

# S.A.H.M - Safety and Health Management Manual

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## Introduction

This document identifies the elements of the Auckland International Airport Limited's (Auckland Airport) Safety Management System (SMS).

Auckland Airport's Safety and Health Management Manual (S.A.H.M) follows the Plan, Do, Check, Act model and is made up of a number of different elements that all contribute to the continuous improvement of safety in operations. In combination all the elements of the SMS have been designed to assist all Auckland Airport's people (including in some cases people who may work for other organisations) to operate the airport safely, and to continue to improve our safety culture over time.

Throughout this S.A.H.M, you will sometimes see the words "aviation and workplace safety and health", sometimes "safety and health", sometimes "safety, security and health" and sometimes just "safety" is used on its own. Where you see the word "safety" on its own (for example "[Safety Policy Statement](#)"), it is being used as an abbreviation for the longer forms. In all cases "security" and "health" are encompassed within the word "safety".

## Purpose

The purpose of Auckland Airport's Safety (and workplace health) Management System ("**SMS**") is to:

- Manage aviation and workplace safety and health risks within the organisation, with a particular focus on risks which impact safety;
- Provide ongoing monitoring and assessment of safety performance;
- Make continuous improvements to the level of safety in operations; and
- Develop a leading safety culture at Auckland Airport.

## Organisational Context

Auckland Airport is a publicly listed company on the NZ and Australian stock exchanges with market capitalisation >\$7bn. With a normal throughput of more than 21 million travellers each year, it is a significant contributor to the country's travel, trade and tourism industries. Up to 30 international airlines fly into Auckland Airport, making it Australasia's second busiest after Sydney Airport. It is a major driver of the New Zealand economy, generating billions of dollars of economic activity, providing thousands of employment opportunities, and strengthening New Zealand's connections with the world.

And Auckland Airport is more than just an airport. It is also a major hub for commercial development providing a business park for air-travel related businesses, as well as others that value the proximity of the airport, the centrality of its location to major road transport arteries, and the amenity values that are intrinsic in the design of commercial developments.

While international passenger volumes have reduced during the world-wide Covid-19 pandemic, Auckland Airport continues to have a significant domestic operation as well as remaining a key international gateway for cargo and essential supplies to and from New Zealand. Safety remains paramount, and the SMS has been key to managing the Airport's response to Covid-19 and ensuring our workers are appropriately protected.

Auckland Airport has developed a 30-year vision for the "airport of the future", and the first stages of that vision are now under construction. While temporarily halted by Covid-19, the Airport will be resetting its aeronautical infrastructure investment and development programme and reshaping this for a Covid-19 environment. This will still entail significant amounts of construction activity on the airfield, within and around the terminals (both airside and landside) and throughout the wider airport precinct.

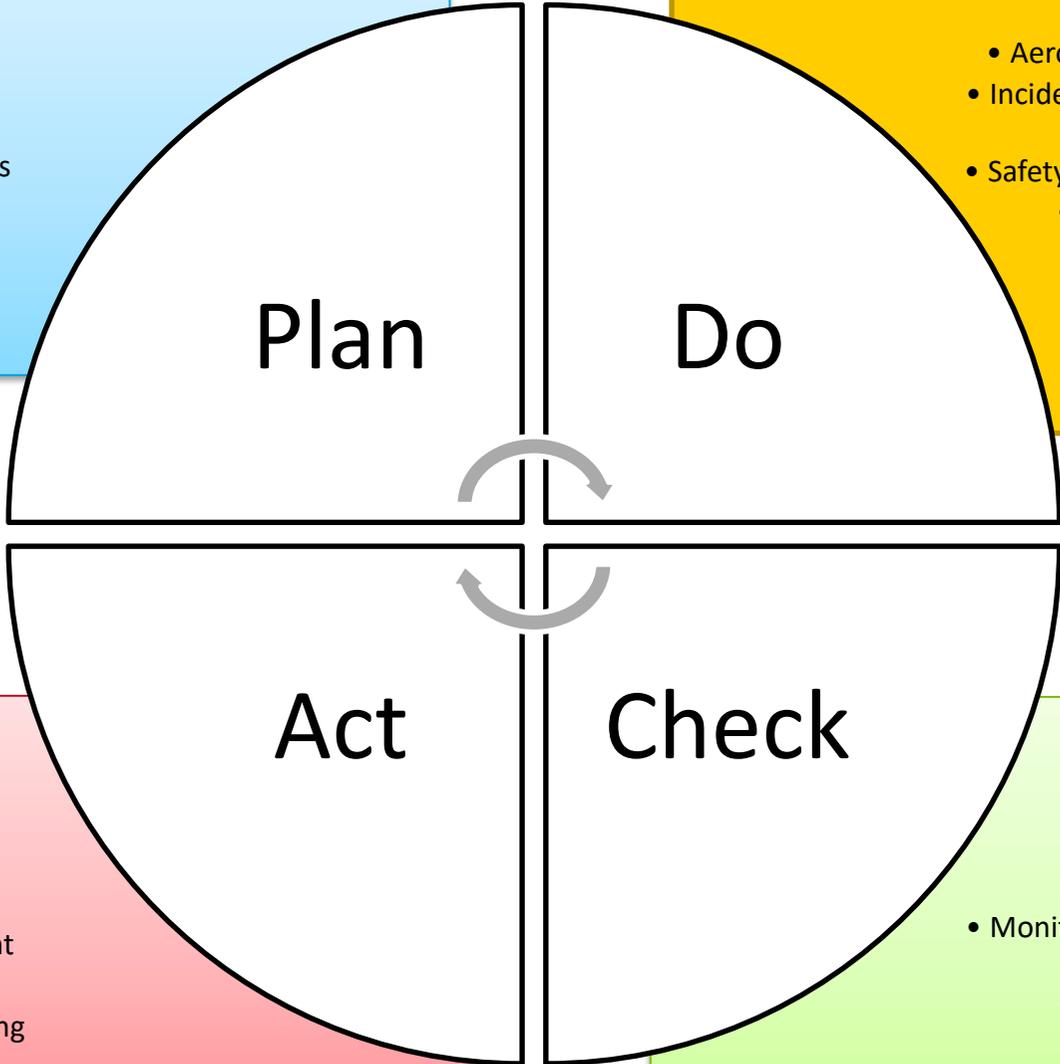
## Scope

This Manual applies to all business operations under the control of Auckland Airport.

## Process

Auckland Airport approaches the management of safety and workplace health via the 'Plan, Do, Check, Act' model. This model recognises that good safety and health management is more than compliance focused and is an integral part of good management.

- Safety-related policies
- Organisational structure
- Safety responsibilities
- Just Culture
- Planning and budgets
- Planning for emergencies



- Active hazard and risk management
  - Airfield safety processes
  - Aeronautical security processes
- Incident recording, reporting and Investigation
- Safety competencies and training
  - 3rd party safety processes
    - Worker participation
    - Managing change
    - Document control

- Continuous improvement
- Safety communication
- Ongoing refresher training

- Monitoring and measuring safety performance
  - Internal Audit programme
    - Management review

# 1. Plan

Effective planning is essential for implementing good safety, security and health management and requires an integrated framework to enable organisations to plan the control of risks, react to changing demands, and sustain positive safety attitudes and behaviours.

## 1.1 Safety Policies

The company's Safety Policy Statement (SMS 01.00.01) is a single page document that the Chief Executive ("CE") owns. It sets out Auckland Airport's commitment to achieving the highest standard of aviation and workplace safety and health. The Safety Policy Statement is easily accessible to all workers and displayed in reception areas and on health and safety notice boards. Significant contractors/suppliers are required to include the content of the Safety Policy Statement in their health and safety inductions. Auckland Airport has also developed secondary policy-level documents for key aspects of the SMS.

### Refer to:

- **SMS 01.00.01 Safety Policy Statement**
- **SMS 06.05.00 Alcohol and Other Drugs Policy**

## 1.2 Organisational Structure

Auckland Airport's organisational structure is designed to ensure the safe operation of all aspects of the business. The structure includes the following roles with particular safety accountabilities:

- Safety and Operational Risk Committee ("**SORC**"), a standing committee of the Board whose function is to provide governance-level oversight of all safety, security and operational risks.
- The Chief Executive role, which includes overall responsibility for the SMS and for ensuring the necessary resources and organisational focus are provided for a safe, secure and sustainable operation.
- An executive level Safety Manager role (General Manager Operations) that reports directly to the Chief Executive.
- General Manager ("**GM**") and other senior management roles who provide visible safety leadership, and actively participate in the management of safety risks within their respective business unit.
- Dedicated aviation and workplace safety and health roles within the organisational structure, with suitably qualified and experienced people appointed.
- Co-ordinated Operations Groups whose responsibilities include the safe operation of the airport.
- Dedicated airfield safety officer roles.
- Health and Safety representatives appointed or elected from the workforce.
- An Emergency Operations Centre ("**EOC**") with redundant capacity.
- A dedicated emergency response team with sufficient resources to enable a 24/7 response to any emergency.
- An Incident Review Committee comprising suitable senior business "owners" of safety, security, health and other incidents recorded in the company incident reporting system.
- An audit function that includes a team of employees trained as Internal Auditors, an expert provider of internal audit services, as well as independent external auditors.

## 1.3 Safety Responsibilities

To ensure everyone is clear about who is responsible for what, Auckland Airport defines and documents aviation and workplace safety and health responsibilities at all levels of the organisation. Safety responsibilities are fully described in Board and Committee charters, collective and individual employment agreements, job descriptions and annual performance plans. Committee Charters are reviewed at set periods, and employment agreements and job descriptions are updated to reflect current responsibilities as and when a review is initiated due to organisational change or job vacancy, or as otherwise scheduled. Individual performance plans are set and reviewed at least annually. Reporting lines for all Auckland Airport staff are shown on the current organisation chart, which you can view or download from the company intranet “The Radar”.

A brief summary of who is responsible for what, and where their authority to act with respect to safety comes from, is given below:

### Directors’ Responsibilities

As Officers of the company, the safety responsibilities of the Directors who make up the Auckland Airport Board are established in the Health and Safety at Work Act 2015, in codes and guides for good governance practices, and in charters for the Board and the SORC. Directors have “due diligence” duties. This means they are responsible for:

- Having a current understanding of safety-related matters, as well as the specific hazards and risks involved in Auckland Airport’s operations, including determining the company’s “risk appetite”;
- Making sure the company has and uses the right kinds of resources and processes to ensure safety, security and health risks are reduced to ALARP;
- Reviewing and acting on safety-related information including about significant incidents, hazards and risks;
- Making sure Auckland Airport is complying with all its legal safety-related duties; and
- Making independent efforts to verify that what management tells them is being done, is actually being done.

### Chief Executive’s Responsibilities

Auckland Airport’s Chief Executive (CE) is appointed by the Board. The CE has the Board’s delegated authority to make sure the company has appropriate policies, management systems, resources and processes to operate the business. Like the Directors, the CE is also an Officer of the company and has the same “due diligence” duties. In addition, the CE is specifically responsible for:

- Developing and approving Auckland Airport’s Safety Policy Statement;
- Ensuring the SMS is fully implemented, maintained and improved, and that it is integrated with other management systems;
- Setting the company’s overall safety target(s); and
- Ensuring that within the company’s plans and budgets there are adequate resources (money, people etc.) available for aviation and workplace safety, security and health.

### General Managers’ Responsibilities

General Managers (GMs) report directly to the CE and together with the CE make up the Auckland Airport executive leadership team (“LT”). Each GM is responsible for safety leadership within a particular division – some are “operational”, others provide “support” to the operational divisions. Regardless of what their division does, the CE holds all GMs responsible for:

- Understanding safety-related legislation, regulations, CAA Rules, and WorkSafe NZ guidance which is relevant to their division;
- Communicating, championing, and ensuring the effective implementation of the SMS within their division (including third parties where relevant);
- Ensuring all hazards and risks in their division are identified, assessed and reduced to ALARP; and

- Setting safety targets, monitoring their division's safety performance, and reporting on it to the executive leadership team and Board.

### **Managers' Responsibilities**

Managers at all levels of the organisation - and especially those who have people reporting to them - are responsible for ensuring the SMS is being used and is effective in practice. Because their people are using it every day, managers are well placed to identify any problems with the SMS, or ways it could be improved. All people managers are responsible for:

- Ensuring that they are familiar with the requirements of the SMS, and that workers are trained and competent, aware of, and work within, the requirements of any SMS document and/ or any other system, process or rule intended to help ensure the company's operations are safe;
- Ensuring all hazards and risks in their area of responsibility and/ or control are identified, assessed and reduced to ALARP, and that this is recorded in an up-to-date Hazard and Risk Register accessible to workers;
- Ensuring workers are aware of and follow company procedures for dealing with aviation and other kinds of emergencies, and that materials, equipment and facilities for the protection of human life and health in the event of an emergency are available and maintained to the required level of effectiveness;
- Ensuring that any tools or equipment provided to workers is safe, maintained and operated correctly, and that workers are trained and competent to use it correctly; and
- Ensuring timely and complete reporting and investigation of all safety and security related incidents, injuries and near misses, and that corrective actions are completed, feedback is provided to workers, and learnings from investigations are shared.

### **Workers' Responsibilities**

All workers (including workers who are employed by other organisations) who are engaged in work for or on behalf of Auckland Airport in areas which our company manages or controls, have safety responsibilities to themselves, colleagues and members of the public. These include:

- Taking personal responsibility for their own actions, to help protect the safety, security, health and welfare of themselves, their co-workers, and members of the public;
- Ensuring that they work safely and follow all of the company's policies, procedures and rules at all times;
- Ensuring they are aware of and familiar with all hazards, risks and controls in the areas they work in;
- Actively participating in Auckland Airport's aviation and workplace safety and health training, programmes, initiatives and events;
- Promptly reporting all incidents, injuries, near misses, hazards and safety observations to their supervisor or manager;
- Advising their supervisor or manager if they have any concerns for their own or someone else's safety, security, health or welfare; and
- Stopping their own work if there is a risk of harm to themselves or someone else, and intervening if they can see there is a safety risk in the way someone else is working.

Certain workers in each division are designated as Health and Safety Representatives ("**H&S Reps**"). Refer to section 2.11 Worker Participation on page 17 of this S.A.H.M for more information.

### **Other Organisations That Operate at Auckland Airport**

It takes more than just Auckland Airport (the company) to make Auckland airport (the place) work! Our operation involves hundreds of other organisations and thousands of their workers in addition to our own. Auckland Airport also documents its expectations of other organisations in relation to *their* aviation and workplace safety, security and health responsibilities. Auckland Airport has entered into a Common User Safety Protocol (CUSP) with nine key organisations that operate at Auckland Airport, which provides a commitment to work

collaboratively as an airport community to deliver exceptional health and safety outcomes for all our people. For more information, refer to section 2.8. Working with Third Parties on page 15 of this S.A.H.M.

### Key Safety-Related Roles

The Safety Manager is the senior management role with specific responsibility for establishing, implementing and maintaining a suitable, adequate and effective SMS. This role has a direct reporting line to the CE and the SORC. This role is currently held by the GM Operations.

Other roles within the company are responsible for providing (as appropriate to each role) oversight, expertise, advice and integrity to the SMS. Their safety and health responsibilities are defined further in their job descriptions.

These include:

- General Manager Corporate Services
- Airport Safety and Security Manager (Operations)
- Head of Airport Operations (Operations)
- Head of Health and Safety (Corporate Services)
- Head of Operations Risk and Assurance (Operations)
- Head of Airport Assets and Commercial (Operations)
- Regulatory Assurance Manager (Operations)
- Grounds and Wildlife Hazards Manager (Operations)
- Health and Safety Business Partners (Corporate Services)
- Permit to Work Advisors (Corporate Services)
- Safety, Risk and Compliance Coordinators (Operations)

## 1.4 Just Culture

Auckland Airport is introducing the concept of Just Culture as part of our overall safety culture. A Just Culture stems from an understanding that people sometimes make mistakes and that in fairness all the circumstances should be taken into consideration when deciding what if any consequences are applied. A Just Culture is not a “no blame” culture - where people are not held accountable for their mistakes. Where a mistake by a person puts the safety of that person or other people at risk – whether or not there was any actual injury - the Just Culture Procedure will apply. Auckland Airport’s Just Culture has zero tolerance for intentional and/ or reckless behaviour that places people at risk of harm. In such cases, it is likely that there will be disciplinary consequences as set out in the Disciplinary and Performance Coaching Policy.

Just Culture is an important part of Auckland Airport’s overall safety culture. It recognises that sometimes people’s behaviour may fall below expectation, and that there may be forces at play beyond the person’s control when things went wrong.

In summary a Just Culture:

- focuses attention on identifying and addressing the organisational/ systemic factors (root causes) that impact safety reliability and performance
- provides an atmosphere of mutual trust and respect in which people are encouraged and rewarded for providing essential safety-related information (e.g. reporting incidents, hazards, near misses) - contributing to an open, honest and transparent safety reporting culture
- clearly defines where the line must be drawn between acceptable and unacceptable (unsafe) behaviour
- is a pre-requisite for the degree of openness that a learning and informed safety culture requires.

## Refer to:

- **SMS 01.02.01 Just Culture Procedure**

## **1.5 Planning**

There are five major components to Auckland Airport's planning processes that have a direct impact on the SMS:

### **Annual Business Plan and Budget**

The Annual Plan for the business sets out at a high level the company's safety intentions for the coming 12 months. It also includes a summary of key safety priorities (activities) for the business as a whole, and where relevant, for individual business units. The annual budget sets out the company's revenue, expenditure and capital investment commitments, including all safety-related expenditure that has been approved by the Board for the relevant financial year.

### **Safety Strategic Plan**

This plan sets the high-level strategic direction and priorities for the Company over a three-year period. The LT and the SORC annually review the Safety Strategic Plan to determine its directional intent.

### **Safety Action Plan**

This plan sets out the company's operational safety and health-related activities and objectives for the coming 12 to 18 months. The Safety Action Plan includes identification of the parties involved, specific tasks and accountabilities, timeframes, and priorities. The Head of Health and Safety owns the Safety Action Plan, which is a 'live' document, and reviews it regularly to monitor progress and update as necessary.

### **Strategic Asset Management Plan**

The Strategic Asset Management Plan (SAMP) sets out how the company's overall business objectives will be reflected into asset management objectives, and describes the approach the company will adopt to achieve these asset management objectives. Auckland Airport has adopted ISO55001 as its aspirational standard for asset management. The SAMP also provides the high-level asset planning process that considers performance, risk, and cost. The SAMP flows into Asset Management Plans for six core classifications of assets. It is owned by the Asset Management Governance Group and maintained by the Manager, Engineering Services or their delegate.

### **Internal Audit Plan**

This plan includes safety-related internal audits. It specifies the audit schedule and timing. In addition, risk-based audits are undertaken of selected areas and third parties as required.

## **1.6 Emergency Planning and Response**

Auckland Airport has sophisticated systems for emergency planning and response. These include:

- The Aerodrome Emergency Plan (see below)
- A Joint Emergency Operations Committee (JEOC) which reviews, plans and manages emergency response (including joint exercises)
- A 24/7 Airport Emergency Services team capable of providing 'first response' to aircraft crashes, fires, medical and other emergency events on the airport
- An Emergency Planning Manager role and/or functions
- Membership and participation in 'Lifeline Utility' forums

- Training for emergency response
- ‘Mutual aid’ agreements with national emergency services organisations
- An Auckland Airport Emergency Operations Centre (“**EOC**”) which is activated when an emergency could impact flights into and out of our airport
- A crisis management response structure which is activated where an emergency has the potential to cause a substantial impact on the services, facilities or functions of the company as a whole.

### **Aerodrome Emergency Plan**

Auckland Airport has an Aerodrome Emergency Plan (“**AEP**”) designed to ensure the orderly transition from normal to emergency operations (and vice versa), and to minimise the risk of injury to persons in an on-ground emergency. The AEP is provided in hard copy to key external stakeholders, and is downloadable in soft copy from The Radar. The Aerodrome Emergency Plan covers the following areas:

- identification and roles of key personnel and relevant agencies;
- actions in a range of aerodrome incidents;
- frequency for testing the plan; and
- process to distribute and communicate the plan to relevant persons.

### **Refer to:**

- **SMS 02.00.01 Introduction to Emergency Planning and Response**
- **Aerodrome Emergency Plan (AEP)**

### **Building Emergency Procedures**

There are emergency procedures for all buildings where Auckland Airport has employees or individual contractors working e.g. Quad 5. Building emergency procedures contain the following:

- Details of trained emergency wardens;
- Location of assembly points;
- Certified first aiders;
- Responsibilities/notifications;
- Contact names and numbers of emergency services; and
- Specific procedures in case of fire, accident, bomb threat, natural disaster, etc.

These procedures are on display in prominent places and the emergency procedure is communicated to all employees and embedded contractors.

Designated employees act as wardens and take control in an emergency. Wardens receive training for the identified potential emergencies (and any other specific training that is required).

Testing or training on emergency procedures is carried out on at least 6-monthly intervals. Fire and Emergency NZ are required to be notified 10 days before a trial evacuation and a report completed and sent to Fire and Emergency NZ within 10 days of completed trial evacuation.

Emergency procedures are developed for new buildings as part of the Operational Readiness and Airport Transfer (“**ORAT**”) or commissioning process.

## 2. Do

To help ensure we run a safe operation, Auckland Airport has developed processes for actively managing and controlling aviation and workplace safety and health risks.

### 2.1. Hazard and Risk Management

The Directors of Auckland Airport annually approve a Risk Appetite Statement that provides overall guidance to the Chief Executive and the company's senior managers on risk tolerance and expected levels of risk control. The Hazard and Risk Management Procedure aligns with ISO 31000:2009. All hazards are identified, and the risks of each hazard causing harm to a person or people is assessed using the Auckland Airport Risk Assessment Matrix ("RAM") which enables an individual or team to determine the risk profile based on a) the potential likelihood that an event will occur; and b) the potential consequences (severity of harm). Controls are identified and applied with the intent of reducing the risk of an event happening and the harm occurring to ALARP. Hazards, risks and controls are recorded in Hazard and Risk Registers for each area of the business which are published on The Radar for all workers to access.

Methods used to identify hazards at Auckland Airport include:

- Workplace observations;
- Systematic application of hazard management processes – e.g. Bow Tie Analysis;
- Task specific processes – e.g. SOP, JSA etc.;
- Staff reporting of potential and actual hazards;
- Internal and external inspections and audits;
- Incident investigations and learnings;
- Supplier information;
- Preventive maintenance programmes;
- Reviews of changed work practices, including use of new or different equipment; and
- Learning from others.

#### Refer to:

- **SMS 06.01.01 Hazard and Risk Management Procedure**
- **SMS 06.01.02 Risk Assessment Matrix**
- **06.01.07 Hazard Identification and Risk Control Checklist**
- **06.01.09 Hazard and Risk Register Template**

### 2.2. Airfield Risks

Airfield risks are a special category of safety and security risk that airports are required to manage very well, because the risk of harm is great if things go wrong. Airports around the world are strictly regulated – in New Zealand this is the job of the Civil Aviation Authority ("CAA").

Auckland Airport has set strict safety and security rules which apply to all people who have any reason to access the "airside" zone of the airport. "Airside" includes areas of the domestic and international terminal buildings which can only be accessed with a CAA ID card; baggage handling areas; the aprons; taxiways; runways; and all areas of the airfield, operational and non-operational. Any person whose role requires them to work airside on an unescorted basis must comply with Auckland Airport's Airport Workers' Rules - which is downloadable from The Radar. People who do not hold a CAA ID card or a temporary permit to access the airside areas in

the company of a person who holds a CAA ID card are not permitted into any airside zones for any reason, or at any time. Breaches of Auckland Airport's airside safety and security rules are taken seriously and can lead to demerit points, a temporary or permanent ban from the airside zone, and even termination of employment or contract in very serious cases.

**Refer to:**

- **Airport Workers' Rules**

### **2.3. Permit to Work**

Auckland Airport's Permit to Work ("PTW") system is a safe system of work to authorise all work that is medium-risk and higher in areas under the management of Auckland Airport.

The PTW system ensures identification of all hazards and risks associated with such work and includes an audit process to ensure the implementation and maintenance of controls for the duration of the works.

A dedicated PTW team works from a centralised Permit Co-Ordination Office (Permit Office) to review and approve all PTWs. This provides oversight of medium- and high-risk work, as well as ensuring there are no conflicting works.

**Refer to:**

- **SMS 06.02.04 Permit to Work Manual**

### **2.4. Managing Impairment**

Being fatigued or under the influence of alcohol or other drugs while at work can affect not only performance and productivity but can also result in higher rates of injuries, fatalities and absenteeism.

Auckland Airport has an Alcohol and Other Drugs Policy/Procedure and a Fatigue Risk Management System to assist in the management of the effects of impairment, which may arise from these sources.

**Refer to:**

- **SMS 06.05.00 Alcohol and Other Drugs Policy**
- **SMS 06.05.01 Alcohol and Other Drugs Procedure**
- **SMS 06.06.01 Fatigue Risk Management Policy**
- **SMS 06.06.02 Fatigue Risk Management System**
- **SMS 06.06.03 – 06.06.07 Fatigue Risk Hours of Work Policies for each business unit (under development)**

### **2.5. PPE/ PPC**

Use of Personal Protective Equipment (PPE) or Personal Protective Clothing (PPC) is a method of control used to minimise the risks associated with exposure to a hazard. While PPE and PPC are important as layers of defence, other than for some highly specialised tasks where it may be a primary control against exposure risk (eg, asbestos-related work) in almost all other instances more robust controls should be considered first. For example: if the risk of a fall from height can be eliminated through design (rather than accepting a requirement to work at height while wearing a fall restraint as PPE) this should be considered. Keeping pedestrians and

moving vehicles separated is a more effective way of managing the risk of the vehicle running over the pedestrian, than the pedestrian wearing a high visibility vest.

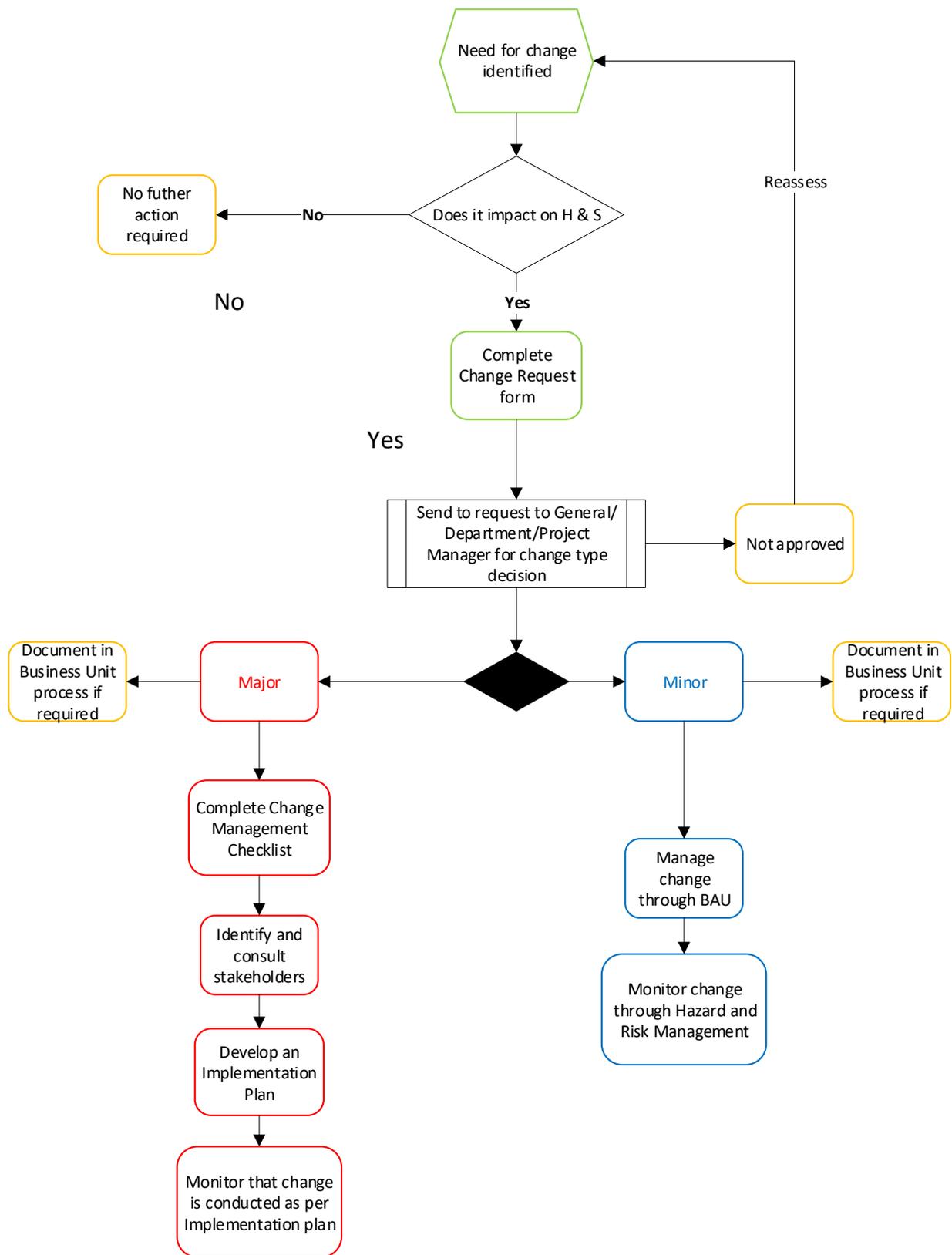
Auckland Airport is committed to ensuring all employees receive PPE/ PPC appropriate to their role. This includes receiving a briefing on the requirements of their PPE/ PPC including:

1. Selection and fitting;
2. Care and maintenance;
3. Renewal and replacement; and
4. Correct use/ wearing of PPE/ PPC.

Where specialist PPE/ PPC is required, or there is a legal requirement to use specialist PPE/ PPC, Auckland Airport will engage the services of a professional to train staff on the correct use of the PPE/ PPC.

## **2.6. Management of Change**

Auckland Airport has a Management of Change Procedure to help people who are responsible for implementing changes to identify and manage aviation and workplace safety, security and health risks – which can arise from temporary or permanent changes being made to the organisation, personnel, systems, procedures, equipment, products or materials. Auckland Airport's process for managing changes that could create or inflate safety or security risks is illustrated at a high level in the diagram below, and is described in detail in the Procedure:



**Refer to:**

- **SMS 08.00.01 Management of Change Procedure**
- **SMS 08.00.02 Management of Change Request**
- **SMS 08.00.03 Management of Change Checklist**

## 2.7. Incidents and Investigations

Auckland Airport has an Incident Notification, Reporting and Investigation Procedure in place for employees (and others with assistance from an Auckland Airport employee) to report aviation and workplace safety, security and health-related incidents, including new hazards, near misses, safety observations and incidents.

Auckland Airport manages aviation and workplace safety, security and health incidents through:

- taking immediate action following an incident to control the risk;
- reporting and investigating incidents in accordance with Auckland Airport's Incident Notification, Reporting and Investigation Procedure;
- reporting of relevant incidents to appropriate regulatory authorities;
- assigning corrective actions to relevant action parties, with timeframes for completion and reminders; and
- sharing the outcomes of incident investigations to learn from them and provide feedback into the workplace where the incident occurred, incorporate learnings into the SMS to continuously improve it, and to raise awareness.

### Refer to:

- **SMS 05.00.01 Incident Notification, Reporting and Investigation Procedure**

## 2.8. Working with Third Parties

Risks associated with the outsourcing of services and interfacing with a large number of businesses are a special risk category. Auckland Airport has "concurrent PCBU duties" with >800 other business entities, some of whom have their own sophisticated safety management systems, and others who require help to manage safety to a standard that is acceptable to us.

Auckland Airport's role in relation to other PCBUs is most commonly a duty of "due diligence". This means that Managers who have responsibilities over or relationships with third party PCBUs are expected to:

- make inquiries into the other PCBU's systems for managing safety and workplace health **before** we commit to a contract to pay for their goods or services – for example through our procurement processes and team;
- consult, communicate and co-ordinate activities with other PCBUs whose operations interface with ours, including by: sharing safety critical information; co-operating on incident investigations; through regular meeting and safety forums; and by working on joint continuous improvement initiatives – **throughout** the duration of our relationship; and
- **periodically** conduct assurance (e.g. safety audit) activities to give us confidence that the other PCBU's safety management remains fit for purpose and is not creating uncontrolled risk to any workers or other people, and we invite other PCBUs to do the same with us.

### **PCBU Procedure**

Auckland Airport recognises the need for a robust system to manage the aviation and workplace safety and health risks associated with the different types of PCBU relationships (e.g. contractors, tenants, licensees) and has developed the PCBU Policy and PCBU Procedure to provide direction to the company's employees who are accountable for managing these relationships.

### Refer to:

- **SMS 09b.01.01 PCBU Procedure**

## Contractor Management Procedure

Auckland Airport has developed a Contractor Management Procedure which sets out our commitment to applying good safety and workplace health practices as a client and ensuring the safety and health of all contractors to Auckland Airport and their workers. The management of contractors and their workers includes the following:

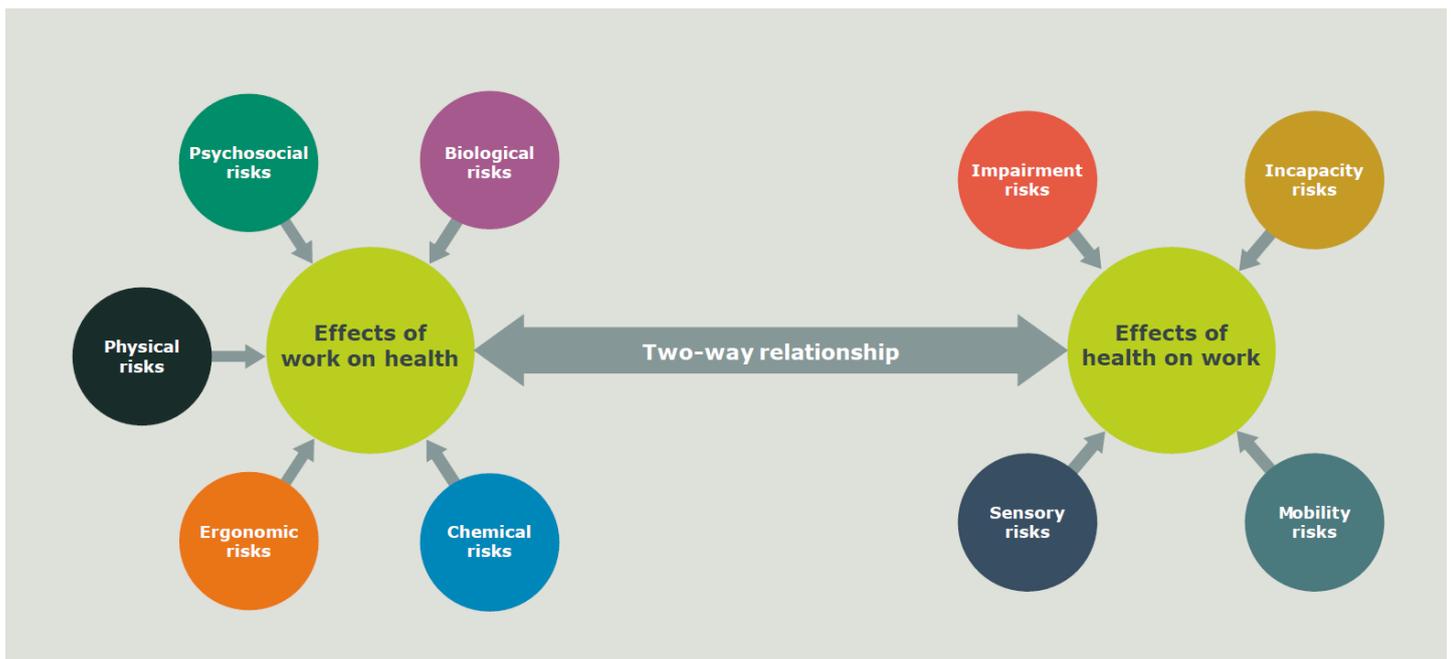
1. Prequalification of contractors
2. Tendering and contract letting
3. Contractor induction, monitoring and communication
4. Contractor review.

### Refer to:

- SMS 09b.02.01 Contractor Management Procedure
- SMS 09b.02.03 Contractor Health and Safety Management Agreement

## 2.9. Occupational Health

Auckland Airport recognises that there is a two-way relationship between work and health:



Having a healthy workforce is vital to our ability to operate safely, sustainably and successfully, therefore we have established certain processes to help ensure that employees are fit to do their work, and that we control any health effects people may suffer as a result of the work they do. These processes include:

### Pre-Placement Health Assessment

All new permanent employees are required to fill in a pre-placement health assessment questionnaire; this may be sent to a medical provider for assessment of results. Certain indicators on health assessment questionnaires may trigger a requirement for further medical assessment. Some roles at Auckland Airport automatically require a full “baseline medical” to be undertaken when the person first commences employment.

Candidates being considered for appointment to roles deemed 'Safety Sensitive' or who are required to work in safety sensitive areas are required to successfully complete a pre-employment alcohol and other drug test.

### **Health Monitoring**

Where hazards have the potential to impact on an employee's health, and/ or where a certain level of fitness or other physical capability is required in order to do the job safely and effectively, Auckland Airport monitors the effectiveness of the agreed controls, and/ or the health of the employee on an ongoing basis. Health monitoring can include assessing the job and/ or work environment for health hazards, e.g. exposure monitoring; and/ or monitoring employees' health on a periodic basis, e.g. audiometry testing for those regularly exposed to noise hazards, Covid-19 testing for those working in an airside environment where they may have contact with arriving international travellers. Health monitoring may also include preventive measures for some roles, e.g. vaccines administered to employees in certain roles where there is potential risk of exposure to a biological hazard.

### **Injury Management**

Auckland Airport is committed to assisting injured staff with their early and safe return to the workplace. Auckland Airport provides support to staff through injury management and rehabilitation processes. Injuries are evaluated on a 'case by case' basis to determine support required and if applicable, possible alternative duties.

### **Wellbeing**

We recognise that people bring their 'whole selves' to work each day. Auckland Airport provides a range of services and programmes to assist employees in managing the pressures and stresses of life and work. These include:

- An Organisational Counselling Programme ("OCP"), which is free for all employees and their families, confidential, and operates 24/7 throughout the year. Call 0800 377 990.
- A Harassment Officer who hears and investigates concerns about harassment or bullying in the workplace. Contact the Harassment Officer on 027 703 4727.
- A staff welfare programme which provides practical assistance to employees in times of need. Contact the Welfare Officer on 027 703 4727.

## **2.10. Safety Training and Competency**

Auckland Airport is committed to ensuring that all employees are trained and competent to do their work safely and has developed a Safety Training and Competency Procedure to support this. The Procedure sets out how the company ensures that all employees:

- have an informed awareness of the SMS, and understand the significance of the impact the SMS has on them and on the company's performance; and
- who carry out tasks where legislation requires specialist training or it is considered best practice, have received this training and hold the required certificates and/ or licences.

Employees occupying key safety roles receive additional, targeted training to maintain a high level of safety and security competence, as well as being provided with opportunities to understand industry trends, developments and best practices in safety management, for example through attendance at briefings, safety and industry forums, seminars and conferences - as appropriate to their individual role and organisational level.

### **Refer to:**

- **SMS 12.00.01 Safety Training and Competency Procedure**

## 2.11. Worker Participation

Auckland Airport actively encourages and supports worker participation in the management of safety, health and wellbeing. This comes from a strongly held belief in the importance of worker involvement (more than “consultation” alone) in promoting a positive safety culture. The involvement and co-operation of workers - including contractor workers as well as Auckland Airport’s own employees and volunteers - is key to the effectiveness of our safety management system (SMS) and to ensuring a safe, healthy, secure, productive and enjoyable workplace. Auckland Airport encourages worker participation through:

### Worker Representation

Each department conducts processes to identify workers who are keen and willing to act as formal representatives of their work group in all matters related to safety, security, health and wellbeing. Identified representatives receive NZQA-accredited training; they are empowered to perform duties conferred on them through the Health and Safety at Work (Worker Engagement, Participation, and Representation) Regulations 2016.

Our “**H&S Reps**” take on the role in addition to their normal duties and are a valued resource; the LT recognise their contribution as important and vital for the health of our safety culture. In addition to their statutory training and powers, Auckland Airport’s H&S Reps are involved in business activities, which may include:

- lead participation in workgroup safety meetings;
- the development or review of workgroup and corporate safety-related policies, procedures and guides;
- the annual Management Review of our SMS – which is a key input to annual Safety Action Plans;
- some management meetings (where appropriate);
- additional safety-related and personal development training;
- being responsible for the allocation of safety rewards; and
- inspections and investigations relating to aviation and workplace safety and health.

In addition, H&S Reps always have direct and unobstructed access to the Head of Health and Safety to share any safety-related issues, concerns and ideas.

### Intervening in unsafe situations or acts

All workers’ power to intervene when they see an unsafe act is communicated as a requirement of the job. Auckland Airport actively celebrates our safety champions through recognition and reward; this includes when a worker sees an unsafe situation or act and proactively intervenes to prevent harm. Rewards may include personal notes sent by senior managers, celebrations at team toolbox meetings, and/ or invitations to safety-related events.

### Developing job-specific safety practices

Workers who are performing the work are best placed to know the hazards and risks involved in the work. Auckland Airport prefers that safety-related practices (including documents) which are liable to have the greatest impact on whether work is performed safely or not, should be developed by the workers themselves. This includes:

- Hazard identification
- Hazard and Risk Registers
- Standard Operating Procedures, (sometimes called SOPs, Work Instructions or Standing Orders)
- Job Safety Analysis
- Identification of hazard and risk controls.

Training, guidance documents and templates are provided as part of the SMS to help ensure there is consistency across the business.

### **Toolbox meetings**

Work groups hold regular toolbox meetings (in some departments these are called Heartbeat, Pulse or Daily COG meetings) which always include a discussion on safety hazards, risks, incidents and concerns, and which recognise safety champions. These may be held daily, weekly or monthly depending on the work group and the risk profile of the role or functions they perform in the company. Notes of meetings are kept, and often circulated beyond the work group concerned.

### **Incident Review Committee**

The Incident Review Committee meets monthly and members are asked to bring forward and share relevant safety information from the department or division they represent. This may include emerging safety trends, questions, results of investigations, updates on corrective actions, results of significant audits etc.

#### **Refer to:**

- **SMS 05.03.01 Incident Review Committee Charter**

### **Reporting safety-related events**

All workers are encouraged to report injuries as well as safety or security incidents, near misses, hazards and risks that they witness themselves or that are brought to their attention by someone else. Employees who have access to a desktop computer or mobile device are able to log incidents directly into the corporate incident register Risk Manager. Where the technology is not readily available staff have access to hard copy and writable pdf versions of an incident report form. There are also available pocket-sized Q Cards for Volunteer Ambassadors to capture key incident information. Information captured on hard copy is transferred, into Risk Manager by a manager, supervisor or department administrator. Where relevant and practicable, the worker who reported the event will receive feedback on what has been done with the information they provided.

### **0800 You R Safe**

0800 You R Safe is a 100% anonymous way for Auckland Airport employees and all people who have access to airport premises to report any health, safety, security, environmental or HR concerns - 24/7, 365 days of the year. See it. Hear it. Report it. Speak up.

## **2.12. Document Control and Maintenance of Safety Management Documentation**

Auckland Airport's Document Control Procedure covers the development, control and maintenance of corporate SMS-related documentation. This is essential in ensuring that the approach to aviation and workplace safety and health is consistent across the whole organisation, and that all elements of the SMS remain current and relevant.

The current version of each SMS controlled document is available to managers and workers via The Radar. The SMS documents available on The Radar are the only current versions; therefore, printed copies - while useful for general reference - must not be relied upon.

#### **Refer to:**

- **SMS 03.00.01 Document Control Procedure**

### 3. Check

Measuring performance is essential to maintain an effective SMS, and to improve aviation and workplace safety and health performance.

#### 3.1. Monitoring and Measuring Safety Performance

Auckland Airport has a detailed procedure for actively monitoring and measuring safety performance. The Monitoring and Measuring Safety Performance Procedure sets out in detail Auckland Airport's processes for monitoring and measuring the performance of our Safety Management System (SMS), in order to:

- Understand how the system is operating in practice
- Identify areas where corrective action is required
- Provide a basis for continual improvement of the system
- Provide feedback to inform business planning activity and prioritisation of resources and organisational effort.

Data and information on the performance of the SMS is collected, monitored, measured, analysed and reported throughout the business. The performance data includes qualitative information as well as key statistical indicators that tell us to what extent we are achieving targets that have been set to help us achieve our safety objectives, i.e.:



**Objectives** set out the big safety goals we are striving to achieve, e.g. *“Zero Harm to anyone as a result of our operations so that everyone gets home safely every day”*.

**Targets** set out what are going to do in pursuit of our goals, e.g. *“Safety Observation reporting frequency rate (SOFR)  $\geq 300$ ”; or “Zero drive behinds”; or “Safety Culture index improvement of  $\geq 5\%$ ”*.

**Indicators** help us monitor and measure how well we are doing.

Each year company-wide safety targets are set. Our progress towards these targets is published on The Radar home page and reported regularly to the Leadership Team, relevant managers and our Directors.

We continuously monitor and report on a range of lead and lag measures (indicators) of aviation and workplace safety and health performance, including measures which are relevant to the company-wide safety targets set and reviewed annually by the CE. A small number of safety measures are considered to be of sufficient importance to the company that they are regularly reported to the Leadership Team and Board; many more are identified, monitored and reported at a Business Unit level. There are measures monitored and reported on a daily basis (e.g. via Daily COG Meeting Minutes; or Heartbeat Meeting Minutes) and others are formally reported monthly within the Business Unit and circulated wider afield as appropriate (eg, Operations and Engineering Monthly Dashboards).

#### Refer to:

- **SMS 07.00.01 Monitoring and Measuring Safety Performance Procedure**

## 3.2. Internal Audit Programme

The internal audit programme ensures that:

- The SMS is functioning in such a manner that all Auckland Airport operations comply with the requirements of CAA Part 100, the Health and Safety at Work Act 2015 and supporting legislation.
- All aspects of the SMS are implemented across Business Units.
- Workers are conversant with the elements of the SMS that directly affect their activities.
- Corrective action items from inspections, investigations and previous audits etc. are completed.

The auditor will compile a written report on each audit, together with any recommendations. The appropriate manager receives the report to circulate to all relevant stakeholders and implement corrective actions.

Periodically, the company engages independent external parties to verify the effectiveness of the SMS and auditing function itself.

### Refer to:

- **SMS 10.01.00 Internal Audit of Safety and Operational Risks**

## 3.3. Management Review

Auckland Airport's Leadership Team (LT) reviews the SMS annually to ensure its continuing suitability, adequacy and effectiveness. The management review addresses the possible need for changes to policy, objectives and other elements of the SMS, in light of audit results, changing circumstances and the company's commitment to continuous improvement.

A number of the requirements of the management review are met during other processes throughout the year, including monthly reporting to the Leadership Team and Board, quarterly meetings of the Board Safety and Operational Risk Committee (SORC), Incident Review Committee processes, Health & Safety Representatives periodic "all-up" meetings, and Business Unit-specific monitoring, measurement, reporting and improvement processes.

The management review is based on a wide range of information and data on the performance of the SMS, which is obtained from sources that cover the full extent of the company's operations, before being collated into a single report. The information and data sources include:

- The direct, unfiltered views of worker representatives (including front line team leaders) and any safety-related surveys;
- Views or concerns of concurrent PCBU duty-holders;
- Results of audits related to Auckland Airport's key safety risks, and any audits related to the performance of the SMS itself;
- Company-level safety objectives and targets (lead and lag measures);
- Aviation and workplace safety and health performance metrics and measures;
- Risk/ hazard identification and management;
- Statutory performance;
- Changes in the regulatory environment or external risk factors; and
- Any other relevant matters.

### Refer to:

- **SMS 11.00.01 SMS Management Review Procedure**

## 4. Act

Reviewing safety, security and health performance and acting on lessons learned is essential for continuous improvement of Auckland Airport's SMS and the safety culture.

### 4.1. Continuous Improvement

To achieve continuous improvement of our safety performance Auckland Airport commits to the ongoing application of good practices which include:

- The setting of employee safety accountabilities and performance reviews;
- A dedicated group health and safety team, as well as quality and continuous improvement-focussed roles in various business units;
- Developing comprehensive internal and external audit schedules and reviews;
- Ensuring investigations and risk assessments are used as opportunities to identify potential improvements;
- Incident review committee meeting monthly to review incidents and trends;
- Reporting of significant safety initiatives and serious incidents quarterly to the SORC;
- Annual management review of the SMS to ensure it is operating as designed and is effective;
- Benchmarking against industry and international best practice;
- Reviewing and where necessary adjusting policies, procedures or practices in response to significant changes in compliance requirements; and
- Incorporation of improvement opportunities into the annual Safety Action Plan.

### 4.2. Communication

In order to develop a world-class safety culture at Auckland Airport, aviation and workplace-related safety, security, health and wellbeing information is formally and informally communicated widely within the company and with other businesses operating here. Formal communication channels include:

#### Company Intranet "The Radar"

In the safety and health section of The Radar you can find:

- Important safety-related policies, procedures, templates and guides;
- Back issues of our safety newsletter 'SAHM Says' (previously 'Take Five');
- Safety Alerts issued by our safety teams, and also relevant Safety Alerts shared with us by others (as well as any security alerts);
- Links to external websites where useful safety resources can be found (e.g. CAA, WorkSafe NZ, ICAO, Skybrary, Business Leaders Health and Safety Forum etc.);
- Contact information for the company's employee counselling programme OCP; and
- General aviation and workplace safety and health resources including links to videos, publications and presentations.

#### Leadership Team (LT) meeting cascades

The Auckland Airport LT meets every week and safety, health and/ or wellbeing is always on the agenda. Safety-related information discussed at these meetings is cascaded to senior managers by the General Managers. Senior managers cascade important aviation and workplace safety and health information to their teams as part of their safety leadership accountabilities.

## **Monthly all-up Staff Briefings**

Members of the Leadership Team hold multiple staff briefing sessions in different locations around the airport each month.

These staff briefings are an opportunity for the LT to share important aviation and workplace safety, security and health information and for employees to bring up any concerns to a member of the LT.

During the new ways of working under Covid-19 these monthly all-up staff briefings have been replaced with weekly company calls via Microsoft Teams which are led by an LT member and include safety-related subjects.

## **Safety Newsletter “SAHM Says”**

Periodically the safety team publishes a newsletter which includes a mix of general safety, health and wellbeing information, safety performance indicators, and usually a focus story on a serious incident, near miss or other important and topical safety, security, health or wellbeing issue of importance to the company.

## **Safety Alerts**

Where required, the Health and Safety team issue Safety Alerts to share information about serious incidents or near misses. A Safety Alert usually includes what happened, what caused it, and what is being done to prevent it happening again. Safety Alerts may be published by the Auckland Airport health and safety team, or by other businesses operating on the airport or whose operations have similarities to our own. Safety alerts are sent directly to relevant stakeholders through email. Other teams also publish safety or security alerts from time to time, eg, the Airport Safety and Security Team, Operations Risk and Assurance Team, or Airport Emergency Services.

## **Airport Business Meetings**

Meetings are regularly held with other businesses operating on the airport, either singly or in groups. As well as one-to-one communication between Auckland Airport and other businesses, there are group meetings covering:

- Contractors performing work for the airport;
- Safety-critical partners (e.g. airlines, ground handlers, border agencies, Police, aircraft fuel suppliers);
- In-terminal retailers and
- Commercial property tenants.

The Auckland Airport senior manager(s) who “owns” relationships with the other business(es) is responsible for scheduling, arranging, and hosting these meetings. Sometimes the sole focus of these meetings is safety, health and wellbeing, other times they are one item on an agenda covering a wider range of subjects.

In the event that it is important to share safety information urgently to relevant stakeholder, email is the preferred method of communication.

## **Safety Campaigns**

From time to time Auckland Airport runs special campaigns to create awareness of, highlight or celebrate some aspect of aviation and workplace safety and health. Individual workers, departments or the H&S team can initiate safety campaigns and communicate these to the intended audience at the time.

## Definitions

Term	Definition
<b>ALARP</b>	<p>'As Low as Reasonably Practicable.' The <b>ALARP</b> principle is that the residual risk shall be reduced as far as reasonably practicable.</p> <p><b>ALARP</b> has been replaced in the HSW Act 2015 with So Far as Reasonably Practicable ('<b>SFARP</b>'), but in the context of the Auckland Airport SMS both terms are considered to have an equivalent effect in their practical application.</p>
<b>Apron</b>	The part of the aerodrome, other than the manoeuvring area, intended to accommodate the loading and unloading of passengers and cargo, the refuelling, servicing, maintenance and parking of aircraft, vehicles and pedestrians necessary for such purposes.
<b>Audit</b>	Formal compliance check against a pre-set standard of performance.
<b>Contractor</b>	A person or organisation engaged by an Auckland Airport Contractor Manager to provide goods, services or works for gain or reward.
<b>Daily COG Meeting</b>	Daily Collaborative Operations Group meeting. The COG comprises a variety of stakeholders involved in Auckland Airport operations.
<b>Drugs</b>	Substances which are illicit or restricted drugs, drugs covered by Psychoactive Substances Act and some currently legal drugs which have the potential to cause impairment. The term "drug" includes (but is not limited to) cannabis and hashish, opiates (such as heroin, morphine, desomorphone (krokodil)) cocaine, amphetamine type substances (speed, "P", ecstasy and party pills containing benzylopipezine), synthetic cannabinoids (eg K2, kronic, spice, fake weed), cathinone derivatives (bathsalts), kava, LSD, NBOMe and other phenylethylamine psychedelic substances. The term also includes misuse of some prescription drugs (eg tranquillisers, sedatives, oxycodone) and other currently legal party pills and herbal highs. Other "mind altering" substances can be added to the testing suite as they become available and are misused.
<b>Hazard</b>	A source or situation for potential harm to people (injury or illness), aircraft operations, property, or the environment, or a combination of these.
<b>Heartbeat Meeting</b>	Engineering Services daily meeting (includes safety and health related discussions).
<b>Incident</b>	An event where there has been or is the potential for a negative impact on people (injury or illness), aircraft operations, property, or the environment, or a combination of these. Includes any that are considered reportable by regulators ("Occurrences" or "Notifiable Events").
<b>JSA</b>	Job Safety Analysis. A step-by-step assessment of the tasks to be completed, the risk and hazards identified with each task and the controls that are required to be in place prior to commencement and for the duration of the task.
<b>Near Miss</b>	An incident that results in minimal (or no) harm or damage, which, in different circumstances had the potential to cause harm/ damage.

Term	Definition
<b>ORAT</b>	Operational Readiness and Airport Transfer. A structured process for handing over a major new service from installation/construction to live operation. Includes preparations to open, operate, manage and maintain the new service, as well as opportunity to make changes and adjustments ahead of the formal opening to assure success.
<b>PCBU</b>	Person Conducting a Business or Undertaking. Any company, organisation or individual that are undertaking any types of business or business-like undertaking.
<b>Policy</b>	A Policy describes the rules that establish what will or will not be done and can range from a broad philosophy to specific rules. It includes what the rule is, why it exists, when it applies and who it covers.
<b>Procedure</b>	A set of established steps, methods, or actions that describe how to perform, effect, or conduct an act of business. A Procedure is repeatable and its result is usually measurable. Corrective actions may be taken to correct Procedure problems and/ or improve Procedure performance.
<b>Pulse</b>	Airport Emergency Services Daily Meeting (includes safety and health related discussions).
<b>Risk</b>	A measure of a hazard's significance in terms of the potential Severity of the consequences, and the Likelihood of occurrence.
<b>Risk Assessment</b>	A formal process using Auckland Airport's Risk Assessment Matrix, which assesses the actual or potential harm associated with a hazard.
<b>SOP</b>	Standard Operating Procedure. A Standard Operating Procedure (or SOP) addresses a single work process and how to undertake it. May also be referred to as a work instruction (WI) or Standing Order (SO).
<b>The Radar</b>	The company intranet. Click the internet explorer logo on your desktop to open. The entire SMS lives under the  button on the home page.
<b>Workplace</b>	Any location where work is being carried out by or on behalf of Auckland Airport, includes but is not limited to offices, terminals, grounds, the airfield, construction sites, vehicles, vessels, roadways and remote sites.

## Appendix A

### SMS Documents

SMS Number	Description
00.00.00	Safety and Health Management Manual (S.A.H.M)
01.00.01	Safety Policy Statement
01.02.01	Just Culture Procedure
02.00.01	Introduction to Emergency Planning and Response
03.00.01	Document Control Procedure
03.01.02	Policy Template
03.01.03	Procedure Template
05.00.01	Incident Notification, Reporting & Investigation Procedure
05.01.00	Notifiable Events Procedure
05.01.03	Incident Report Form
05.03.01	Incident Review Committee Charter
06.01.01	Hazard & Risk Management Procedure
06.01.02	Risk Assessment Matrix
06.01.03	Standard Operating Procedures Writing Guidelines
06.01.04	Job Safety Analysis Writing Guidelines
06.01.05	Job Safety Analysis Template
06.01.06	Risk Assessment Workshop Guidelines
06.01.07	Hazard Identification & Risk Control Checklist
06.01.08	SOP Template
06.01.09	Hazard and Risk Register Template
06.01.31	Confined Space Requirements
06.01.32	Working at Height Requirements
06.01.33	Hot Work Requirements
06.01.34	Excavation Requirements
06.02.03	Permit to Work Application Certificate

SMS Number	Description
06.02.04	Permit to Work Manual
06.02.05	Permit to Work Rescue/Recover Plan
06.02.07	Confined Space and Hazardous Atmosphere Workspace Testing
06.02.17	Permit to Work Contacts list
06.04.12	Equipment Isolation Checklist
06.05.00	Alcohol & Other Drugs Policy
06.05.01	Alcohol & Other Drugs Procedure
06.05.02	Consent for Pre-Employment/Pre-Placement Breath Alcohol and Urine Drug Testing
06.06.01	Fatigue Risk Management Policy
06.06.02	Fatigue Risk Management System
06.06.03 to 07	Fatigue Risk Management Hours of Work Policies (under development)
06.07.04	Prescription Safety Glasses procedure
06.07.05	Prescription Safety Glasses Application form
06.09.01	Asbestos Management Procedure
07.00.01	Monitoring & Measuring Safety Performance Procedure
08.00.01	Management of Change Procedure
08.00.02	Management of Change Request Form
08.00.03	Management of Change Checklist
09b.01.00	PCBU Policy
09b.01.01	PCBU Procedure
09b.02.01	Contractor Management Procedure
09b.02.02	Contractor/Supplier H&S Pre-qualification
10.01.00	Internal Audit of Safety and Operational Risk
11.00.01	SMS Management Review Procedure
12.00.01	Safety Training and Competency Procedure
12.00.02	Health and Safety Induction Checklist