Government of **Western Australia**
Department of **Mines, Industry Regulation and Safety**
WorkSafe

WorkSafe Plan

Information and workbook

For assessment of workplace safety and health management.

WORKSAFE

commission
for occupational
safety and health

WorkSafe Plan

The WorkSafe Plan is for organisations with workplaces under the jurisdiction of Western Australian safety and health legislation. The WorkSafe Plan may be used as a management tool for organisations outside the jurisdiction of WorkSafe, but those organisations are not eligible for Certificates of Achievement issued by the Department of Mines, Industry Regulation and Safety.

This guide is for use by Assessors and others who are familiar with how to conduct a workplace assessment and apply the WorkSafe Plan rating method.

For more information on the WorkSafe Plan visit the WorkSafe website www.worksafe.wa.gov.au.

Acknowledgements

WorkSafe Plan was originally based on a scheme administered by WorkCover Corporation in South Australia.

WorkSafe acknowledges the use of material developed by WorkSafe Victoria in relation to establishing safety and health management systems.

Appendix One – Ratings table is based on materials developed by Industrial Foundation for Accident Prevention WorkSafe Plan Assessor training and 3CM Pty Ltd /Safety Paradigms Pty Ltd Joint Venture WorkSafe Plan Assessor training.

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Contents

Introduction

The WorkSafe Plan is an assessment process that rates safety and health management systems and directs attention to areas that could be improved. The WorkSafe Plan is not intended to prescribe how to manage safety and health, but to provide a systematic way of measuring how well it is being managed.

The WorkSafe Plan is suitable for organisations of all sizes and can be used to:
- provide information on desirable safety and health management practices;
- identify strengths and weaknesses in safety and health management systems;
- provide a measure for safety and health performance;
- implement a cycle of continuous improvement;
- compare performance with organisations in the same industry; and
- gain recognition for standards achieved in management of the organisation's safety and health systems.

Identifying hazards, assessing risks, implementing risk controls and monitoring/review of controls form the basis of safety and health management programs. Safety and health management also requires a demonstrated commitment by senior people in an organisation to set objectives, oversee planning and implementation, consider feedback and continuously improve the safety and health management system.

Safety and health management is not isolated from the way an organisation conducts its day to day activities. Safety and health issues can affect purchasing of goods and services, recruitment and induction of staff, internal communications, equipment maintenance and records management. It is preferable that safety and health management systems are integrated with other functions, such as quality and environmental management, as a properly developed system that seeks to get safety and health into the mainstream activities of the organisation.

The WorkSafe Plan is not meant to replace other safety management system audit tools but is complementary to them which provide opportunities for joint certification for the following Occupational Health and Safety Management System certification standards:

- AS/NZS 4801:2001
- National Self Insurer OHS Audit Tool (NAT)
- OHSAS 18001:2007
- SafetyMAP

WorkSafe Plan Elements

The WorkSafe Plan has five elements and each one has a standard that describes the performance expected for that element. The five elements are:

- Management commitment;
- Planning;
- Consultation and reporting;
- Hazard management; and
- Training and supervision.

Each element has a number of indicators that are used to measure the extent to which the standards have been achieved.

The WorkSafe Plan elements, standards and indicators are summarised in the following table.

WorkSafe Plan Table

Elements	Element One Management Commitment	Element Two Planning	Element Three Consultation and Reporting	Element Four Hazard Management	Element Five Training and Supervision
Standards	There is commitment to achieving high standards of safety and health performance through effective safety management	Planning is used to establish and maintain an integrated safety and health management system that is set up to continuously improve safety and health performance across all operational activities	Mechanisms are in place for consultation and reporting on safety and health matters and are working effectively.	An effective system is in place to identify hazards, assess and control risks associated with the organisation's activities, processes, products or services.	Training and supervision is organised to reduce the risk of work-related injury and disease and is evaluated to ensure its effectiveness.
Indicators	1. There is a documented safety and health policy that is reviewed on a regular basis. 2. The safety and health policy is available to workers, suppliers, contractors, customers and visitors to the workplace. 3. The organisation identifies and monitors safety and health legislation, codes of practice, guidance notes, agreements and guidelines relevant to its operation. 4. There is a process that makes all parties aware of and accountable for their safety and health responsibilities.	1. The organisation's approach to safety and health management is planned and reviewed. 2. Specific safety and health objectives and measurable targets have been established for relevant functions and levels within the organisation. 3. Arrangements are in place for people with special needs. 4. Arrangements for visitors to the workplace are in place. 5. Policies and procedures for engaging and managing contractors are in place.	1. There are agreed procedures for involvement and consultation with workers on safety and health issues. 2. Consultative arrangements are communicated to workers and are well understood. 3. Workers or their representatives are involved in planning processes for the management of safety and health at the workplace.	1. Requirements for reducing risks are understood by management and workers. 2. Work environments are regularly inspected and hazards identified. 3. Work activities are analysed and hazards identified. 4. Risk assessments are undertaken on identified hazards. 5. Hazards are prioritised and controlled using the hierarchy of controls and having regard to the identified level of risk.	1. An induction program is in place for all workers and contractors providing relevant OSH instruction and information. 2. All management and supervisory personnel have received training in health and safety management principles and practices appropriate to their role and responsibilities. 3. The organisation has identified the training needs of all workers. 4. Tasks are allocated according to capability, level of training and supervision of workers.

5. The organisation coordinates safety management activities. 6. Financial and physical resources are provided for all aspects of safety management. 7. All workers have sufficient time to complete safety and health related tasks. 8. Recommendations to improve safety and health management are acted upon.	6. Potential emergency situations have been identified and relevant emergency procedures are in place. 7. The organisation's procedures, work instructions and work practices reflect current safety and health legislation, standards, codes of practice, guidance notes, agreements and guidelines. 8. All workers have access to current legislation, standards, codes of practice, guidance notes, agreements and guidelines that impact on their activities. 9. The organisation and individuals satisfy legal requirements to undertake specific activities, perform work or operate equipment.	4. Workers or their representatives are consulted regarding proposed changes to the work environment processes or procedures and purchasing decisions that could affect their safety and health. 5. Workers or their representatives are consulted regarding management of hazards in the workplace. 6. There are arrangements in place for the acquisition, provision and exchange of safety and health information with external parties, including customers, suppliers, contractors and relevant public authorities. 7. Consultative and reporting arrangements are regularly evaluated and modified where required.	6. The effectiveness of the hazard identification, risk assessment and risk control process is periodically reviewed and documented. 7. Incidents, injuries and diseases are reported and investigated.	5. Training is delivered by people with appropriate knowledge, skills and experience. 6. The training program is evaluated and reviewed. 7. Supervision is undertaken by people with appropriate safety and health knowledge, skills and experience

How the WorkSafe Plan is used

The WorkSafe Plan ratings can provide information on the extent to which the organisation has implemented a systematic approach to the management of safety and health and the extent to which it is complying with legislative requirements.

A competent person within the organisation can use the WorkSafe Plan to undertake an internal assessment of safety and health management to identify what needs to be done and make improvements. A competent person is a person who has undertaken training in the audit of safety and health management systems.

If an organisation wishes to request a WorkSafe Plan Certificate of Achievement, issued by the Department of Mines, Industry Regulation and Safety, an independent, qualified Assessor must complete an assessment and rate the safety and health management system.

Comparison across industry.

WorkSafe provides frequency and incidence rates for lost time injuries and diseases. The information is updated annually and is on the WorkSafe website at www.worksafe.wa.gov.au.

An organisation is able to calculate frequency and incidence rates and these can be compared with the rates for each sub-industry.

Tenders and contracts

Use of the WorkSafe Plan helps organisations tendering for contracts as it demonstrates that comprehensive safety and health management systems are in place.

Further information

WorkSafe's website www.worksafe.wa.gov.au contains more about the WorkSafe Plan. The information includes:

- the WorkSafe Plan information and workbook;

- Platinum, Gold and Silver Certificates of Achievement that have been presented to organisations in Western Australia;

- a list of current independent WorkSafe Plan Assessors; and,

- the work-related injury and disease statistics used as benchmarks for WorkSafe Plan Certificates of Achievement.

WorkSafe Plan Certificates of Achievement

WorkSafe encourages best practice by presenting WorkSafe Plan Certificates of Achievement to organisations that have undertaken an independent assessment and have achieved high ratings in each element of the WorkSafe Plan and rates of work-related injury and disease that are reducing, or kept at low levels.

WorkSafe Plan Certificates of Achievement are presented at three levels: Silver, Gold and Platinum. Silver Certificates are for organisations meeting minimum standards. Gold Certificates are for organisations demonstrating good progress toward a best practice approach to safety and health management, and Platinum Certificates are for those organisations that achieve the highest standards.

Undertaking the assessment

Where an organisation operates across a number of workplaces/locations under the control of the organisation, the organisation's safety management system is the same in each workplace/location and there is centralised control over OSH matters, a WorkSafe Plan Certificate of Achievement may be awarded to the organisation, specifying those areas of the organisation that have been assessed by an independent assessor.   Should an organisation choose to undertake further independent assessments across other areas of the organisation following the awarding of a Certificate, other Certificates may be issued provided that each area meets the level previously awarded.

> Example: Company A has five separate locations across the metropolitan area, one in the South-West and one in the Gascoyne. The organisation has an OSH management system that applies to all the locations. There are standard tools and procedures that are implemented by managers in each location. There are safety and health representatives in each location, but representatives from these locations participate in an OSH committee that controls decision making on policy and procedures, budget allocations for safety initiatives etc.

Where an organisation operates across a number of workplaces/locations under the control of the organisation and the management and control of safety and health issues is vested at each location/workplace, then a WorkSafe Plan Certificate of Achievement may be awarded to each separate location that has been assessed by an independent assessor. This may result in a range of different levels of certification across an organisation as a whole.

> Example: Company B has three separate locations across the metropolitan area, one in the Great Southern and one in the Pilbara. The organisation has an OSH management system and an overarching policy on safety and health that applies to all the locations. The Manager in each location is responsible for implementation of the OSH management system, budgeting for OSH initiatives and decisions on OSH matters at the local level in consultation with safety and health reps and committees where they exist.

Where an organisation undertakes a business activity that requires employees or contractors to be at a range of locations in a typical work period that are not controlled by the organisation , the nature of the work performed is the same and the control over the work process and safety management rests with the organisation centrally (ie. pest control, contract cleaning, couriers, building contractors) a WorkSafe Plan Certificate of Achievement application may be made for that organisation as a whole, based on an assessment of the work process through random sampling by the Assessor.

> For example: An Assessor may accompany a pest controller's or a contract cleaner's employees to a range of locations to observe the activities and ensure that the safety management system is operative at the workface.

Note: The decision to award a WorkSafe Plan Certificate of Achievement rests with WorkSafe. An independent assessment undertaken of safety systems does not automatically guarantee a Certificate will be awarded.

Assessors

Independent Assessors are required to be well qualified and experienced safety and health professionals. Whilst anyone who has experience in auditing safety and health systems can use the WorkSafe Plan, Assessors seeking WorkSafe Plan Certificates of Achievement on behalf of organisations are required to have:

- Minimum certification as a Principal or Lead OSH Auditor for safety and health management systems from Exemplar Global, IRCA or an equivalent body, and

- Undertaken an information session on using the WorkSafe Plan.

Note: WorkSafe Plan Assessors registered with WorkSafe prior to 2010 meet the requirements.

A Principal OHS Auditor grade recognizes that an applicant has satisfied the criteria for Auditor certification and, in addition, has demonstrated the ability to conduct audits either alone or as a member of a team.

Applying for a Certificate of Achievement

Upon application for a WorkSafe Plan Certificate of Achievement on behalf of an organisation, the Assessor must submit the following information to WorkSafe:

(iii)   Statistical information that confirms that the organisation meets the requirements for reduction/maintenance of low rates of injury and disease;

(iv)   Organisational details (Appendix Three);

(v)   Confirmation that no conflict of interest exists between the Assessor and the organisation ie. that the Assessor is independent and impartial.

to ensure that the Assessor has:

- observed the work processes to verify documented systems and procedures are operative at the workplace level;

- interviewed a representative sample of front line supervisors, line managers, employees, contractors, safety committee representatives, safety and health representatives and if applicable, visitors to the workplace;

- adequately identified the sources of information (documents, interviews, observations) for each indicator;

- adequately assessed the safety and health management systems at the organisation in line with the five elements of the WorkSafe Plan Assessment; and,

- correctly established the overall level of performance of an organisation and their eligibility for a WorkSafe Plan Certificate of Achievement.

Serious incidents and WorkSafe investigations

In the event of a serious incident or injury or the possibility of legal action being taken against the organisation for breach of obligations under work safety legislation, applications for WorkSafe Plan Certificates of Achievement are not considered until all investigations and legal proceedings associated with the matter are finalised.

Should an organisation be successfully prosecuted by WorkSafe, an application for a WorkSafe Plan Certificate of Achievement will not be considered until twelve months has lapsed from the date of decision.

If a fatality or serious injury or disease occurs at an organisation where the organisation already has a WorkSafe Plan Certificate of Achievement, the validity of the certificate will be reviewed by WorkSafe.

Validity of WorkSafe Plan Certificates of Achievement

WorkSafe Plan Certificates of Achievement are valid for 2 years from date of issue. Organisations are able to reapply for a new Certificate at the same level after 2 years, provided that a review to confirm the validity of the original assessment is undertaken by an independent Assessor.

Applications for higher level WorkSafe Plan Certificates of Achievement must be submitted by an independent Assessor, following a reassessment of the organisations performance against the required criteria.

Verification of assessments

Applications by Assessors for WorkSafe Plan Certificates of Achievement may be subject to random verification by WorkSafe auditors.

The WorkSafe Plan rating method

Processes for Assessment

Prior to undertaking the assessment, the Assessor will establish the nature of the organisation, and the size and location of the organisation's workplaces seeking recognition. The Assessor will determine the method of assessment based on the company's activities, locations and degree of control over occupational safety and health management/decision making at the local level.

The Assessor will review documentation and verify the information by interviewing people at each workplace/location. The interviews may include managers, workers, safety and health representatives, safety and health committee members, contractors and visitors.

Ratings method

Each of the 38 indicators in the WorkSafe Plan is given a score out of ten and the total score for each element is averaged to provide a rating of performance for the element. The rating is expressed as a percentage. The lowest scoring element determines whether the overall performance is exemplary, proficient, satisfactory or inadequate. Appendix One contains the criteria to be applied by the Assessor for each score. Appendix Two contains a summary sheet for the scores applied by the Assessor.

Before proceeding with a request for WorkSafe to issue a WorkSafe Plan Certificate of Achievement, an Assessor should check that the organisation meets the following criteria.

THE WORKSAFE PLAN CRITERIA			
Requirement	Platinum Certificates	Gold Certificates	Silver Certificates
WorkSafe Plan ratings and report.	Ratings of 90% or more in every element.	Ratings of 75% or more in every element.	Ratings of 60% or more in every element.
AND			
Reductions in rates of lost time injuries and diseases over three financial years.	A zero rate or a minimum 15% annual reduction in either the incidence rate or frequency rate of lost time injury and disease.	A zero rate or a minimum 15% annual reduction in either the incidence rate or frequency rate of lost time injury and disease.	A zero rate or a minimum 10% annual reduction in either the incidence rate or frequency rate of lost time injury and disease.
OR			
Achievement of low rates of lost time injuries and diseases over three financial years of operation of the business or undertaking.	An incidence or frequency rate of lost time injury and disease that is less than 75% of the sub-industry benchmark rate published on the WorkSafe website		An incidence or frequency rate of lost time injury and disease that is less than the sub-industry benchmark rate published on the WorkSafe website
OR			
Other significant lost time injury and disease performance.	If a business or undertaking has been operating for more than one year but less than three years, WorkSafe must be satisfied that information and data available from the commencement of business clearly demonstrates that injury and disease rates have been reduced or maintained at low levels.		

The information required by WorkSafe to assess statistical information is as follows:

- For the last three financial or calendar years:
  - the total number of lost time injuries and diseases; and
  - the total number of workers and/or the total number of hours worked across the business or undertaking being assessed.

The industry benchmark rates used by WorkSafe for the purposes of issuing WorkSafe Plan Certificates of Achievement are available at www.worksafe.wa.gov.au

WorkSafe Plan Workbook

Please note: The examples provided within this workbook are indicative and the Assessor must look for examples that are appropriate to the organisation/workplace being assessed.

Element one: Management commitment

'Management' refers to an individual or group in the organisation that has the authority and responsibility to make key decisions about the business of the organisation. This may include company directors. Management of the organisation may be undertaken by the employer and other people who have duties to manage or supervise parts of the business.

Management commitment is an essential ingredient needed by an organisation to build a safe and healthy workplace for everyone - workers, contractors, customers and visitors.

Where safety and health management is taken seriously, management will:

- have a safety and health policy that increases awareness and understanding of the organisation's high level of commitment to safety management;
- promote high standards of achievement;
- lead by being personally involved in safety management activities;
- understand relevant safety and health laws and make arrangements for the organisation to comply with them;
- identify the organisation's safety and health objectives;
- allocate adequate resources to achieve the objectives;
- assign competent people to safety management activities; and
- receive regular reports on the application of policies, procedures and systems.

Standard No.1

There is commitment to achieving high standards of safety and health performance through effective safety management.

Use the indicators below to rate the organisation's performance against Standard No. 1.

Answers to each indicator should be supported by evidence to show what action has been taken. For every indicator, information about the way the safety management system is set up should be checked in the workplace to confirm that the system is working properly.

Indicator 1.1

There is a documented health and safety policy that is reviewed on a regular basis.

Guidance

There should be policy documents that identify the employer and make it clear that the employer, whether an individual or corporate entity, understands and accepts relevant responsibilities under safety and health laws.

- As a minimum, the policy should contain:
- a statement regarding the organisation's commitment to high standards of safety and health;
- a statement that the employer understands and accepts responsibilities set out in safety and health laws;
- the safety and health objectives for the organisation;
- the employer's signature; and
- the date of issue or re-endorsement.

The process used to achieve this outcome should be well documented. The policy may contain additional information from the planning process, such as the broad strategies to be used to achieve the organisation's objectives. It may be developed consultatively and signed by a worker representative to demonstrate high level commitment to consultative management.

The policy should be reviewed every 12 months, or earlier if necessary, and continuously improved to keep up with current developments in the law, safety management or changes in the culture and policies of the organisation.

Examples of evidence

(i) Signed work health and safety policy statement, identifying the responsible parties
(ii) Previous policies are retained to demonstrate regular 12 monthly review
(iii) Terms of reference for development of the policy
(iv) Safety and health and induction manuals/training cover the current policy

Page 51
- Evidence to support rating
- Rating for indicator 1.1

Indicator 1.2

The safety and health policy is available to workers, suppliers, contractors, customers and visitors to the workplace.

Guidance

The organisation should have a process to provide the policy to every worker, contractor and visitor to the workplace. The process should ensure that the policy is read and understood. Where necessary, there should be special arrangements for people who cannot read English for any reason.

Workers do not have to have a personal copy of the policy, but they should have access to a copy within a reasonable time. The policy could be accessible via a computer system or other means. Contractors may have their own safety and health policy statement, however, they also need to understand the policy of the principal employer at the workplace.
Suppliers, customers and visitors should be made aware of the policy and how it applies to them in the workplace.

Examples of evidence

    (i)   Workers and contractors confirm that they are aware of the policy, they have seen it, they know what is in it and the policy is easily accessible if they want to read it again

    (ii)   A process is in place to ensure suppliers, customers and visitors are aware of the policy and how it applies to them in the workplace

    (iii)   The policy statement is written into safety management plans.

    (iv)   Policy is explained during induction training

    (v)   Reviews of policy are circulated as 'draft' documents for the safety and health committee and safety and health representatives and others in the workplace who are affected by the policy to make comment

    (vi)   The policy is discussed at team meetings, particularly when there is a review being undertaken

    (vii) The policy is displayed on noticeboards or areas of high visibility in the workplace

Indicator 1.3

The organisation identifies and monitors safety and health legislation, codes of practice, guidance materials, agreements and guidelines relevant to its operation

Guidance

There are legal requirements that directly apply to organisations. Guidance is made available as codes of practice, guidelines or standards. The organisation should be aware of those agreements and guidelines that are applicable to its operations and how they relate to the work activity, workers, contractors and suppliers.

Examples of evidence

(i)   Safety information retained and utilised within the workplace is current

(ii)   Changes to legislation, standards, codes of practice, agreements and guidelines generate a consultative review of existing procedures involving management, safety and health committees, safety and health representatives and others in the workplace who are affected by the change

Indicator 1.4

There is a process that makes all parties aware of and accountable for their safety and health responsibilities

Guidance

A proactive safety culture should be in place within the workplace demonstrated by the employer's leadership. Underlying this culture there should be an understanding throughout the organisation of responsibilities and that safety and health is not compromised by the need to 'get the job done'.

The employer, managers and supervisors should understand the benefits of active involvement in safety and health management and participate in key activities including training, planning, setting objectives, evaluating and reviewing organisational performance.

For workers and contractors to be accountable, they should have the authority and the resources to achieve the objectives set for them. Everyone should understand their safety and health duties. It is not sufficient for an employer to tell someone they are accountable, without setting up the processes that are necessary for the system to work properly.

Every worker will have some responsibility, even if it is simply to meet the employees' general duty in safety and health laws. The accountability processes should include an individual check to ensure these responsibilities are understood and taken seriously. There should be processes to support accountability for safety and health performance at all levels in the organisation.

Examples of evidence

    (i)   Documentation of individual management responsibilities for safety and health

    (ii)   Personal letter/contact from senior management with contractors and new workers

    (iii)   Participation/representation of senior management in safety and health committees, reviews and evaluation of performance

    (iv)   Management attendance at safety and health training courses

    (v)   Recognition of safety and health achievements

    (vi)   Induction training records for managers, workers and contractors

    (vii)   Job descriptions containing safety and health accountability statements

    (viii)   Workers and contractors confirm that the system is working at all levels

Page 52
- Evidence to support rating
- Rating for indicator 1.4

Indicator 1.5

The organisation coordinates safety management activities.

Guidance

The employer may appoint a safety coordinator and delegate responsibility for day-to-day activities. However, the fact that someone is coordinating safety activities, should not be seen as reason for senior management to withdraw from any further active involvement in safety management.

Examples of evidence

Where a safety and health coordinator is appointed there is:
- a job description;
- job development planning;
- measurable objectives for performance of the role; and
- documented accountability and lines of reporting to senior management.

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- Evidence to support rating
- Rating for indicator 1.5

Indicator 1.6

Financial and physical resources are provided for all aspects of safety management

Guidance

Financial and physical resources should be provided to allow the implementation of decisions regarding safety and health.

Decisions on ways to reduce risk should not be based on cost alone or deferred because resources are not available. Proper planning should ensure that resources are available when they are needed. It is acceptable to implement risk controls progressively to spread the cost over time, provided this is done following proper assessment of risks with high priorities addressed within a reasonable time.

Resources should cover direct costs, such as the provision of safety equipment, the use of safety and health specialists and the cost of training. Costs that may be less obvious should also be covered, such as funds to purchase alternative machinery or substances that may cost slightly more but reduce the risk of work-related injury or disease.

Resources also include the provision of information that is up-to-date and competent, use of competent people, who may be from inside or external to the organisation.

Time is also a resource, but it is covered by indicator 1.7 and should not be scored here.

Examples of evidence

(i)   An annual budget or project budget based on an organisation's plan for achieving safety and health objectives

(i)   Dissemination of safety and health budget information to safety and health representatives and committees

(ii)   Strategic planning documentation

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- Evidence to support rating
- Rating for indicator 1.6

Indicator 1.7

All workers have sufficient time to complete safety and health related tasks

Guidance

Active and continuous improvement in safety management will demonstrate commitment and reinforce the message that, if safety management is to be successful, it is important for everyone to allocate time to safety management. Time management processes would be well documented, monitored, reviewed and continuously improved. In situations where lack of time is a problem, there should be effective processes to correct the situation before a person fails to complete a safety and health related task on time.

Supervisors and managers, workers, contractors and safety and health representatives should be confident that the system is working and, as a general rule, enough time should be available for them to complete the safety and health tasks allocated to them.

Examples of evidence

(i)   Supervisors and managers, workers, contractors and safety and health representatives confirm that sufficient time is available for completion of safety and health related tasks

(ii)   Allocation of time for pre-start meetings and completion of safety and health related documentation

(iii)   Allocation of time for toolbox/workplace safety and health meetings

(iv)   Safety and health training records are retained

(v)   Safety and health representatives are provided with time to undertake an accredited training course, consult with those they represent and conduct regular workplace inspections

(vi)   Regular workplace inspections are conducted by managers and supervisors.

(vii) Regular reporting of safety related activities

Indictor 1.8

Recommendations to improve safety and health management are acted upon

Guidance

This indicator refers to recommendations arising from any reliable source. The recommendations may come from the annual assessment of the safety management system, they may be based on the organisation's performance measures or they may be developed following the investigation of accidents and injuries that occurred in the organisation's workplaces, or other similar workplaces.

The recommendations should be considered and implemented if it is reasonable to do so. Implementation of risk control measures should be part of the review process, but they should be acted upon within a reasonable time. It would not be acceptable to save all the recommendations for consideration as part of an annual review, especially if recommendations are made following investigation of accidents. They may be prioritised according to the level of risk.

Examples of evidence

(i)   Workers and contractors confirm that recommendations affecting their work area were acted upon in a reasonable time

(ii)   Risk assessment and prioritisation is undertaken

(iii)   Incident/accident reports are retained, considered and remedial action is taken.

(iv)   Safety and health committee minutes

(v)   Audits/assessments of management systems are undertaken and recommendations are acted upon

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> - [Evidence to support rating](#)
> - [Rating for indicator 1.8](#)

Element Two: Planning

Planning is needed to work out how the organisation is going to put the safety and health policy statement into practice. It includes setting the high-level safety and health objectives for the organisation and establishing broad strategies to be used to achieve those objectives. The planning process should result in decisions about who is responsible for various aspects of safety management, what resources are required and when objectives are to be achieved.

Planning should consider all factors likely to affect the achievement of safety and health objectives, including the internal environment and culture of the organisation and external factors, such as the review and development of safety and health laws and the development of industry standards and codes of practice.

Integration of all elements of the safety management system is an important part of the planning process. Consultation, hazard management and training should all be planned so specific objectives and strategies in these areas complement the high-level safety and health objectives of the organisation. Planning should also determine the organisation's overall approach to the evaluation of safety and health performance and the way the system is to be continuously improved.

Standard No.2

Planning is used to establish and maintain an integrated safety and health management system that is set up to continuously improve safety and health performance across all operational areas.

Use the indicators below to rate the organisation's performance against Standard No. 2.

Answers to each indicator should be supported by evidence to show what action has been taken. For every indicator, information about the way the safety management system is set up should be checked in the workplace to confirm that the system is working properly.

Indicator 2.1

The organisation's approach to safety and health management is planned and reviewed

Guidance

This indicator refers to high level planning of the safety management system. It includes setting of the organisation's objectives and establishing the broad strategies to be used to achieve these. The planning process should result in decisions about who is responsible for various aspects of safety management, what resources are required and when objectives are to be achieved. There should also be decisions about the way safety and health performance is to be measured at the corporate level, and the information required by management to monitor and review the system.

There should be evidence of a systematic approach to safety and health planning. There should be a major planning exercise at least once a year. The planning process should result in strategies that suit the organisation's needs. As part of the planning process a review of the organisation's approach to safety management should occur. Information from previous reviews should feed into the planning forum. Future planning should form part of the strategic direction of the organisation, particularly if it is anticipating growth of a change of direction.

Examples of evidence

(i)   Current and previous planning documents

(ii)   Agreement on an assessment/audit tool for yearly review of safety management systems

(iii)   Gap analysis

(iv)   Comparison of organisation's yearly performance

(v)   The basis of decision making relative to future planning

Page 55
- Evidence to support rating
- Rating for indicator 2.1

Indicator 2.2

Specific safety and health objectives and measurable targets have been established for relevant functions and levels within the organisation

Guidance

The safety management system should include safety and health performance measures. This indicator refers to the organisation's high level safety and health objectives and includes ones for consultation, hazard management, supervision and training. It is not intended to cover lower level objectives, such as objectives for individual training courses or those included in the performance appraisals of individuals or groups within the organisation.

Performance measures usually incorporate injury data such as lost time frequency and incidence rates that can be compared over time and across organisations (lag indicators). Performance measurement also includes indicators of positive activities that form the basis of the safety and health management systems (lead indicators). There should be reliable methods of data collection, analysis and reporting. Where contractors are engaged, they should be involved in the collection of data.

Safety and health objectives should be developed annually, and be measurable. The progress of the objectives should be reviewed regularly within the year to track progress against the objective milestones. The objectives should result from systematic planning and be based in proper analysis of the needs of the organisation.

Performance measurement processes should be well documented, monitored, reviewed and continuously improved.

Examples of evidence

- (i) Managers and supervisors, workers and contractors confirm that they understand how the process works and contribute relevant data
- (ii) Safety and health objectives are documented and understood
- (iii) Written performance indicators exist for each operational business unit within the organisation
- (iv) Data is collected for 'lead' and 'lag' indicators

Page 55
- Evidence to support rating
- Rating for indicator 2.2

Indicator 2.3

Arrangements are in place for people with special needs

Guidance

People with special needs includes anyone who requires personal consideration of their safety and health needs because of something that may not be considered as part of the usual hazard management process. Special needs may include pregnancy, a medical condition such as epilepsy or asthma, physical impairment of all types, intellectual disabilities, literacy and language barriers and workers who are returning to work after an injury or illness.

In organisations where there are no people with special needs, there should be evidence that the issue of special needs of individual employees was considered and it was reasonable to conclude that no special arrangements were required.

Examples of evidence

- (i) Managers, supervisors, workers and contractors confirm that they contribute relevant information to the hazard management process for people with special needs in their work area
- (ii) Training or instruction is established on the issue of special needs

(iii)   Training is tailored for those with special needs

(iv)   Levels of supervision are documented for those with special needs

(v)   Tasks are assessed for their suitability to the person with special needs

Page 56
- Evidence to support rating
- Rating for indicator 2.3

Indicator 2.4

Arrangements for visitors to the workplace are in place

Guidance

A 'visitor' is any person who is not an employee or a contractor, and includes students on work experience programs, family members who may be involved in the work, children who are in the workplace for any reason, customers and clients. The process for managing visitors will depend upon the industry, the type of work and the level of risk.

There should be procedures for managing visitors, including checks when they arrive at the workplace and communication systems to notify others that they are on site. The organisation's hazard management processes should cover the hazards that visitors may be exposed to and the new hazards that the presence of visitors may bring in to the organisation. There should be a process that ensures visitors are supervised at all times. Personnel should be empowered to question visitors in situations where they may be at risk or unsupervised.

Examples of evidence

(i)   Managers and supervisors, workers and contractors understand the process for managing visitors and any special arrangements that are necessary to ensure the safety of both visitors and workers

(ii)   Managers and supervisors, workers and contractors confirm that notification and communication systems associated with the control of visitors are working properly

(iii)   Entry/visitors log

(iv)   Clear identification of visitor

(v)   Induction for visitors

(vi)   Emergency procedures are clearly displayed and explained to visitors

(vii)   Provision of personal protective clothing or equipment where appropriate

Page 56
- Evidence to support rating
- Rating for indicator 2.4

Indicator 2.5

Policies and procedures for engaging and managing contractors are in place

Guidance

The organisation should have contractor selection criteria that includes minimum requirements for safety and health procedures and performance. These requirements should be available when the work is advertised. The selection process should assess the extent to which each contractor complies with the selection criteria and contractors should only be selected when they meet the minimum requirements. Each organisation's minimum requirements should be set according to the industry, the type of work and the level of risk.

Contractor performance should be monitored and evaluated and the information used in consideration of future contracts.

Arrangements for safety and health, including performance indicators should be agreed prior to the contractor commencing work. The organisation should have procedures for managing contractors, including induction checks when they arrive at the workplace and communication systems to notify others that contractors are on site. The organisation's hazard management processes should cover the contractors' work. The contractor should understand the consequences of not performing to the agreed standards, and a process for regular feedback to the contractor should be established. There should be a process for resolving issues between the principal and the contractor as well as between other contractors.

Examples of evidence

(i)   Managers and supervisors and workers should understand the process for managing contractors and, where it is relevant to them, any special arrangements that are part of the agreement between each contractor and the employer

(ii)   Documentation of agreement between the 'principal employer' 'main contractor' and contractors as to the extent of the safety and health matters under their control

(iii)   Agreed and clearly defined performance criteria

(iv)   Documents showing job observations of contractors to assess whether they are adhering to the organisation's standards

(v)   Submission of a safety management plans by contractors

(vi)   Contractor insurance information

(vii)   Identification and supply of personal protective clothing and equipment

(viii) Quality and extent of training/qualifications/competencies of contractors and subcontractors

(ix)   Contractor monitoring checklist

(x)   Contractor induction

(xi)   An established process to ensure all contractor plant, tools and equipment are of an acceptable standard. Maintenance records of contractor plant, tools and equipment are available

(xii)   Contractor participation in safety and health meetings, reviews and investigations

(xiii) Accountabilities for the management of safety and health performance

Page 57
- Evidence to support rating
- Rating for indicator 2.5

Indicator 2.6

Potential emergency situations have been identified and relevant emergency procedures are in place

Guidance

Emergency procedures should be relevant to the organisation and unplanned disruptive incidents potentially could occur. They will usually include emergency evacuations from a building or other place. There should be a first aid service in all workplaces as part of the management of emergencies, and everyone should understand the procedure to obtain assistance.

The organisation should identify the various types of potential disruptive incidents that could occur, and plan and implement appropriate plans and procedures. Disruptive incidents may include hazardous substance spills, explosions, fire, flood, power failure, bomb threat, robbery, civil protest and vehicle accidents and breakdowns. The extent of the type of emergency and the procedures to overcome it should reflect the risks.

Emergency management should include action to be taken after a disruptive incident and provision of assistance to those affected who may require it.

Examples of evidence

(i)   Workers and contractors confirm that relevant emergency procedures have been developed, including arrangements for visitors, those working in isolation and any special arrangements that are necessary to ensure the safety of particular groups in their work area

(ii)   Display of evacuation procedure

(iii)   Trained first-aid attendants

(iv)   Training of personnel involved with coordinating emergency procedures

(v)   Regular drills to identify areas for improvement

(vi)   Emergency and fire protection equipment, exit signs and alarm systems are inspected tested and maintained at regular intervals

(vii)   A dangerous goods inventory is maintained

Page 57
- Evidence to support rating
- Rating for indicator 2.6

Indicator 2.7

The organisation's procedures, work instructions and work practices reflect current safety and health legislation, standards, codes of practice, guidance materials, agreements and guidelines.

Guidance

Legal requirements may relate to plant or hazardous substances in the workplace, workers, contractors and suppliers. It is important that managers and supervisors, contactors and workers understand relevant information and for it to be incorporated into procedures, work instructions and practices that describe how work is to be performed.

Examples of evidence

(i)   Workers, contractors and suppliers confirm that work instructions contain relevant health and safety information

(ii)   Safe work method statements are developed and documented in consultation with relevant personnel

(iii)   Documented hazard identification, risk assessment and controls for work processes reflect current legislation, standards and codes of practice

Indicator 2.8

All workers have access to current legislation, standards, codes of practice, guidance notes, agreements and guidelines that impact upon their activities

Guidance

The organisation should have identified relevant information. As a minimum, information should be as required by safety and health laws. This would include items such as copies of the legislation, relevant standards, codes of practice and material safety data sheets. The quality and scope of the information could be developed beyond the minimum required by law. Information should be easily accessible.

Examples of evidence

(i)   Managers and supervisors, workers and contractors confirm that they can obtain the information they require in a reasonable time (24 hours or less)

(ii)   Copies of the Act, regulations, codes of practice and Australian Standards, guidance materials, agreements and guidelines are accessible in the workplace

(iii)   Information on health hazards relevant to the industry are accessible, eg. material safety data sheets

(iv)   Listing of safety and health workplace contacts is accessible in the workplace

(v)   Safety and health information posted on noticeboards or areas of high visibility in the workplace

Indictor 2.9

The organisation and individuals satisfy legal requirements to undertake specific activities, perform work or operate equipment

Guidance

The organisation may be required by legislation to organise licences, notifications or registrations for work activities or equipment.

Examples of evidence

(i)   The organisation/individuals satisfy legal requirements to undertake specific activities including licences, notifications, registrations or approvals

(ii)   The organisation retains records of relevant licences, approvals and registrations for work being undertaken and equipment utilised at the workplace

Element Three: Consultation and reporting

Consulting and reporting to personnel regarding the organisation's safety management is a legal requirement and it makes good business sense. An active consultation process demonstrates the commitment of the organisation to achieving the aims of the safety and health policy.

Safety and health laws are based on consultation and cooperation between workers, their elected representatives and employers. If everyone in the organisation understands legal and organisational requirements, they will be in a better position to comply with them.

By setting up a system for two-way communication, where management listens to and cooperates with workers, management can make sure safety management decisions are based on all available information.

Standard No. 3

Mechanisms are in place for consultation and reporting on safety and health matters and are working effectively

Use the indicators below to rate the organisation's performance against Standard No. 3.

Answers to each indicator should be supported by evidence to show what action has been taken. For every indicator, information about the way the safety management system is set up should be checked in the workplace to confirm that the system is working properly.

Indictor 3.1

There are agreed procedures for involvement and consultation with workers on safety and health issues

Guidance

The consultative mechanism used by the organisation should include arrangements to achieve the organisation's objectives and to comply with relevant safety and health legislation relating to consultation. Planning should result in decisions about who is responsible for various tasks, what resources are required and when tasks are to be completed. There should also be decisions about the way the effectiveness of the consultative mechanism is to be monitored, measured and reviewed at various levels within the organisation. Planning may be in accordance with a recognised quality assurance, safety management or similar standard.

To achieve effective consultation the organisation does not necessarily have to establish safety and health representatives and committees. However, there should be evidence of a systematic approach to planning the organisation's consultative mechanism that suits the organisation's needs. Employers and managers should also have a general understanding of the relevant legislation relating to safety and health representatives and committees, even if they have not been established under the Act. The premise is that the laws should be understood so the employer can deal with requests to establish them made in accordance with the law.

Examples of evidence

(i) Workers, contractors and safety and health representatives confirm that the employer understands and accepts responsibilities for consulting and cooperating with them regarding safety and health at the workplace

(ii) Workers are represented at planning meetings that deal with the consultative mechanism for the organisation

(iii) Surveys of workers and contractors to evaluate effectiveness of communication

(iv) Safety and health committee terms of reference and minutes

(v) Resolution of issue procedure developed by managers and supervisors, workers and contractors

(vi) Pre-start meetings

(vii) Team meeting agendas and minutes

Page 60
- Evidence to support rating
- Rating for indicator 3.1

Indicator 3.2

Consultative arrangements are communicated to workers and are well understood

Guidance

There should be a process that ensures all workers know there are safety and health laws regarding consultation and cooperation with employers. The consultation mechanism should be working effectively and comply with relevant laws.

Workers should understand the consultation process in general terms, including the rights and responsibilities of employers and employees. They should also understand the consequences of failing to comply with requirements to cooperate with their employer. The methods used to achieve a reasonable level of understanding can vary from one workplace to another.

Examples of evidence

(i) Workers, contractors and safety and health representatives verify that they participate in the consultation process and it is effective

(ii) Reference to consultation in induction training

(iii) Training sessions

(iv) Information distribution forms

(v) Communication procedures established for safety and health issues

Page 60
- Evidence to support rating
- Rating for indicator 3.2

Indicator 3.3

Workers or their representatives are involved in planning processes for the management of safety and health at the workplace

Guidance

There should be a consultation mechanism that allows all workers to contribute to safety and health planning. Employees should be able to confirm that they are consulted regarding high level planning of the safety management system and at various stages of the process when broad strategies for consultation, hazard management and training are planned. Workers may not have been consulted personally, but they should confirm that the process set up for them to have some input, possibly via representatives, is working.

For matters relating specifically to their job, workers should confirm that they have opportunities to provide personal comment.

Examples of evidence

(i)   Minutes of meetings/consultations/planning sessions

(ii) Feedback from workers and contractors on safety and health matters is available to safety and health representatives/committee members

(iii) Workers and contractors confirm that they are consulted regarding safety and health issues

(iv) Survey of workers about training requirements

(v)   Worker and contractor involvement in the hazard management process

(vi) There is employee involvement in selection of specialist safety and health consultants, where required

Indicator 3.4

Workers or their representatives are consulted regarding proposed changes to the work environment, processes or procedures and purchasing decisions that could affect their safety and health.

Guidance

Workers should be able to confirm that they are consulted regarding changes to the work environment, processes or procedures and purchasing decisions that could affect their safety and health. Workers may not have been consulted personally, but they should confirm that the process set up for them to have some input, possibly via representatives, is working.

For matters relating specifically to their job, workers should confirm that they have opportunities to provide personal comment.

Examples of evidence

- (i)   Workers confirm that they are consulted regarding changes to the work environment, processes or procedures and purchasing decisions that could affect their safety and health
- (ii)   Memos informing staff and contractors of changes affecting safety and health.
- (iii)   Meeting agendas and minutes
- (iv)   Safety and health committee minutes

Page 61
- Evidence to support rating
- Rating for indicator 3.4

Indicator 3.5

Workers or their representatives are consulted regarding management of hazards in the workplace

Guidance

Workers and contractors should be able to confirm that they are consulted regarding management of hazards in the workplace. Workers may not have been consulted personally, but they should confirm that the process set up for them to have some input, possibly via representatives, is working.

For matters relating specifically to their job, workers should confirm that they have opportunities to provide personal comment.

Examples of evidence

    (i)   Workers and contractors confirm that they are consulted regarding hazard management

    (ii)   Training records to verify understanding of hazard management principles

    (iii)   Meeting agendas and minutes

    (iv)   Safety and health committee minutes

> Page 62
> - Evidence to support rating
> - Rating for indicator 3.5

Indicator 3.6

There are arrangements in place for the acquisition, provision and exchange of safety and health information with external parties, including customers, suppliers, contractors and relevant public authorities

Guidance

Effective communication relies on regular exchange of information with key stakeholders. Collection of ideas, feedback and complaints allows the organisation to identify opportunities for improvement.

Examples of evidence

    (i)   Relevant safety and health information is sought from suppliers

    (ii)   Customers are provided with relevant safety and health information to allow them to safely use the product or service

    (iii)   Procedures for exchange of information with contractors is in place

    (iv)   There is a documented safety and health complaints procedure for external parties

> Page 62
> - Evidence to support rating
> - Rating for indicator 3.6

Indicator 3.7

Consultative and reporting arrangements are regularly evaluated and modified where required.

Guidance

This indicator covers the evaluation process, including the presentation of recommendations for improvement to management. The implementation of recommendations to improve the safety management system is covered in the Planning Element and should not influence the rating for this indicator.

The process used to evaluate the effectiveness of the consultative mechanism should provide information on the extent to which safety and health consultation with workers and contractors is effective and operating as planned.

Examples of evidence

(i)   Workers and contractors confirm that they contribute relevant information as part of the evaluation process

(ii)   Survey information

(iii)   Dissemination of survey information

Page 63
- Evidence to support rating
- Rating for indicator 3.7

Element Four: Hazard management

Hazard management refers to three steps used to achieve reductions in work-related injuries and diseases. They are as follows:

Hazard identification: Identify all situations where workers, contractors and visitors to a workplace may be exposed to hazards.

Risk assessment: Work out which situations are more likely to cause injury or harm to the health of workers, contractors and visitors and how serious the injuries or the harm might be.

Risk control: Take action to prevent the injuries and harm that may occur.

These steps are set out in safety and health legislation. The responsibility for completing the three steps rests with any person who is an employer, main contractor, self-employed person or person with control over the workplace or access to it.

The three-step hazard management approach should be part of a safety management system that integrates planning, implementation, monitoring, review and continuous improvement.

Standard No. 4

An effective system is in place to identify hazards, assess and control risks associated with the organisation's activities, processes, products or services

Use the indicators below to rate the organisation's performance against Standard No. 4.

Answers to each indicator should be supported by evidence to show what action has been taken. For every indicator, information about the way the safety management system is set up should be checked in the workplace to confirm that the system is working properly.

Indicator 4.1

Requirements for reducing risks are understood by management and workers

Guidance

To achieve a satisfactory rating, the employer and the most senior management group or person at the workplace should understand the full extent of their responsibilities under safety and health laws to reduce risk. Employers and managers should have a general understanding of laws relating to the process of hazard identification, risk assessment and risk control, including specific references to areas relevant to the organisations activities. They should also understand that in certain situations, the possible means of reducing risks is prescribed. The method of identification of requirements to achieve awareness and understanding should be identified

There should be a process that ensures all workers and contractors know that there are safety and health laws that require hazard identification, risk assessment and risk control generally and in relation to specific hazards that may apply to them.

Workers and contractors should also be aware of the employer's responsibility to conduct an appropriate investigation where there is a reported hazard or injury. Workers and contractors should also be made aware of the need to formally document hazards and the controls used. The methods used to achieve a reasonable level of understanding can vary from one workplace to another.

Examples of evidence

(i)   Workers and contractors confirm they are aware that the employer understands and accepts responsibilities for reducing the risk of work-related injuries and diseases

(ii)   Workers and contractors verify that they participated in an effective process to increase their awareness and understanding

(iii)   Training records for all personnel on risk management responsibilities

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Indicator 4.2

Work environments are regularly inspected and hazards are identified.

Guidance

There should be a comprehensive hazard identification process that is working properly. The hazard identification process should take people who are not employees into account and should cover the human resources, physical resources and information needed for safe systems of work, all work processes and the management of outputs, such as waste. All hazards associated with the goods and services produced by the organisation should be identified as part of the process to reduce risks for people who use them.

The process should include at least three different sources of information. These could include analysis of the organisation's work-related injury and disease records, accident investigation reports, information from workplace inspections, information from the analysis of work activities, hazards reported by workers or any other reliable source that is appropriate for the industry and type of work.

The requirements of this indicator cover inspections up to the point when the findings are presented to management with a list of items that require further attention.

There should be systematic inspection of the organisation's workplaces. Information collected should be in a form that can easily be understood by others.

The focus of inspections may be general workplace condition, hazardous substances, or specific hazards. Workers, safety and health representatives and contractor work teams may be involved in inspections of work areas prior to commencement of an activity. This is particularly important in a changing work environment, where new hazards are introduced as part of the work in progress.

Examples of evidence

(i)   Workers and contractors understand the hazard identification and inspection process and contribute relevant information

(ii)   Involvement of safety and health representatives in inspections and hazard identification process

(iii)   Analysis of the organisation's work-related injury and disease records.

(iv)   Inspection reports from workplace

(v)   Inspection reports of plant and equipment

(vi)   Hazard identification checklist

(vii) Specific hazard checklists

(viii) Hazard register

(ix)   Hazard reports

(x)   Incident reports

Indicator 4.3

Work activities are analysed and hazards identified

Guidance

In some situations, the hazards an individual worker or group of workers may be exposed to will not be obvious until the work activities undertaken by those people are analysed in a systematic way. The analysis of work activities identifies particular hazards associated with the work, assesses risk and leads to the development of safe working procedures where risks are controlled. Analysis of work activities involves identifying the types of work activity to be analysed, analysing a small sample and then developing safe work procedures to be used by everyone who carries out that type of work.

Analysis of work activities, specifically to improve safety, is a process that applies hazard management principles to certain types of activities in workplaces. These are usually work activities where there is the potential for serious injury or disease, infrequent activities that may be overlooked by other hazard management processes and/or work activities where there are changes to standard operating procedures.

The procedures for analysis of work activities and associated safe working procedures should be updated within a reasonable time when changes occur and they should be reviewed at least annually. As part of continuous improvement, the scope of the analysis of work activity may broaden to include areas where the potential for injury or disease is less serious.

Examples of evidence

(i)   Managers and supervisors, workers and contractors confirm that they contribute relevant information when work activities are analysed in their work area

(ii)   Job hazard analysis

(iii)   Safe work method statements

(iv)   Safe operating procedures

(v)   Job observations

(vi)   Use of references, such as Australian standards, codes of practice and regulations

Page 65
- Evidence to support rating
- Rating for indicator 4.3

Indicator 4.4

Risk assessments are undertaken on identified hazards

Guidance

The degree of risk associated with all hazards identified by the organisation should be assessed. This may be undertaken by a panel of individuals from the workplace or by external experts. Risk assessment should be undertaken by people who have experience, knowledge and skills to gather relevant information and make a reasonable decision about the degree of risk for particular hazards. Risks for each situation should be assigned high, medium or low priority and the findings presented to management. The quality and quantity of risk assessments should be appropriate to the industry and type of work and based on information provided by the hazard identification process. Risk assessments need to be more thorough where there are likely to be many injuries or very serious injuries as a result of exposure to a hazard.

Where there are intended changes to the workplace, such as purchase of new plant, a detailed risk assessment should be conducted, and form part of the planning procedures.

Examples of evidence

(i)   Workers and contractors confirm that they contribute relevant information to risk assessments and the process is working properly in their work area

(ii)   Hazard register

(iii)   Risk assessment forms

(iv)   Proposed changes to the workplace include risk assessments

Page 65
- Evidence to support rating
- Rating for indicator 4.4

Indicator 4.5

Hazards are prioritised and controlled using the hierarchy of controls and having regard to the identified level of risk

Guidance

There should be evidence of a systematic approach to planning and implementing risk controls throughout the organisation. Planning should provide for risk controls to be implemented as required and in accordance with priorities. Planning decisions that have to be made for the orderly implementation of risk controls include decisions about who is responsible for various tasks, what resources are required and when tasks are to be completed. There should also be decisions about the way the effectiveness of all risk controls are to be measured, monitored and reviewed at various levels within the organisation. Planning at this level should complement the organisation's high level objectives for hazard management and ensure compliance with relevant safety and health laws.

The planning process should result in strategies that reduce risks in accordance with information from the organisation's risk assessments and implemented in accordance with the hierarchy of controls. There should be emphasis on the use of higher order controls, or combinations of higher order controls. The processes used to plan and implement the application of the hierarchy of controls should be well documented, monitored, reviewed and continuously improved.

Examples of evidence

(i)   Workers and contractors confirm that action has been taken to reduce the risk of work-related injury and disease in accordance with the hierarchy of controls in their work areas

(ii)   Provision of suitable training

(iii)   Planning and investigation of control options

(iv)   Written risk control objectives

(v)   Selection of risk controls

(vi)   Budget planning for risk control implementation

(vii)   Job observations to confirm the application of risk controls

(viii) Corrective action register

(ix)   Reduction in accident/incident reports associated with risk

Indicator 4.6

The effectiveness of the hazard identification, risk assessment and risk control process is periodically reviewed and documented.

Guidance

Evaluation requires monitoring and review of the risk controls. It includes the presentation of results and recommendations for improvement when it is undertaken at a high level in the organisation. At lower levels, it requires a procedure where information passes very quickly to a person with authority to take corrective action.

The process used to evaluate the effectiveness of risk controls that are in place should provide information on the extent to which the risk is reduced in accordance with original expectations. Recommendations should cover improvements to existing controls and suggestions for alternatives or other controls that can be added to further reduce risk.

Risk controls should be corrected or improved within a reasonable time, if it has been determined that further action is required.

Individual workers and contractors should understand when they have the authority to make immediate changes to reduce risk and when approval is required.
There should be evidence that this process is working.

Examples of evidence

(i) Workers and contractors confirm that that they contribute relevant information as part of the evaluation process and there is action to correct or improve the risk control measures within a reasonable time in their work area

(ii) Risk controls are monitored and evaluated

(iii) Workplace surveys and monitoring

(iv) Job observations

(v) Safety and health specialist reports

Indicator 4.7

Incidents, injuries and diseases are reported and investigated

Guidance

It is important for the organisation to collect information about the work-related injuries and diseases that are occurring so action can be taken to prevent similar events in the future. This is consistent with the overall approach to reduce the risk of work-related injuries and diseases.

There should be systematic reporting and recording of all work-related injuries and diseases. Serious accidents and minor injuries resulting in the need for first aid treatments should be recorded using the same basic principles. Near misses, or incidents where there was potential for serious injury or disease should also be reported. Where there is a requirement to report injuries or diseases to WorkSafe, this should be complied with. The reporting and recording system may be set up in accordance with a recognised standard.

There should be a systematic investigation of all work-related injuries and diseases by a competent person or investigation team. Serious accidents and minor injuries resulting in the need for first aid treatments should all be investigated. The extent of time and other resources to complete an investigation should be congruent with the level of risk associated with the injury, disease or near miss.

The processes used to investigate work-related injuries and diseases and near misses should be well documented, monitored, reviewed and continuously improved. There should be emphasis on the improvement of specific accident investigation competencies internally or the use of competent external investigators.

Examples of evidence

(i)   Managers, supervisors, workers and contractors understand the reporting and incident investigation process and confirm that they contributed to investigations where they were able to provide relevant information

(ii)   Process for the reporting of injuries and raising of an incident investigation

(iii)   First aid register

(iv)   Completed forms for reporting of prescribed injury or disease according to legislation

(v)   Safety committee minutes detail incidents and injuries

(vi)   Analysis of incident and injury data

(vii)   Selection and training for the investigation team

(viii) Safety and health representative involvement

(ix)   Completed investigations

(x)   Investigation recommendations captured by the hazard and risk management system

Page 67
- Evidence to support rating
- Rating for indicator 4.7

Element Five: Training and supervision

Employers need to provide all workers with training and supervision to make sure everyone in the organisation understands and can meet their responsibilities under safety and health laws. New workers, those who change their work duties, or who have been away from work for an extended period, are particularly vulnerable to injury. It is essential these workers are given adequate training and supervision.

Training must be planned, systematic and assessed. Training could be a balance of structured on-the-job training and formal training sessions provided internally or externally. In many cases safety training can be incorporated into skills and task training already provided by the organisation.

Management needs to analyse where training is needed across the whole organisation, and set priorities. Training should be designed to:

- enable workers to work in a safe manner;
- enable the organisation to achieve safety and health objectives; and
- meet training requirements in safety and health laws.

To evaluate the effectiveness of training and instruction, particularly when the tasks are medium to high risk, the employer should develop a detailed set of criteria against which performance is assessed.

Organisations utilising contract labour need to have a mechanism for ensuring that the individual possesses the level of competency required for safe conduct and is adequately supervised.

Standard No. 5

Training and supervision is organised to reduce the risk of work-related injury and disease and is evaluated to ensure it is effective.

Use the indicators below to rate the organisations performance against Standard No. 5.

Answers to each indicator should be supported by evidence to show what action has been taken. For every indicator, information about the way the safety management system is set up should be checked in the workplace to confirm that the system is working properly.

Indicator 5.1

An induction program is in place for all workers and contractors, providing relevant safety and health information and instruction

Guidance

Induction training should consist of general safety and health training based on legislative rights and responsibilities and risk management in workplaces, site specific and job/task specific training.

There should be clear objectives for the training. These objectives should complement the higher level objectives for the role of training in the overall safety management system.

The training objectives should be clearly stated at the beginning of each training exercise, and they should be measurable.

Examples of evidence

(i)   Workers and contractors confirm that safety and health induction training in their work area was provided

(ii)   Training objectives are written for long-term evaluation

(iii)   Job observations to confirm whether training course information is transferable to the workplace

Indicator 5.2

All management and supervisory personnel have received training in safety and health management principles and practices appropriate to their roles and responsibilities

Guidance

Training may be provided in various ways, including formal training courses, mentoring and on-the-job training.

There should be evidence of a systematic approach to planning the organisation's safety and health training. Planning for training may be in accordance with a recognised quality assurance, safety management or similar standard.

Examples of evidence

    (i)   Training for managers and supervisors is recorded and evaluated

    (ii)   There are reviews of individual performance and follow up action is taken if necessary

Page 68
- Evidence to support rating
- Rating for indicator 5.2

Indicator 5.3

The organisation has identified the training needs of all workers

Guidance

The employer and the most senior management group or person at the workplace should understand the full extent of their responsibilities under safety and health laws to provide training for workers and for safety and health representatives, if any exist in the workplace.

Employers and managers should also understand that in certain situations training is prescribed in regulations, such as those applying to people who may be exposed to a hazardous substance at the workplace or performing high risk work.

The training system should be documented, changes to the law should be monitored and supporting documentation should be reviewed and re-endorsed when changes occur.

There should be a training needs analysis conducted that covers general and specific training required by workers to enable them to work in a safe manner. The analysis should determine current competencies and the gaps where training is required. The analysis should be regularly updated. Information from the analysis of work activities and associated safe work procedures should also be used as a source of information to identify training needs.

Examples of evidence

    (i)   Workers and contractors confirm they are aware that the employer understands and accepts responsibility for the provision of safety and health training

    (ii)   Personnel confirm their participation in training

    (iii)   Training needs analysis undertaken

    (iv)   Worker involvement in identifying safety and health related training needs

(v)   All legislative training requirements for workers and contractors have been identified

(vi)   Records of training requirements and dates for completion or renewal are available for all workers

(vii)   There is an allocation for safety and health training in the annual budget

Page 69
- Evidence to support rating
- Rating for indicator 5.3

Indicator 5.4

Tasks are allocated according to capability, level of training and supervision of workers

Guidance

The employer is responsible for determining the level of experience, competence and training necessary to ensure the capability of personnel and allocation of tasks. The organisation should train personnel to perform work safely and verify their understanding of the training through appropriate supervision and work observation.

The specific requirements of tasks should be identified to ensure workers can fulfil these requirements. Individuals should be supervised according to their capabilities and the degree of risk of the task.

Examples of evidence

(i)   There are supervisory arrangements that ensure tasks are performed safely and work instruction and procedures are followed

(ii)   Workers and contractors confirm that levels of training and supervision are appropriate for work activities undertaken

(iii)   Refresher training is provided to ensure workers perform their tasks safely

(iv)   Job descriptions identify appropriate levels of skill and experience required

Page 69
- Evidence to support rating
- Rating for indicator 5.4

Indicator 5.5

Training is delivered by people with appropriate knowledge skills and experience

Guidance

The employer should be aware of legislative requirements for training. Competency based assessment is required for people engaged in activities involving high risk work. These assessments must only be undertaken by an accredited Assessor.

The organisation should record and verify the skills and experience of external trainers is appropriate to deliver the training. If internal staff are utilised for delivery of on the job training, the employer should be satisfied that their skills and experience are appropriate.

The training objectives should be clearly stated at the beginning of each training exercise, and they should be measurable.

Examples of evidence

(i)   Records of external trainer's qualifications and experience are retained

(ii) Records of internal training and skills and experience of staff utilised are recorded

(iii) Course outlines and objectives

(iv) Course materials

(v)   Workers confirm that safety and health training is delivered to a reasonable standard

(vi) Job observations to confirm whether training course information is transferable to the workplace

Page 70
- Evidence to support rating
- Rating for indicator 5.5

Indicator 5.6

The training program is evaluated and reviewed

Guidance

This indicator covers the evaluation process as it applies to individual training courses and different types of training, such as mentoring and on-the-job training. It covers the presentation of results and recommendations for improvement.

The process used to evaluate the effectiveness of individual training courses and different types of training should provide information on the extent to which the training objectives are achieved. Perception of the relevance and benefits of training, recorded when training courses are completed, is one method of evaluation that could be used. In situations where training is provided to develop workers' ability to work safely, there should be feedback from supervisors

or others in the workplace, that the person has acquired the necessary competencies and is able to apply them to their work activities. It is not necessary to formally test changes in employees' attitudes to safety and health at this level.

Examples of evidence

- (i) Workers confirm that the safety and health training relevant to their work area is evaluated

- (ii) Reduction in injury rates as a result of specific training

- (iii) Reviews of individual performance

Indicator 5.7

Supervision is undertaken by people with appropriate safety and health knowledge, skills and experience.

Guidance

The employer is responsible for provision of supervision under safety and health law. Supervision should be provided that is appropriate to the work activity being undertaken and the individual worker, having regard for skills, experience and special needs. Supervisors and managers should have knowledge and experience in managing safety and health.

Examples of evidence

- (i) Safety and health performance criteria established for managers and supervisors

- (ii) Safety and health management training for managers and supervisors

- (iii) Workers and contractors confirm that supervision is appropriate to the work activity being undertaken and the levels of skill and knowledge of individuals

Appendix One   WorkSafe Plan indicator rating table

Range	Score	Descriptor
EXEMPLARY		
High	**10**	Continuous improvement processes ensure sustained performance. Strong supporting documentation that is updated regularly. Consistent application of the requirements of the indicator over time.
Low	**9**	Sustained performance where the requirements of the indicator apply. Strong supporting documentation. Some minor problems may occur from time to time.
SATISFACTORY TO PROFICIENT		
High	**8**	Requirements of the indicator implemented long enough to allow evaluation and review as part of continuous improvement. Maintaining better than minimum requirement. Strong supporting documentation.
High	**7**	Continuous improvement processes developing. Monitoring procedures in place. Documentation supports the requirements of the indicator.
Low	**6**	Satisfies minimum requirements of the indicator. Basic documentation exists if specified in the indicator, but no supporting documentation if not specified. Systems in place to address compliance obligations.
INADEQUATE		
High	**5**	Basic requirements of the indicator are almost in place but not fully implemented.
High	**4**	Consistent implementation is well progressed. Early drafts of documents supporting the indicator are available.
High	**3**	Implementation is ad hoc.
Low	**2**	Planning for implementation commenced. Evidence of management commitment.
Low	**1**	Awareness and intention to implement.
Low	**0**	No awareness or intention to implement.

The Assessor is required to verify that the safety management system presented by management of the organisation is consistent with safety-related activity in the workplace. WorkSafe Plan is not a paper audit. It is an assessment of what is actually happening in the workplace.

The Assessor looks for evidence to support the scores for each indicator. The evidence is gathered by observing the work activity, interviewing key personnel and by checking relevant documents held by the organisation.

Management information about the way the system works has to be verified by workers and contractors in the workplace before the indicator can be scored.

When scoring each indicator, a score of 6 is achieved when performance relating to the requirements of the indicator is satisfactory. In most cases, a higher score is achieved based on:

- the extent and quality of documentation supporting the indicator;
- consistent application of the requirements of the indicator over time;
- monitoring and review processes that ensure the requirements of the indicator will continue to be improved; and
- evidence that the organisation is striving to achieve best practice in safety management.

When all indicators have been scored, the Assessor calculates the average for each element. It is the final average score that determines whether the element is in the exemplary, proficient, satisfactory or inadequate range.

Appendix Two   Summary of scores for each WorkSafe Plan element

| Organisation Name: |
| Date: |
| Assessor: |

								Total	%
Management Commitment									
1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.8		
								80	

								Total	%
Planning									
2.1	2.2	2.3	2.4	2.5	2.6	2.7	2.8	2.9	
								90	

							Total	%
Consultation and Reporting								
3.1	3.2	3.3	3.4	3.5	3.6	3.7		
							70	

							Total	%
Hazard Management								
4.1	4.2	4.3	4.4	4.5	4.6	4.7		
							70	

							Total	%
Training and Supervision								
5.1	5.2	5.3	5.4	5.5	5.6	5.7		
							70	

1. Record scores for all indicators from the workbook.
2. Calculate each element separately.
3. Add up each row and record the total score for each element.
4. Calculate the percentage achieved in each element.

Note: In situations where an indicator is not applicable and there is no score, adjust the total to disregard that indicator.

Appendix Three   Organisation details

Assessor:	
Business name of organisation to be assessed:	
Trading name (if different)	
ABN number	
Address	
Postal Address	
Contact person	
Name	
Position	
Email	
Telephone	
Chief Executive Officer	
Name	
Position Title	
Email	
Telephone	
Name of parent organisation (if any)	
Date of initial contact	
Date of report	

Sites visited to gather data

_____

_____

_____

People interviewed

_____

_____

_____

Notification of any safety and health investigations being undertaken by WorkSafe, compliance notices or legal proceedings taken against the organisation in the past 5 years. *Please note that this information may not preclude an organisation from receiving a Certificate of Achievement.*

_____

_____

_____

_____

_____

_____

Appendix Four   Report

Element One: Management Commitment

Standard No. 1   There is commitment to achieving high standards of safety and health performance through effective safety management.

Indicator 1.1   There is a documented health and safety policy that is reviewed on a regular basis.

Evidence to support indicator 1.1

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Rating for indicator 1.1

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Indicator 1.2   The safety and health policy is available to workers, suppliers, contractors, customers and visitors to the workplace.

Evidence to support indicator 1.2

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Rating for indicator 1.2

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Indicator 1.3   The organisation identifies and monitors safety and health legislation, codes of practice, guidance materials, agreements and guidelines relevant to its operation

Evidence to support indicator 1.3

Rating for indicator 1.3

Indicator 1.4   There is a process that makes all parties aware of and accountable for their safety and health responsibilities
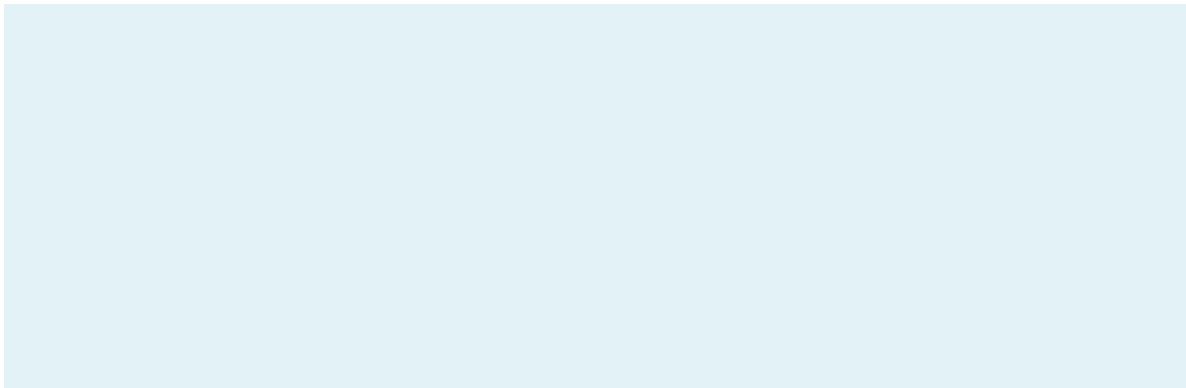
Evidence to support indicator 1.4

Rating for indicator 1.4

Indicator 1.5   The organisation coordinates safety management activities

Evidence to support indicator 1.5

Rating for Indicator 1.5
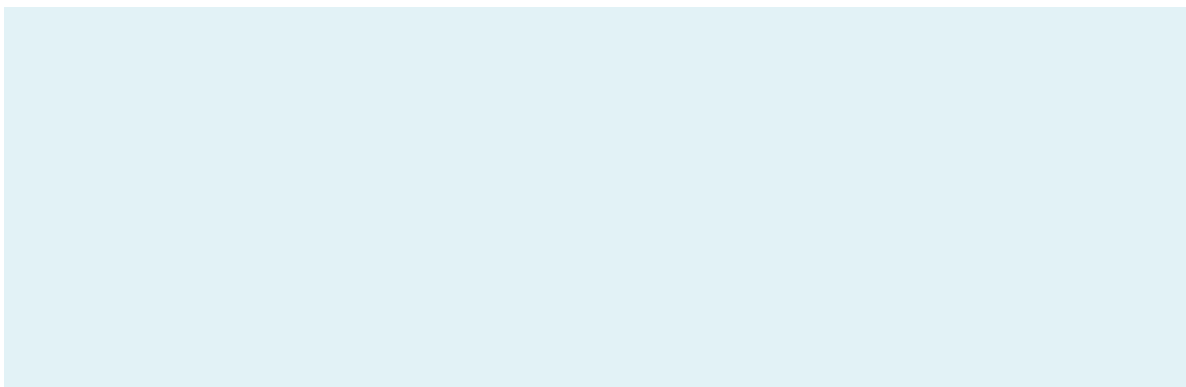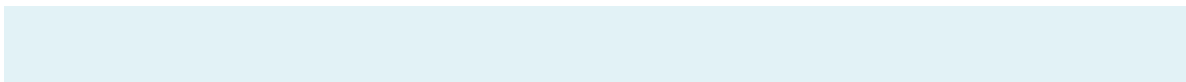
Indicator 1.6   Financial and physical resources are provided for all aspects of safety management

Evidence to support indicator 1.6

Rating for indicator 1.6

Indicator 1.7   All workers have sufficient time to complete safety and health related tasks

Evidence to support indicator 1.7

Rating for indicator 1.7

Indicator 1.8   Recommendations to improve safety and health management are acted upon

Evidence to support indicator 1.8

Rating for indicator 1.8

Element Two: Planning

Standard No. 2   Planning is used to establish and maintain an integrated safety and health management system that is set up to continuously improve safety and health performance across all operational areas.

Indicator 2.1   The organisations approach to safety and health management is planned and reviewed

Evidence to support indicator 2.1

Return to page

Rating for indicator 2.1

Return to page

Indicator 2.2   Specific safety and health objectives and measurable targets have been established for relevant functions and levels within the organisation

Evidence to support indicator 2.2
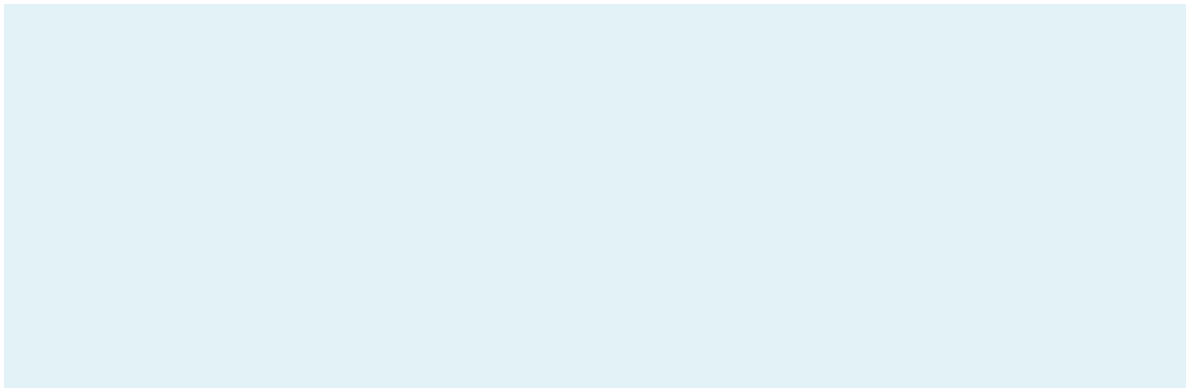
Return to page

Rating for indicator 2.2

Return to page

Indicator 2.3   Arrangements are in place for people with special needs

Evidence to support indicator 2.3

Rating for indicator 2.3
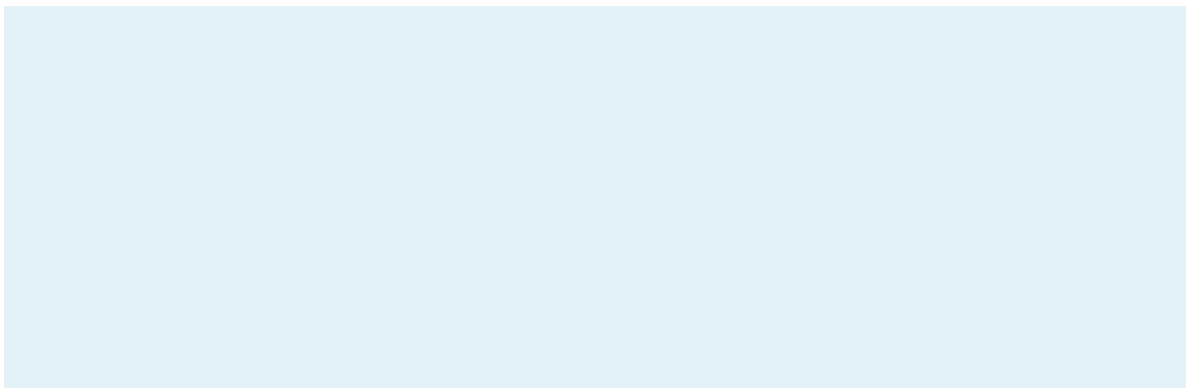
Indicator 2.4   Arrangements for visitors to the workplace are in place

Evidence to support indicator 2.4

Rating for indicator 2.4

Indicator 2.5   Policies and procedures for engaging and managing contractors are in place

Evidence to support indicator 2.5

Rating for indicator 2.5

Indicator 2.6   Potential emergency situations have been identified and relevant emergency procedures are in place

Evidence to support indicator 2.6

Rating for indicator 2.6

Indicator 2.7   The organisations procedures, work instructions and work practices reflect current safety and health legislation, standards, codes of practice, guidance materials, agreements and guidelines.

Evidence to support indicator 2.7

Return to page

Rating for indicator 2.7

Return to page

Indicator 2.8   All workers are advised and have access to current legislation, standards, codes of practice, guidance notes, agreements and guidelines that impact upon their activities

Evidence to support indicator 2.8
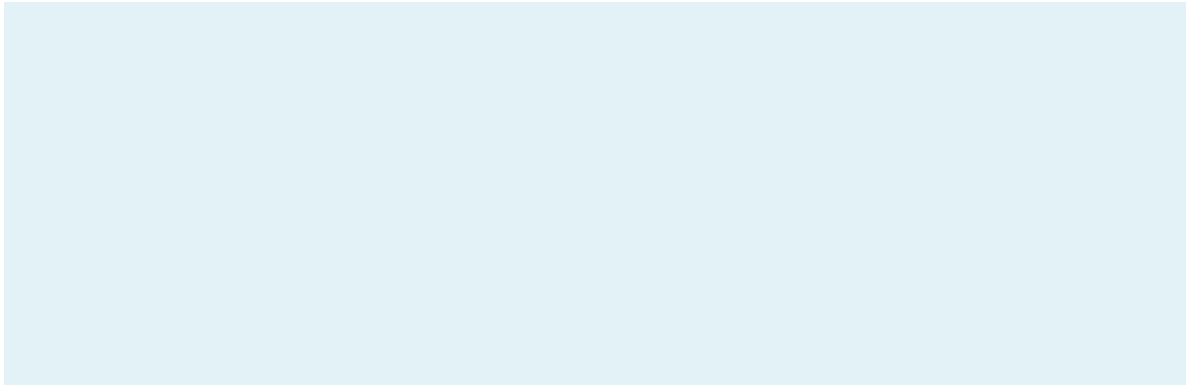
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Rating for indicator 2.8

Return to page

Indicator 2.9   The organisation and individuals satisfy legal requirements to undertake specific activities, perform work or operate equipment

Evidence to support indicator 2.9

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Rating for indicator 2.9

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Element Three: Consultation and reporting

Standard No. 3 **Mechanisms are in place for consultation and reporting on safety and health matters and are working effectively**

Indicator 3.1 There are agreed procedures for involvement and consultation with workers on safety and health issues

Evidence to support indicator 3.1

Return to page

Rating for indicator 3.1

Return to page

Indicator 3.2 Consultative arrangements are communicated to workers and are well understood

Evidence to support indicator 3.2

Return to page

Rating for indicator 3.2

Return to page

Indicator 3.3   Workers or their representatives are involved in planning processes for the management of safety and health at the workplace

Evidence to support indicator 3.3

Rating for indicator 3.3

Indicator 3.4   Workers or their representatives are consulted regarding proposed changes to the work environment, processes or procedures and purchasing decisions that could affect their safety and health.

Evidence to support indicator 3.4

Rating for indicator 3.4

Indicator 3.5   Workers or their representatives are consulted regarding management of hazards in the workplace

Evidence to support indicator 3.5

Rating for indicator 3.5

Indicator 3.6   There are arrangements in place for the acquisition, provision and exchange of safety and health information with external parties, including customers, suppliers, contractors and relevant public authorities

Evidence to support indicator 3.6

Rating for indicator 3.6

Indicator 3.7   Consultative and reporting arrangements are regularly evaluated and modified where required.

Evidence to support indicator 3.7

Rating for indicator 3.7

Element Four: Hazard Management

Standard No. 4   An effective system is in place to identify hazards, assess and control risks associated with the organisation's activities, processes, products or services

Indicator 4.1   Requirements for reducing risks are understood by management and workers

Evidence to support indicator 4.1

Rating for indicator 4.1

Indicator 4.2   Work environments are regularly inspected and hazards are identified.

Evidence to support indicator 4.2
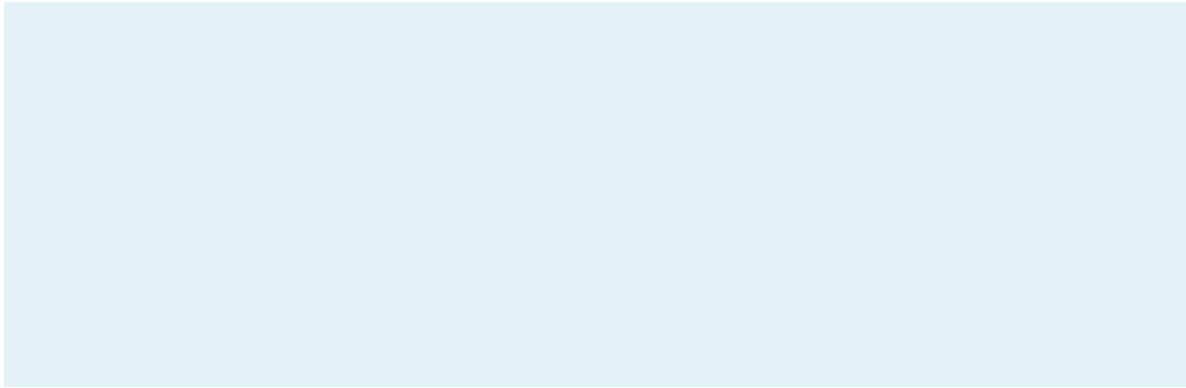
Rating for indicator 4.2

Indicator 4.3   Work activities are analysed and hazards identified
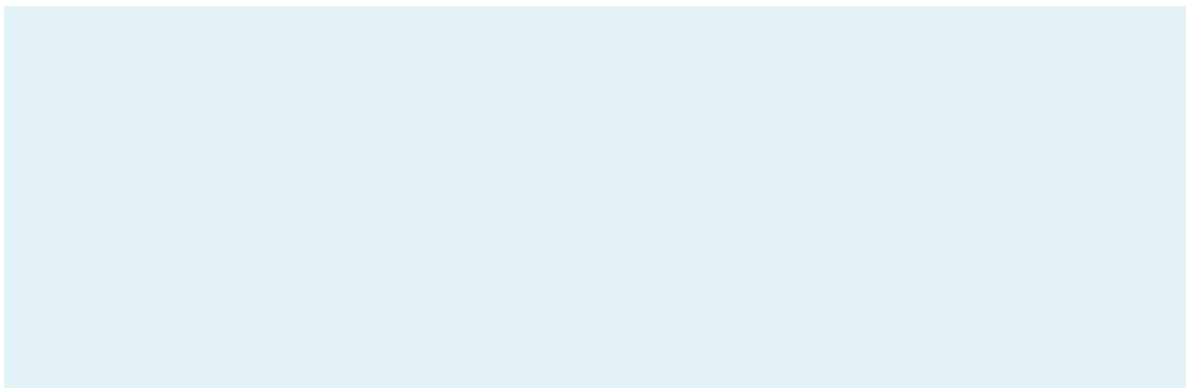
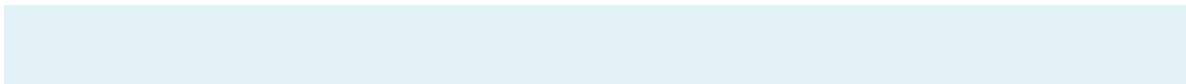**Evidence to support indicator 4.3**

Rating for indicator 4.3

Indicator 4.4   Risk assessments are undertaken on identified hazards

Evidence to support indicator 4.4

Rating for indicator 4.4

Indicator 4.5   Hazards are prioritised and controlled using the hierarchy of controls and having regard to the identified level of risk

Evidence to support indicator 4.5

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Rating for indicator 4.5

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Indicator 4.6   The effectiveness of the hazard identification, risk assessment and risk control process is periodically reviewed and documented.
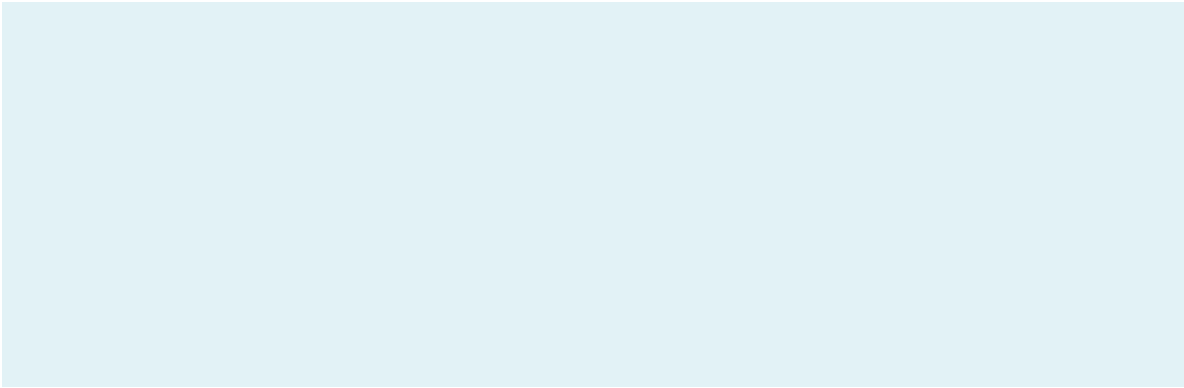
Evidence to support indicator 4.6

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Rating for indicator 4.6

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Indicator 4.7   Incidents, injuries and diseases are reported and investigated

Evidence to support indicator 4.7

Rating for indicator 4.7

Element Five: Training and supervision

Standard No. 5   Training and supervision is organised to reduce the risk of work-related injury and disease and is evaluated to ensure it is effective.

Indicator 5.1   An induction program is in place for all workers and contractors, providing relevant safety and health information and instruction

Evidence to support indicator 5.1

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Rating for indicator 5.1

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Indicator 5.2 All management and supervisory personnel have received training in safety and health management principles and practices appropriate to their roles and responsibilities

Evidence to support indicator 5.2

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Rating for indicator 5.2

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Indicator 5.3 The organisation has identified the training needs of all workers

Evidence to support indicator 5.3

Rating for indicator 5.3

Indicator 5.4   Tasks are allocated according to capability, level of training and supervision of workers

Evidence to support indicator 5.4

Rating for indicator 5.4

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Indicator 5.5   Training is delivered by people with appropriate knowledge skills and experience

Evidence to support indicator 5.5

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Rating for indicator 5.5

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Indicator 5.6   The training program is evaluated and reviewed

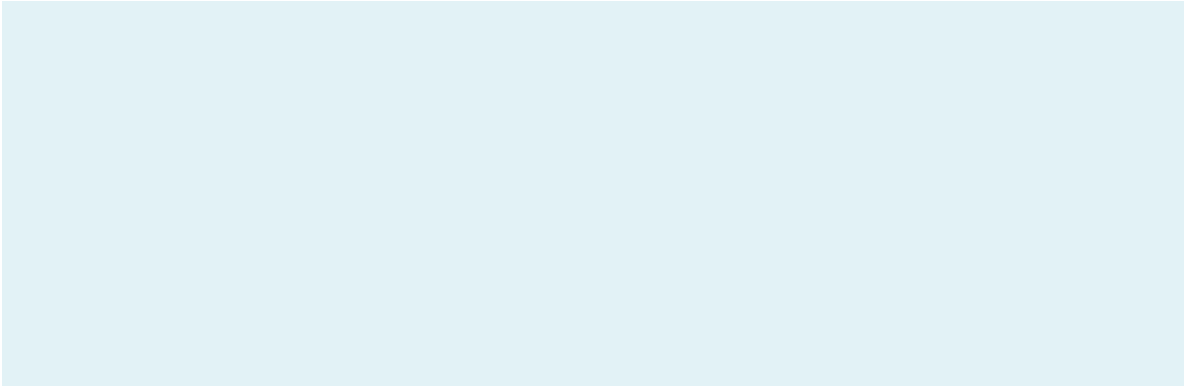**Evidence to support indicator 5.6**

Return to page

Rating for indicator 5.6

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Indicator 5.7 Supervision is undertaken by people with appropriate safety and health knowledge, skills and experience.

Evidence to support indicator 5.7

Return to page

Rating for indicator 5.7

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