiting manager and made available to workers as part of the recruitment process.

The manager is responsible for reviewing position descriptions when job responsibilities change. Outcomes of performance development processes will be used to provide input into the review of the suitability of allocated responsibilities.

Changes to position descriptions in relation to the WHS responsibilities will be conducted in consultation with the person or persons in the position and in line with the requirements detailed in [Consultation & Communication Procedure (5)](https://www.cshwsa.org.au/download/2656/).

### Responsibility, Authority & Accountability Matrix

The Executive Manager Catholic Safety Health Welfare SA is responsible for developing an aggregated matrix detailing the WHS responsibilities, authorities and accountabilities for roles in the organisation and obtaining SIGC endorsement.

### Procedures

Procedures and supporting tools provide the detail necessary to ensure that each task or activity is effectively implemented in a structured manner. WHS procedures identify the position holders responsible for implementing the identified tasks and activities within a procedure. These task and activities responsibilities include responsibility for:

* managing the task or activity;
* conducting the task or activity;
* recording the outcomes of tasks and activities;
* verifying tasks or activities have been conducted in accordance with procedural requirements.

## Authority

Authority is the level of control able to be exercised in relation to responsibilities through action or financial delegation.

### Levels of Authority

Positions that have identified responsibility duties assigned to them also have proportionate authority defined against the responsibility to ensure the role has a level of control that can determine the appropriate outcomes particularly in relation to health and safety outcomes. Authorities link directly to the allocation of responsibilities.

The authority levels are aligned to the business hierarchy. The various management levels within this hierarchy are assigned the level of decision making capability to eliminate or reduce workplace risk based on the scope and extent of exposure and the action required to eliminate or control the risk. Position holders allocated such authority are responsible for diligently exercising their legislative responsibilities.

Authorities applied to ensure that personnel effectively discharge their assigned responsibilities are in the Responsibility, Authority & Accountability Matrices.

Note: Lower level authorities shall also be assumed by position holders at higher levels.

### Delegation of Authority

Delegation involves the formal conferring of responsibilities, functions or powers that are prescribed to a position holder so they can act on their behalf. A direction to conduct a task or activity is not a delegation of authority.

Authority for position holders to perform defined functions may be formally delegated to other position holders to ensure that functions are performed in an effective manner.

Responsibility and accountability can only be delegated to other position holders in exceptional circumstances. The responsibility and accountability for performing functions always remains with the defined position holder.

Authority may be delegated by managers to other position holders to ensure continued and effective implementation of Business Management System requirements. The position holders must be competent workers who have demonstrated the skill or ability to perform the required function.

The manager delegating the authority will discuss the scope of the delegation with the person to receive the delegation of authority.

Authority may be formally delegated under the following circumstances:

* manager off site;
* manager on leave (sick, annual, maternity etc.);
* special business events e.g. Conference;
* specific activities, agreed to by both parties.

The following information must be identified and documented by the manager giving the delegation:

* scope of the delegation;
* timeframe of the delegation;
* person receiving the delegation;
* expected outcomes of the delegation.

## Communication of Responsibilities and Authorities

Communication, reinforcement and acknowledgement of responsibilities and authorities by workers shall occur through a variety of mechanisms as outlined in Table 1. Communication of Responsibilities and Authorities. Responsibilities may be redistributed in some situations to reflect differences in management structure, position titles and available resources.

Table 1. Communication of Responsibilities and Authorities

|  |  |  |  |
| --- | --- | --- | --- |
| Position Holder | Key Communication Tools | Acknowledgement | Timing |
| All Workers | Induction – Agency  Induction - Site  Position description  Responsibility, Authority & Accountability Matrix | Signed Training Records  Signed Position description  Signed Induction Sheet | On employment or when changes occur |
| Labour Hire / Agency Workers | Induction | Signed Induction Sheet |
| Contractors | Contractual arrangements  Induction | Signed contracts  Sign in book / system | On engagement & every three (3) years or when changes occur  Every Visit |
| Volunteers | Induction | Sign in book / system | On engagement & every five (5) years or when changes occur |
| Visitors | Visitor Induction | Sign in book / system | Every Visit |
| Workers with WHS responsibilities | System procedures and supporting tools | Competency assessment | Upon appointment or when changes occur |
| Emergency Control Organisation | Emergency Management Plan | Competency assessment | Upon appointment or when changes occur |
| First Aiders |
| WHS Committees | Committee Terms of Reference | Signed Terms of Reference | Upon appointment or when changes occur |

## Accountability

### Development of Performance Measures

Various sources of information may be used to develop performance measures (key performance indicators – KPIs) to evaluate fulfilment of responsibilities and authorities for all position levels.

The main source relates to outputs driven by Policies and Management System requirements including, but not limited to:

* documented objectives, targets & plans;
* audit outcomes;
* inspection outcomes;
* statistical data trends;
* corrective actions;
* complaints;
* competency assessments;
* incident investigations.

### Evaluation of Performance

CCES utilises a number of accountability processes to assess performance relating to the implementation of management system responsibilities. These processes apply to all workers and are performance based. English literacy needs of workers and workforce geographical spread have also been considered as part of the approach.

The key processes include:

* supervisory arrangements (in accordance with organisational and site management structures);
* system review and verification activities;
* performance appraisals.

#### Supervisory Arrangements

Managers / supervisors will provide adequate supervision to workers and relevant others according to the complexity of specific procedures / instructions, worker experience and capabilities and the degree of risk of the task involved. New workers and workers developing competencies will receive a higher level of supervision until they are deemed competent. Supervisory requirements of workers with disabilities, cultural differences or language and literacy difficulties will also be considered.

Where full-time on-site supervision is not practicable supervision will be provided by other means such as via phone, email, a “buddy” system and regular site visits.

Managers / supervisors will monitor conformance by workers to the organisations work instructions, systems of work and management system requirements.

Training will also be provided in accordance with process described in [Induction & Training Procedure (13)](https://www.cshwsa.org.au/download/4193/). Managers / Supervisors will supervise contractor works in accordance with [Contractor Management Procedure (6)](https://www.cshwsa.org.au/download/1696/).

#### System Review Activities

Evaluation of responsibility, authority and accountability process will form part of system monitoring and reviews activities.

#### Performance Appraisals

Performance management for workers is managed through a performance appraisal system as per sector requirements.

### Accountability Underperformance and Process for Improvement

Underperformance in the fulfilment of assigned responsibilities may be identified via:

* management system failures;
* management system review and verification processes;
* supervisor arrangements;
* performance reviews.

Workers responsible for the management and supervision of others including, contractors, labour hire workers, visitors, students, volunteers & parishioners shall take action to address any issues associated with the fulfilment of WHS responsibilities, at any time, as considered necessary such as:

* ceasing the activity;
* providing immediate feedback;
* conducting competency assessments (against relevant work instructions);
* taking corrective action to address management system issues;
* carrying out system review activities
* reviewing supervisory arrangements;
* disciplinary measures in accordance with Human Resource processes.

The outcomes of accountability underperformance will be recorded.

## Records

Document used to manage Responsibility, Authority & Accountability as prescribed by this procedure will be produced in a format that allows tracking for verification and review and be in accordance with requirements detailed in [Document Control Procedure (24)](https://www.cshwsa.org.au/download/2512/).

## Review

This procedure will be subject to a planned review by the document owner in accordance with the requirements outline in [Document Control Procedure (24)](https://www.cshwsa.org.au/download/2512/).

Other methods for reviewing and evaluating the performance of this procedure will include:

* audit activity;
* investigations;
* performance reports.

# RELATED SYSTEM DOCUMENTS

## Policies & Procedures

Consultation & Communication Procedure (5)

Contractor Management Procedure (6)

Document Control Procedure (24)

Induction & Training Procedure (13)

Work Health Safety & Injury Management Policy

## Forms & Tools

Responsibility, Authority & Accountability Matrix – Managers & Supervisors (083F)

Responsibility, Authority & Accountability Matrix – Officers (008F)

Responsibility, Authority & Accountability Matrix – Workers (007F)

# REFERENCES

Legislation and other requirements related to this procedure are defined in Group Legal Register which can be accessed via the Catholic Safety Health SA website.

## Internal Resources

Nil

## External Resources

Nil

# AUDITABLE OUTPUTS

The following examples of records will be used to verify implementation of this procedure:

* Position Descriptions
* Responsibility, Authority Accountability Matrix
* Performance Appraisals
* Committee Terms of Reference
* Corrective actions relating to RAA’s
* Audit Reports
* Emergency Management Plan
* Induction Training Records