

# **WORKSAFE PLAN**

**Western Australia's  
Assessment of  
Occupational Safety and Health  
Management Systems**

**Title: WorkSafe Plan**

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This workbook is for use by accredited WorkSafe Plan Assessors and others who have been trained in how to apply the WorkSafe Plan rating method. It also provides useful information for anyone who wants to know more about WorkSafe Western Australia's approach to safety management.

The WorkSafe Plan is for organisations where there is an "employer" and "employees" as defined in the *Occupational Safety and Health Act 1984*. The assessment is not intended for use by self-employed persons and others operating businesses without employees, although these people may find the information useful.

WorkSafe Plan is for organisations with workplaces under the jurisdiction of WorkSafe Western Australia. It is not designed for Commonwealth Government departments or for workplaces covered by legislation administered by the Department of Minerals and Energy. WorkSafe Plan may be used as a management tool in these areas, but the organisations are not eligible for Certificates of Achievement issued by WorkSafe Western Australia.

WorkSafe Plan replaces two previous documents, "WorkSafe Plan for Medium and Large Business", originally published in 1994, and "WorkSafe Plan for Small Business", originally published in 1996.

**Acknowledgement**

WorkSafe Plan was originally based on the Prevention section of the "Safety Achiever Bonus Scheme" administered by WorkCover Corporation in South Australia. WorkSafe Western Australia acknowledges the support of the South Australian WorkCover Corporation in the development of the standards used in the WorkSafe Plan document.

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**NOTES**

## Introduction

“WorkSafe Plan” promotes the management practices needed to establish and maintain working environments where employees are not exposed to hazards. Safe working environments, with safe workplaces, plant and systems of work, are an important part of the general duties in the *Occupational Safety and Health Act 1984*.

Effective safety management should result in working environments where risks are controlled and goods and services are produced efficiently and safely. It is more than simply identifying hazards, assessing risks and implementing risk controls, although these are essential processes. Safety management is about a demonstrated commitment by the most senior people in an organisation to set safety objectives, oversee planning and implementation, consider feedback from performance reviews and continuously improve the system.

WorkSafe Plan is an assessment process that rates safety management systems and directs attention to areas that could be improved. It can be used to compare the performance of organisations in the same industry and it can be repeated to regularly check on progress. Using WorkSafe Plan makes good sense for organisations of all sizes.

WorkSafe Plan can be used to:

- provide information on desirable safety management practices;
- identify the strengths and weaknesses of management systems;
- provide a measure for safety performance; and
- direct attention to areas that could be improved.

WorkSafe Plan encourages the continuous improvement of safety performance as part of a best practice approach to safety management.

## WorkSafe Plan Elements

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;
- Hazard Management; and
- Training.

The elements have a number of indicators that are used to measure the extent to which the standards have been achieved. There is a total of 50 indicators in the five elements. Each indicator is given a score out of ten, using a graduated rating method, and the scores are averaged to provide an overall rating of performance in each element. The WorkSafe Plan elements, standards and indicators are summarised on pages 4 and 5.

## **Introducing a Safety Management System**

There are many ways to bring all parts of a safety management system together. Sometimes just getting started is the main problem. You may already have some of the requirements of WorkSafe Plan in place. You could begin by asking yourself the following questions.

### **Do you know what hazards are in your workplace?**

- list your main work activities.
- write down the hazards for each work activity.
- involve people working in each area.
- use safety and health information in codes of practice, standards, material safety data sheets, information from suppliers of plant and other industry sources.
- use information from your records of work-related accidents, injuries, diseases, property damage and near misses.
- inspect your workplace.

### **How likely is it that an accident will happen?**

- assess the safety and health risks for employees and others who may be affected by your work activity.
- give high priority to areas where there could be many accidents or where injuries and diseases could be serious.

### **What are you doing to prevent accidents?**

- find out about ways of eliminating hazards and reducing risks to safety and health.
- use information from your risk assessment to reduce the risk of injury and disease.
- provide training so everyone knows how to work safely.
- find ways of improving your hazard management.
- comply with relevant laws, codes of practice and standards.

### **Are you making the best use of the time, money and specialist knowledge that is available?**

- consult with employees throughout the process. The people working in the area often have good ideas and specialist safety knowledge that can be used.
- seek advice from external specialists when necessary.
- coordinate planning, hazard management, consultation and training in high-risk areas.

**Does everyone know the approach to safety in your business?**

- produce a policy statement that tells the people who work for you that you understand your duty of care under the Act and you intend to provide a safe and healthy workplace.
- make sure everyone in the organisation receives a copy of the policy.
- display your policy so your customers know about your commitment to safety.

**Will your safety system continue if key safety people leave your business?**

- write down what people do and how it is done. These written procedures and activity plans will help to ensure safety management activities are done on time and not forgotten.
- keep proper records of safety and health committee meetings and management decisions on safety.
- monitor and change things that are not working well.

In working through these questions, you will have shown a strong **commitment** to improving safety management. You will have used **consultation** to involve employees, improved **hazard management** and used **training** to reduce the risk of work-related injury and disease. Systematic **planning** will ensure that you have the people, the resources and the processes you need for your safety management system to work properly.

You will have made good progress with all five elements of WorkSafe Plan.

## WorkSafe Plan Elements

ELEMENTS	MANAGEMENT COMMITMENT	PLANNING
<p><b>STANDARDS</b></p>	<p>There is commitment to achieving high standards of occupational safety and health performance through effective safety management.</p>	<p>Planning is used to establish and maintain a safety management system that is set up to continuously improve occupational safety and health.</p>
<p><b>INDICATORS</b></p> <p>The elements have a number of indicators that measure the extent to which the standards have been achieved and direct attention to areas that could be improved.</p> <p>There is a total of 50 indicators in the five elements.</p>	<ol style="list-style-type: none"> <li>1. The employer’s responsibilities have been identified.</li> <li>2. General duties are understood.</li> <li>3. The employer is involved in safety management.</li> <li>4. Occupational safety and health activity is coordinated.</li> <li>5. There is an occupational safety and health policy.</li> <li>6. The occupational safety and health policy is understood.</li> <li>7. Resources are provided.</li> <li>8. Safety management activities are completed on time.</li> <li>9. Everyone is accountable for occupational safety and health in their area of responsibility.</li> </ol>	<ol style="list-style-type: none"> <li>1. Safety management is planned systematically.</li> <li>2. There are objectives.</li> <li>3. Performance is measured.</li> <li>4. Specialists are used.</li> <li>5. Safety management is assessed annually.</li> <li>6. Recommendations are acted upon.</li> <li>7. Information is accessible.</li> <li>8. Contractors are selected with safety in mind.</li> <li>9. Contractors work to agreed safety standards.</li> <li>10. There are arrangements for the safety of visitors.</li> <li>11. There are arrangements for employees with special needs.</li> <li>12. There are emergency procedures.</li> </ol>
	<p><b>1</b></p>	<p><b>2</b></p>

<b>CONSULTATION</b>	<b>HAZARD MANAGEMENT</b>	<b>TRAINING</b>
<b>A mechanism for consulting with employees has been developed and is working effectively.</b>	<b>There is an effective system to identify hazards and assess and control risks.</b>	<b>Training is organised to reduce the risk of work-related injury and disease and is evaluated to ensure its effectiveness.</b>
<ol style="list-style-type: none"> <li>1. Consultation requirements are identified.</li> <li>2. Consultation requirements are understood.</li> <li>3. Consultation is planned.</li> <li>4. There is consultation regarding occupational safety and health planning.</li> <li>5. There is consultation regarding hazard management.</li> <li>6. There is consultation regarding occupational safety and health training.</li> <li>7. Consultation is evaluated.</li> </ol>	<ol style="list-style-type: none"> <li>1. Requirements for reducing risks at work are identified.</li> <li>2. Requirements for reducing risks at work are understood.</li> <li>3. Injuries and diseases are reported.</li> <li>4. Injuries and diseases are investigated.</li> <li>5. Workplaces are inspected.</li> <li>6. Hazards are identified.</li> <li>7. Risks are assessed.</li> <li>8. Work activities have been analysed.</li> <li>9. Risk controls are planned.</li> <li>10. Risk controls are in place.</li> <li>11. The hierarchy of controls is used.</li> <li>12. Risk controls are evaluated.</li> <li>13. Risk controls are corrected.</li> <li>14. New hazards are managed.</li> </ol>	<ol style="list-style-type: none"> <li>1. Training requirements are identified.</li> <li>2. Training requirements are understood.</li> <li>3. Training needs are analysed.</li> <li>4. Training is planned.</li> <li>5. Training has clear objectives.</li> <li>6. Training is provided.</li> <li>7. Training is evaluated.</li> <li>8. Employees can follow emergency procedures.</li> </ol>
<b>3</b>	<b>4</b>	<b>5</b>

## How WorkSafe Plan is used

### 1. **Organisations may use WorkSafe Plan assessments to improve safety management at any time.**

WorkSafe Plan may be used by an organisation to assess and improve its occupational safety and health performance at any time. The WorkSafe Plan rating can provide information on the extent to which the organisation has an integrated safety management system that is set up to ensure employers are able to comply with their general duties in the Act. It also increases awareness and understanding of management practices that are required to establish and maintain a system that is continuously improved, in line with a best practice approach to safety management.

Employees may be trained to use the assessment and this training is recommended if the organisation is to make the best use of the WorkSafe Plan rating method. If the organisation wishes to request a WorkSafe Plan Certificate of Achievement, an accredited WorkSafe Plan Assessor, who is not an employee of the organisation, must complete an assessment and rate the safety management system. However, this can be completed after the organisation has assessed and improved its safety management using existing resources.

### 2. **WorkSafe Plan Assessors are trained by an independent training agency to provide a service to industry.**

WorkSafe Western Australia has set up a system where private Assessors complete WorkSafe Plan Assessments. The Assessors are trained by an independent training agency and accredited by WorkSafe Western Australia when they have successfully completed all parts of a competency based assessment.

The Assessors are required to meet certain selection criteria before they begin training in how to use WorkSafe Plan. They are usually well-qualified and experienced work safety and health consultants.

The Assessors are subject to random audits of their assessments, but at all other times, they operate independently of WorkSafe Western Australia.

There is a list of accredited WorkSafe Plan Assessors available in *SafetyLine* on the Internet at the following address:

[www.safetyline.wa.gov.au/worksafeplan](http://www.safetyline.wa.gov.au/worksafeplan)

Alternatively, you could phone WorkSafe Western Australia on 9327 8762 for a current list of accredited WorkSafe Plan Assessors.

WorkSafe Plan Assessors can confirm their current accreditation by producing an identification card issued by WorkSafe Western Australia.

**3. WorkSafe Plan Assessors provide a written report to each organisation when the assessment is complete.**

The Assessor's report contains the levels of achievement for each element of WorkSafe Plan. This report is not submitted to WorkSafe Western Australia. It is information that remains solely for the use of the Assessor and people inside the organisation. The Assessor can upgrade the ratings as improvements are implemented and produce up-to-date reports.

If the organisation wishes to apply for a Certificate of Achievement, the Assessor is only required to submit the final results to satisfy WorkSafe Western Australia that the organisation has achieved a high enough level for a Certificate to be issued. Assessors should not do this until it is requested or approved by the organisation.

**4. Organisations can compare their performance with others in their industry.**

Information on lost time injuries and diseases is published each year by WorkSafe Western Australia in the "State of the Work Environment" series. The information is also available in *SafetyLine* on the Internet at the following address:

[www.safetyline.wa.gov.au/worksafeplan](http://www.safetyline.wa.gov.au/worksafeplan)

The WorkSafe Plan Assessor is trained to calculate each organisation's incidence rates and frequency rates and these can be compared with the rates for each sub-industry.

**5. WorkSafe Western Australia encourages best practice by presenting WorkSafe Plan Certificates of Achievement to organisations with high ratings in each element of the safety management assessment.**

Certificates are presented at two levels. Silver Certificates are for organisations meeting minimum standards and Gold Certificates are for organisations demonstrating good progress toward a best practice approach to safety management.

To obtain a WorkSafe Plan Certificate of Achievement, each organisation must also show that their rates of work-related injury and disease are reducing or kept at low levels. The specific requirements for Gold and Silver Certificates of Achievement are shown in the table on page 14.

The presentation of a WorkSafe Plan Certificate of Achievement does not mean that organisations are relieved of their responsibilities under occupational safety and health laws. A Gold Certificate acknowledges the organisation is demonstrating the commitment and management practices that occupational safety and health laws promote. A Silver Certificate acknowledges substantial progress in the development of these practices.

**6. WorkSafe Western Australia may direct an organisation to have an assessment of their working environment.**

In a situation where safety systems have obviously failed leading to a fatality, large numbers of injuries or extensive enforcement activity, an inspector may issue an improvement notice, to an employer or person in control of a workplace, identifying a breach of a general duty under the *Occupational Safety and Health Act 1984*. Inspectors should always cite the grounds for their opinion when an improvement notice is issued.

The inspector may issue directions in the improvement notice to undertake an assessment of the working environment. This assessment should assist the employer to identify where the safety management system has failed, resulting in situations where employees, contractors or visitors are exposed to hazards.

The conduct of an assessment does not constitute compliance with the notice. Compliance with the notice is achieved when the employer has a system in place, where so far as practicable, employees are not exposed to hazards.

Employers may have a preferred approach to the assessment of their safety management system or they may choose from a number of different assessment or audit tools that are available.

Employers, who decide to use WorkSafe Plan, should have the assessment completed by a competent person, that is, someone who has been properly trained to use the WorkSafe Plan rating method. In this situation, the competent person who completes the assessment may be the employer or an employee of the organisation that has received the improvement notice. The assessment may also be completed by an accredited WorkSafe Plan Assessor for a fee agreed between the Assessor and the organisation.

**7. Anyone is able to use WorkSafe Western Australia's information on the Internet to learn more about WorkSafe Plan.**

WorkSafe Western Australia's free *SafetyLine* service on the Internet includes information on WorkSafe Plan at the following address:

*www.safetyline.wa.gov.au/worksafeplan*

The *SafetyLine* information includes:

- the WorkSafe Plan workbook;
- Gold and Silver Certificates of Achievement that have been presented to organisations in Western Australia;
- a list of accredited WorkSafe Plan Assessors;
- an overview of the Assessor training program; and
- the work-related injury and disease statistics used as benchmarks for WorkSafe Plan Certificates of Achievements.

A printed copy of the workbook may be purchased from WorkSafe Western Australia or you may take as many copies as you wish from *SafetyLine* on the Internet.

## The WorkSafe Plan Rating Method

Each of the 50 indicators in 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, satisfactory or inadequate. The percentage ranges are 0% to 59% for inadequate performance, 60% to 84% for the satisfactory level and 85% to 100% for the exemplary level of performance.

### Gold Certificates of Achievement

A rating of 85% or more in **all five** elements is exemplary, indicating that the organisation is on its way towards best practice in safety management. This level of performance is required for Gold WorkSafe Plan Certificates of Achievement.

At this level, the safety management system will be well documented and monitoring and review will ensure continuous improvement.

#### Example of Results for Gold WorkSafe Plan Certificates of Achievement.



*The results in this bar chart show the organisation has achieved 85% or more in all five elements. This organisation would receive a Gold Certificate of Achievement.*

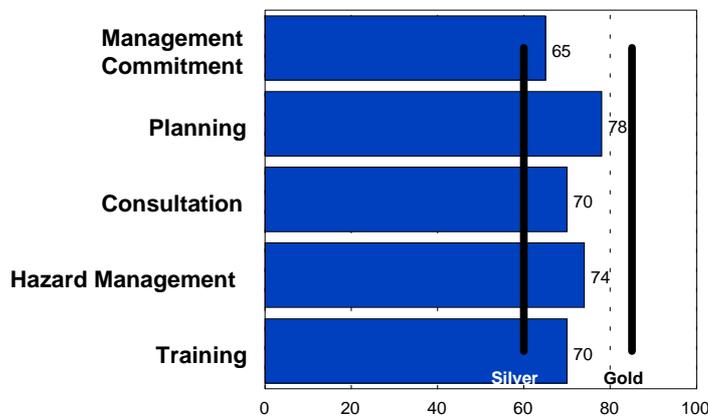
Note: For Gold and Silver Certificates, organisations must achieve ratings at the level required for the Certificate and demonstrate that they meet the injury and disease rate criteria set out on page 14.

### Silver Certificates of Achievement

A rating of 60% or more in **all five** elements is satisfactory; indicating the organisation has a basic safety management system in place. This level of performance is required for Silver WorkSafe Plan Certificates of Achievement.

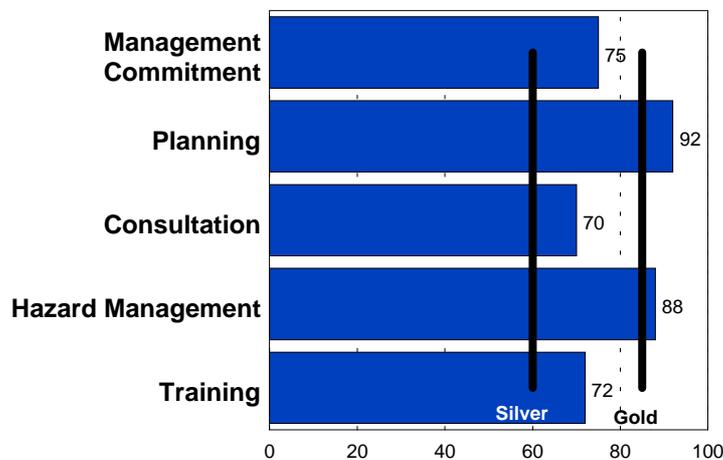
At this level, there is strong emphasis on safe work practices that are actually working rather than emphasis on extensive documentation of the system. As the organisation improves, there is more emphasis on written records that support the system of work.

#### Example of Results for Silver WorkSafe Plan Certificates of Achievement.



The results in the bar chart above show the organisation has achieved 60% or more in all five elements. This organisation would receive a Silver Certificate of Achievement.

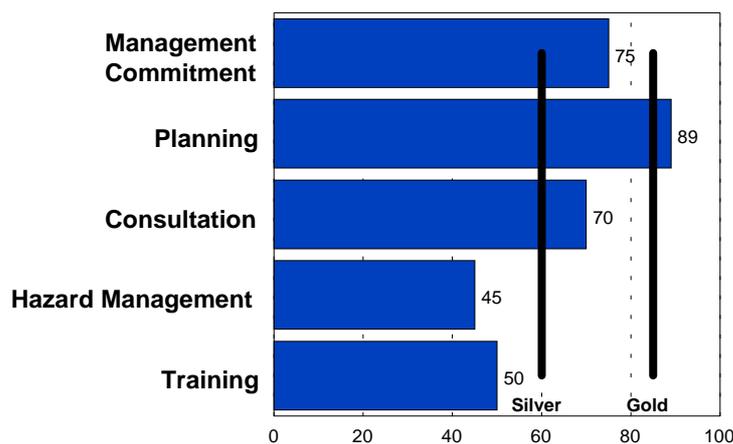
The results in the bar chart below show the organisation has achieved 60% or more in all five elements. This organisation would also receive a Silver Certificate of Achievement, even though the scores in some elements are above 85%.



## Inadequate Safety Management

A rating of less than 60% in any of the elements shows the safety management system is inadequate. There may be some safety management activity but, at this level, there will be many indicators where the organisation does not have basic requirements.

### Example of Results for an Organisation with an Inadequate Safety Management System.



*The results in the bar chart above show the organisation has achieved less than 60% in some elements. This means the overall level of performance is inadequate, even though the scores in other elements are above 60% or above 85%.*

In situations where an indicator is based on specific occupational safety and health laws, scores in the inadequate range may indicate that the organisation does not comply with the law.

## Scoring Indicators

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

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

The WorkSafe Plan Assessor will consider all the evidence and decide whether performance is exemplary, satisfactory or inadequate and the indicator is scored accordingly. Scores from 0 to 5 are in the inadequate range; 6, 7 & 8 are in the satisfactory range; and 9 & 10 are in the exemplary range.

When scoring each indicator, a score of 6 is achieved when performance relating to the requirements of the indicator is just 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.

If the basic requirements of an indicator are not in place, the WorkSafe Plan Assessor will allocate a score in the inadequate range, somewhere between 0 and 5.

A score of 0 indicates that there is no awareness or understanding of why the indicator is important to safety management. It may also indicate that there is no commitment or intention to implement the requirements of the indicator. Scores of 1 to 5 are allocated based on evidence that the organisation is systematically planning and progressively implementing the requirements of the indicator.

Remember, 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, satisfactory or inadequate range.

## Certificates of Achievement

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

<b>THE WORKSAFE PLAN</b>		
<b>Requirement</b>	<b>Gold Certificates</b>	<b>Silver Certificates</b>
<b>WorkSafe Plan ratings</b>	Ratings of 85% or more in every element.	Ratings of 60% or more in every element.
<b>AND</b>		
<b>Reductions in rates of lost time injuries and diseases.</b>	a <b>15%</b> annual reduction in either the incidence rate or frequency rate of lost time injury and disease.	a <b>10%</b> annual reduction in either the incidence rate or frequency rate of lost time injury and disease using data.
<b>OR</b>		
<b>Achievement of low rates of lost time injuries and diseases.</b>	An incidence rate of lost time injury and disease that is less than 75% of the average sub-industry incidence rate published in <i>SafetyLine</i> on the Internet.	An incidence rate of lost time injury and disease that is less than the average sub-industry incidence rate published in <i>SafetyLine</i> on the Internet.
<b>OR</b>		
<b>Other significant lost time injury and disease performance.</b>	Other indicators showing excellent performance, for example, indicators based on improvements in the number of injuries or diseases resulting in 5 or more working days lost or indicators using the injury index, (working days lost per million hours worked).  Indicators in this category are available on special application only and must be accepted by WorkSafe Western Australia.	

The sub-industry incidence rates used by WorkSafe Western Australia for the purposes of issuing Certificates of Achievement are available in *SafetyLine* on the Internet at the following address:

[www.safetyline.wa.gov.au/worksafeplan](http://www.safetyline.wa.gov.au/worksafeplan)

This information is also available in WorkSafe Western Australia's "State of the Work Environment" publications.

## **Calculating Injury and Disease Rates**

The incidence rates and frequency rates used in the “State of the Work Environment” series are based on three-year averages. The rates for all individual organisations are also calculated using three-year averages. An organisation’s three-year average up to the end of the last financial year is compared with the three-year average up to the end of the financial year before.

If an organisation has been operating for less than three years, WorkSafe Western Australia should be satisfied that data available from the commencement of business clearly demonstrates that injury and disease rates have been reduced or maintained at low levels.

## **Using Different Financial Years**

Usually the financial year for organisations in Western Australia is from 1 July to 30 June. In situations where an organisation is operating on a different twelve month period, the usual records are acceptable. The organisation is not required to produce special work-related injury and disease reports for the WorkSafe Plan Assessor or for WorkSafe Western Australia.

## **Fatal and Serious Injuries and Diseases**

In situations where there has been a fatality or serious injury or disease at a workplace, a WorkSafe Plan Certificate of Achievement would not be issued to the organisation for at least one year after the event and then only when WorkSafe Western Australia is satisfied that there is a safe working environment. WorkSafe Western Australia would make that determination by seeking additional information from the WorkSafe Plan Assessor and by arranging a follow-up inspection of the workplace by an inspector.

If a fatality or serious injury or disease occurred at a workplace where the organisation already had a WorkSafe Plan Certificate of Achievement, the validity of the Certificate of Achievement would be reviewed by WorkSafe Western Australia following investigation by an inspector.

## **The Life of Certificates of Achievement**

Subject to the conditions outlined above, Certificates of Achievement are valid for three years from the date of issue provided the organisation continues to meet the one of the injury and disease rate criteria set out in the Table on page 14. The criteria must be from the same level (Silver or Gold) as the original Certificate of Achievement. Reassessment by a WorkSafe Plan Assessor is not required during this time.

Organisations that want to maintain their Certificates of Achievement during the three year term should forward their injury and disease data to WorkSafe Western Australia at the end of each financial year. A letter confirming the validity of the Certificate will be returned to the organisation when the data is accepted. WorkSafe Western Australia reserves the right to request additional data or further information to clarify the status of the organisation.

If the organisation does not meet the required injury and disease rate criteria, the Certificate of Achievement lapses and reassessment is required for renewal.

### **Upgrading Certificates of Achievement**

To upgrade a WorkSafe Plan Certificate of Achievement from Silver to Gold, WorkSafe Western Australia requires confirmation from an accredited WorkSafe Plan Assessor that the organisation's current rating for all elements and injury and disease rates are in accordance with Gold level criteria.

### **Renewal of Certificates of Achievement**

Reassessment by an accredited WorkSafe Plan Assessor is required to renew Certificates of Achievement.

**WORKSAFE PLAN**

**RECORD OF PERFORMANCE**

## WorkSafe Plan: Assessment Details

1. Reference number: \_\_\_\_\_
2. Name of organisation to be assessed: \_\_\_\_\_
3. Address: \_\_\_\_\_  
\_\_\_\_\_
4. Postal address: \_\_\_\_\_  
\_\_\_\_\_
5. Chief Executive Officer Name: \_\_\_\_\_  
Position title: \_\_\_\_\_  
Phone/Fax: \_\_\_\_\_  
Email: \_\_\_\_\_
6. Contact person: Name: \_\_\_\_\_  
Position title: \_\_\_\_\_  
Phone/Fax: \_\_\_\_\_  
Email: \_\_\_\_\_
7. Name of parent organisation (if any): \_\_\_\_\_
8. Name on the workers' compensation policy covering the organisation to be assessed: \_\_\_\_\_  
\_\_\_\_\_
9. Date of initial contact: \_\_\_\_\_  
\_\_\_\_\_
10. Date of report: \_\_\_\_\_



## **NOTES**

## Summary of Scores for each WorkSafe Plan Element

<b>Organisation Name:</b>
<b>Date:</b>
<b>Assessor:</b>

										Total	%
<b>Management Commitment</b>											
1.1	1.2	1.3	1.4	1.5	1.6	1.7	1.8	1.9			
										90	

<b>Planning</b>											
2.1	2.2	2.3	2.4	2.5	2.6	2.7	2.8	2.9	2.10		
2.11	2.12										
										120	

<b>Consultation</b>								
3.1	3.2	3.3	3.4	3.5	3.6	3.7		
							70	

<b>Hazard Management</b>											
4.1	4.2	4.3	4.4	4.5	4.6	4.7	4.8	4.9	4.10		
4.11	4.12	4.13	4.14								
										140	

<b>Training</b>									
5.1	5.2	5.3	5.4	5.5	5.6	5.7	5.8		
								80	

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.

## **NOTES**

**WORKSAFE PLAN**

**WORKBOOK**

## **Element One: Management Commitment**

*In this workbook, "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 Directors. There is also reference to the "employer" and "employees" and these terms are as defined in the Occupational Safety and Health Act 1984. 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 - employees, contractors, customers and visitors.

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

- have an occupational 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 occupational safety and health laws and make arrangements for the organisation to comply with them;
- identify the organisation's occupational safety and health objectives;
- allocate adequate resources to achieve the objectives; and
- assign competent people to safety management activities.

### **Standard No.1**

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

*Use the indicators on the following pages to rate your performance against Standard No. 1.*

NOTE:

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.

<i>Indicator 1.1</i>	
<p><b>The person who is the employer has identified the general responsibilities that apply to him/her under occupational safety and health laws.</b></p>	
<i>Guidance</i>	
<p><b>Whatever structure your organisation has, if there are employees, there will be an "employer" as defined in occupational safety and health laws and this person or group will have the general duty of care to provide and maintain workplaces where employees and other people are not exposed to hazards.</b></p> <p><b>To achieve a satisfactory rating, the "employer" should understand that he/she is the person defined as the "employer" under occupational safety and health laws. They should be aware of the general duties that apply to them and that they are responsible for employees, contractors and visitors to workplaces under their control. Assessors will look for evidence that the employer has been identified and has an adequate level of understanding of the occupational safety and health responsibilities that are associated with the position.</b></p> <p><b>There should be an effective process that makes all employees and contractors aware of who the "employer" is and that the employer is responsible for providing and maintaining a work environment where they are not exposed to hazards.</b></p> <p><b>For a higher rating, there should be documents that identify the employer and make it clear that the employer understands and accepts relevant responsibilities under occupational safety and health laws. Changes to the law should be monitored and supporting documentation should be reviewed and re-endorsed when changes occur or at least once per year.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 1.1</b>	



<i>Indicator 1.3</i>	
<b>The employer is actively involved in safety management.</b>	
<i>Guidance</i>	
<p>This indicator is based on the understanding that high level involvement 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 activities.</p> <p>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 the employer to withdraw from any further active involvement in safety management.</p> <p>To achieve a satisfactory rating for this indicator, the employer should understand the benefits of active involvement in safety management and actually participate in key management activities, including training. Assessors will look for evidence of the extent to which the employer is involved in activities such as, planning the organisation’s approach to safety management, setting occupational safety and health objectives, regularly evaluating performance measures and reviewing the safety management system. Evidence of the employer placing a high priority on certain activities and completing them on time, would also indicate active involvement. An example is the review of the policy at least annually to keep it up-to-date.</p> <p>Employees should have the impression that the employer believes safety management is important and sets aside time to make sure safety is managed properly.</p> <p>For a higher rating, the employer’s involvement in safety management would be very well known and supported by employees. It would be well documented. Employee perceptions of the involvement would be monitored and reviewed and maintained at a high level. There would be evidence of direct intervention by the employer if serious problems occurred.</p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 1.3</b>	

<i>Indicator 1.4</i>	
<b>A competent person in the organisation coordinates safety management activities.</b>	
<i>Guidance</i>	
<p>The Coordinator usually has responsibility for the implementation of high level decisions relating to the safety management system. Duties may include the provision of information and advice that allows the employer and senior managers to make informed decisions about safety management.</p> <p>The Coordinator may have other duties apart from the duties related to safety management. Whatever the arrangement, it is important for the Coordinator to have a clear understanding of what the safety management duties are and others should recognise that the duties are part of that person's job.</p> <p>To achieve a satisfactory rating for this indicator, the coordination of safety management should be assigned to a competent person in the organisation and carried out by that person on a regular basis. The particular experience, knowledge, training, skills and/or qualifications required for the person to be "competent" will depend upon the industry, the type of work and the level of risk that people in the organisation may be exposed to. The rating for this indicator requires a judgement about whether the person's competencies match the needs of the organisation in relation to safety management. Assessors will look at how the organisation identified the competencies required to carry out the duties of the position and the process used for the selection of the person.</p> <p>For a higher rating, the processes used to achieve this outcome would be well documented. The duties of the position and the level of authority required would be monitored, reviewed and continuously improved to ensure successful coordination.</p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 1.4</b>	

<i>Indicator 1.5</i>	
<b>There is an occupational safety and health policy that is up-to-date.</b>	
<i>Guidance</i>	
<p>To achieve a satisfactory rating for this indicator, there should be an occupational safety and health policy that is finalised and endorsed by the “employer”. In situations where the “employer” is more than one person, such as with a body corporate, one person would sign as a representative of the group. “Up-to-date” means that it has been reviewed in the last 12 months and re-endorsed. As a minimum, the policy should contain:</p> <ul style="list-style-type: none"> <li>• a statement regarding the organisation’s commitment to high standards of occupational safety and health;</li> <li>• a statement that the employer understands and accepts responsibilities set out in occupational safety and health laws;</li> <li>• the occupational safety and health objectives for the organisation;</li> <li>• the employer’s signature; and</li> <li>• the date of issue or re-endorsement.</li> </ul> <p>For a higher rating, the process used to achieve this outcome would 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 an employee representative to demonstrate high level commitment to consultative management.</p> <p>The policy would be reviewed on time or earlier if necessary, and continuously improved to keep up with current developments in safety management or changes in the culture and policies of the organisation.</p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 1.5</b>	

<i>Indicator 1.6</i>	
<b>Everyone in the organisation knows about the occupational safety and health policy.</b>	
<i>Guidance</i>	
<p>In this indicator, “everyone” refers to employees and contractors used by the organisation. If the occupational safety and health policy is in draft form, but has not been finalised, the rating should be in the inadequate range, unless the policy is under review and there is evidence that processes to support this indicator were working prior to the review.</p> <p>To achieve a satisfactory rating for this indicator, the organisation should have a process to provide a copy of the policy to every employee and contractor. The process should also ensure that the policy is read and understood. Where necessary, there should be special arrangements for people who cannot read English for any reason. Employees 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. Assessors will look for evidence of how this outcome is achieved and how the employer can be confident that the system applies to everyone.</p> <p>Employees should be able to 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.</p> <p>For a higher rating, the processes used to achieve this outcome would be well documented, monitored, reviewed and continuously improved. The policy may appear as a document but other evidence could include computer discs, audiotapes and videotapes if the policy is distributed using these methods.</p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 1.6</b>	

<i>Indicator 1.7</i>	
<b>Adequate resources are provided for all aspects of safety management.</b>	
<i>Guidance</i>	
<p><b>This indicator looks at whether the resources are available to support safety management decisions that are in the best interest of the organisation. It covers direct costs, such as the provision of safety equipment, the use of occupational safety and health specialists and the cost of training. It also covers costs that may be less obvious, 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 may also be the provision of information that is up-to-date and competent people, who may be from inside or outside the organisation. Time is also a resource, but it is covered by the following indicator at 1.8 and should not be scored here.</b></p> <p><b>To achieve a satisfactory rating, resources should be provided to allow the implementation of decisions regarding occupational safety and health. Decisions to reduce risk should not be based on cost alone or deferred because funds are not available. Proper planning should ensure that funds are available when they are needed. It is acceptable to implement risk controls progressively to spread the cost over the year, provided this is done following proper assessment of risks with high priorities addressed within a reasonable time. Assessors will look for evidence of the extent to which the allocation of resources is adequate for the industry, type of work and level of risk.</b></p> <p><b>For a higher rating, the resource allocation processes would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 1.7</b>	

<i>Indicator 1.8</i>	
<b>All employees have sufficient time to carry out specific tasks related to occupational safety and health.</b>	
<i>Guidance</i>	
<p><b>This could be considered as part of resource allocation but has been included as a separate indicator because lack of time appears to be a common excuse given to justify why occupational safety and health activities have not been completed. It is a factor of work organisation and the priority that is assigned to safety management by everyone in the organisation.</b></p> <p><b>To achieve a satisfactory rating, everyone should understand their occupational safety and health duties and complete set tasks in an agreed time. 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 task on time. Employees should confirm that the system is working and, as a general rule, there is enough time to complete the occupational safety and health tasks allocated to them. Assessors will look at how this outcome is achieved and how the employer can be confident that the system applies to everyone.</b></p> <p><b>For a higher rating, the time management processes would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 1.8</b>	

<i>Indicator 1.9</i>	
<b>All employees are accountable for occupational safety and health in their area of responsibility.</b>	
<i>Guidance</i>	
<p>For employees to be “accountable”, they should have the authority and the resources to achieve the objectives set for them. Everyone should understand their occupational safety and health duties, they should have set tasks or objectives to achieve by an agreed time, there should be a way of evaluating their performance and performance should be reviewed at set intervals or as problems arise. 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.</p> <p>Every employee will have some responsibility, even if it is simply to meet the employees’ general duty in occupational safety and health laws. The accountability processes should include an individual check to ensure these responsibilities are understood and taken seriously.</p> <p>To achieve a satisfactory rating for this indicator, there should be processes to support accountability for occupational safety and health performance at all levels in the organisation. Assessors will look for evidence of how this outcome is achieved and how the employer can be confident that the system applies to everyone. Employees should confirm that the system is working.</p> <p>For a higher rating, the processes used to achieve this outcome would be well documented, monitored, reviewed and continuously improved. There would be at least annual review of the occupational safety and health objectives that underpin accountability at all levels of the organisation. These objectives would be consistent with the organisation’s high level occupational safety and health objectives referred to in indicator 2.2.</p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 1.9</b>	

## **Element Two: Planning**

Planning is needed to work out how the organisation is going to put the occupational safety and health policy statement into practice. It includes setting the high-level occupational 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 occupational safety and health objectives, including the internal environment and culture of the organisation and external factors, such as the review and development of occupational 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 occupational safety and health objectives of the organisation. Planning should also determine the organisation's overall approach to the evaluation of occupational safety and health performance and the way the system is to be continuously improved.

### **Standard No.2**

**Planning is used to establish and maintain a safety management system that is set up to continuously improve occupational safety and health.**

*Use the indicators on the following pages to rate your performance against Standard No. 2.*

#### **NOTE:**

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.

<i>Indicator 2.1</i>	
<b>The organisation's approach to safety management is planned in a systematic way.</b>	
<i>Guidance</i>	
<p><b>This indicator refers to high level planning of the safety management system. It would include setting the organisation's objectives and establishing the 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. There should also be decisions about the way occupational safety performance is to be measured at the corporate level, and the information required by management to monitor and review the system.</b></p> <p><b>To achieve a satisfactory rating, there should be evidence of a systematic approach to occupational safety and health planning, as outlined above. 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. It would not be acceptable to take an occupational safety and health plan, that has been developed elsewhere, and simply adopt it.</b></p> <p><b>For a higher rating, the planning process would be well documented, monitored, reviewed and continuously improved. Planning may be in accordance with a recognised quality assurance, safety management or similar Standard. Employees may be represented at planning meetings, but the score for this indicator is not dependent upon the extent of consultation. This is scored at indicator 3.4 in the Consultation Element.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.1</b>	

<i>Indicator 2.2</i>	
<b>There are occupational safety and health objectives for the organisation.</b>	
<i>Guidance</i>	
<p><b>This indicator refers to the organisation’s high level occupational safety and health objectives and includes objectives for the whole of consultation, hazard management and training. It is not intended to cover lower level objectives, such as objectives for training courses or those included in the performance appraisals of individuals or groups within the organisation.</b></p> <p><b>To achieve a satisfactory rating, occupational safety and health objectives should be developed annually. They should result from systematic planning and be based on proper analysis of the needs of the organisation. The Assessor will look at the process used to develop the objectives and to make them clear to everyone in the organisation. Employees should be able to confirm that there are occupational safety and health objectives and they should understand what they are.</b></p> <p><b>For a higher rating, the occupational safety and health objectives would be well documented, monitored, reviewed and continuously improved. Monitoring and review processes would cover employees’ awareness and understanding of the objectives.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.2</b>	

<i>Indicator 2.3</i>	
<b>The organisation measures its occupational safety and health performance.</b>	
<i>Guidance</i>	
<p><b>The safety management system should include occupational safety and health performance measures. There is considerable debate about the usefulness of different types of performance measures, but “WorkSafe Plan” does not prescribe a particular approach. The main point is that organisations understand the need to measure whether they are successful and use the information for continuous improvement of occupational safety and health performance. The extent to which recommendations for improvement are acted upon is covered in the indicator at 2.6.</b></p> <p><b>To achieve a satisfactory rating, measures of occupational safety and health performance will be in place at different levels of the organisation. There would be reliable methods of data collection, analysis and reporting. Recommendations based on information in the reports would be developed and presented to management in a reasonable time. Employees should confirm that they understand how the process works and contribute relevant data. Assessors will look for evidence of the methods used to ensure the system is reliable.</b></p> <p><b>For a higher rating, the performance measurement processes would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.3</b>	

<i>Indicator 2.4</i>	
<b>The organisation uses occupational safety and health specialists in areas where they are needed.</b>	
<i>Guidance</i>	
<p><b>“Occupational safety and health specialists” means people with specific competencies required for any aspect of safety management. The competencies may be related to the safety management system and the people may be skilled in areas such as, interpretation of the law, planning and auditing or issue resolution. Competencies may be related to the management of specific hazards, such as noise, manual handling or hazardous substances, or they may be required in areas such as the design and delivery of training.</b></p> <p><b>To achieve a satisfactory rating, the organisation should analyse the competencies that it requires to manage its occupational safety and health priorities. It is acceptable to use competent people or “specialists” from within the organisation, but if necessary, the specialists should be brought in from outside. Assessors will look for evidence of the process used to identify and locate the specialist services required.</b></p> <p><b>For a higher rating, the processes used to achieve this outcome would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.4</b>	

<i>Indicator 2.5</i>	
<b>There is an assessment of the safety management system at least once a year.</b>	
<i>Guidance</i>	
<p><b>At least once a year, management should step back from the day-to-day problems that occur and review the organisation’s approach to safety management. It would be acceptable to use any systematic method of auditing or assessing the safety management system, including use of “WorkSafe Plan”.</b></p> <p><b>To achieve a satisfactory rating, a person who has been trained in the use of the particular assessment method should complete the assessment. The person may be from inside or outside the organisation. There should be examination of the way the safety management system is set up and verification that it is working properly in the organisation’s workplaces. The assessment should result in recommendations that are based on factual information gathered by the Assessor. Employees should confirm that they contributed to the assessment by providing information on the way the safety management system was working in their work area.</b></p> <p><b>For a higher rating, the assessment processes would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.5</b>	

<i>Indicator 2.6</i>	
<b>Recommendations to improve safety management are acted upon.</b>	
<i>Guidance</i>	
<p><b>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.</b></p> <p><b>To achieve a satisfactory rating, 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. Employees should confirm that recommendations affecting their work area were acted upon in a reasonable time.</b></p> <p><b>For a higher rating, the processes used to consider occupational safety and health recommendations would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.6</b>	

<i>Indicator 2.7</i>	
<b>Relevant occupational safety and health information is easily accessible.</b>	
<i>Guidance</i>	
<p><b>In this indicator, “relevant” means relevant to the industry, type of work and level of risk. “Easily accessible” means the employee who requires the information, would be able to receive it within 24 hours.</b></p> <p><b>To achieve a satisfactory rating, the organisation would have identified relevant information. As a minimum, information should be as required by occupational safety and health laws. This would include items such as copies of the legislation, relevant Standards, codes of practice and material safety data sheets. Assessors will look for evidence of the methods used to ensure the information is easily accessible. Employees should confirm that they could obtain the information they require in a reasonable time.</b></p> <p><b>For a higher rating, the processes used to make occupational safety and health information easily accessible would be well documented, monitored, reviewed and continuously improved. The quality and scope of the information could be developed beyond the minimum required by law.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.7</b>	

<i>Indicator 2.8</i>	
<b>Management selects contractors who will operate in a safe manner.</b>	
<i>Guidance</i>	
<p><b>In Western Australian occupational safety and health laws, when an organisation uses a contractor to carry out some of the work associated with its trade or business, the “employer” becomes the “principal” and is deemed to be the employer of the contractor and any sub-contractors. Employers have the same duty to these people as they have to their own employees, although the situation is limited to matters that are under each employer’s control. There are some situations where the “principal” and the contractor share the control.</b></p> <p><b>To achieve a satisfactory rating, the organisation should have contractor selection criteria that include minimum requirements for occupational 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.</b></p> <p><b>For a higher rating, the processes used to select contractors would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.8</b>	

<i>Indicator 2.9</i>	
<b>Contractors are managed to make sure safety standards are maintained.</b>	
<i>Guidance</i>	
<p><b>As a general rule, the same occupational safety and health standards that apply to employees in the organisation should apply to contractors. Arrangements for occupational safety and health should be agreed prior to the contractor commencing work.</b></p> <p><b>To achieve a satisfactory rating, there should be 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, although this may have been dealt with to some extent in the selection process referred to above in indicator 2.8. There should be a process for resolving issues that may arise. Employees 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. Employees should also be able to confirm that contractors in their area carry out their work activities in accordance with their agreement with the employer.</b></p> <p><b>For a higher rating, the processes used to manage contractors would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.9</b>	

<i>Indicator 2.10</i>	
<b>The safety management system includes arrangements for the safety of visitors.</b>	
<i>Guidance</i>	
<p><b>This indicator combines all of the features of the safety management system that are required to provide for the safety and health of visitors to the organisation’s workplaces. “Visitor” means 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.</b></p> <p><b>To achieve a satisfactory rating, there should be procedures for managing visitors, including checks when they arrive at the workplace and communication systems to notify others that visitors 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. Employees should understand the process for managing visitors and any special arrangements that are necessary to ensure the safety of particular groups. Employees should also be able to confirm that notification and communication systems associated with the control of visitors are working properly.</b></p> <p><b>For a higher rating, the processes used to manage visitors would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.10</b>	

<i>Indicator 2.11</i>	
<b>Hazard management includes arrangements for employees with special needs.</b>	
<i>Guidance</i>	
<p><b>“Employees with special needs” includes any employee that requires personal consideration of their occupational 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 disabilities of all types, intellectual disabilities, dyslexia or any other condition that means the person is unable to read, people who are unable to speak English or understand the English language and people who are young and inexperienced. Employees who are returning to work after an injury or illness may require special arrangements while they are participating in a rehabilitation program or until they are fully recovered.</b></p> <p><b>To achieve a satisfactory rating, the hazard management process should take people with special needs into account. The process should be working properly. It would not be acceptable for parts of the system of work to be overlooked, even if hazard management for some groups is thorough. In organisations where there are no people with special needs, there should be evidence that the special needs of individual employees were evaluated and it was reasonable to conclude that no special arrangements were required.</b></p> <p><b>Employees should confirm that they contribute relevant information to the hazard management process for people with special needs in their work area. The process should be working properly.</b></p> <p><b>For a higher rating, the hazard management process for people with special needs would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.11</b>	

<i>Indicator 2.12</i>	
<b>The organisation has relevant emergency procedures.</b>	
<i>Guidance</i>	
<p><b>Emergency procedures should be relevant to the organisation and the unplanned disruptive incidents that are likely to occur. They will usually include emergency evacuations from a building or other place such as a construction site, ship, vehicle or a remote location. The disruptive incidents may include hazardous substance spills, explosions, fire, flood, power failure, bomb threat, robbery, civil protest and vehicle accidents and breakdowns. There should be a first aid service in all workplaces as part of the management of emergencies.</b></p> <p><b>To achieve a satisfactory rating, the organisation should identify the various types of disruptive incidents that may occur, plan and implement appropriate action. Emergency management should include action to be taken after a disruptive incident to restore order and provide assistance to employees who may require it. This is important for people who may suffer long term psychological effects following incidents such as robbery or other forms of workplace violence. This may be required, even if the employee is not physically injured or was not directly involved.</b></p> <p><b>Employees should confirm that relevant emergency procedures have been developed, including arrangements for visitors and any special arrangements that are necessary to ensure the safety of particular groups in their work area.</b></p> <p><b>For a higher rating, the process used to develop emergency procedures would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 2.12</b>	

## **Element Three Consultation**

Consulting with employees regarding the organisation's safety management is a legal requirement and it makes good business sense.

When management works with employees to achieve shared objectives employees are more likely to understand management decisions and actively support and action them.

Employees often have a good understanding of high risk activities in their work areas. By setting up a system for two-way communication, where management listens to and cooperates with employees, management can make sure safety management decisions are based on all available information.

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

### **Standard No. 3**

**A mechanism for consulting with employees has been developed and is working effectively.**

*Use the indicators on the following pages to rate your performance against Standard No. 3.*

#### **NOTE:**

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.

<i>Indicator 3.1</i>	
<b>Management has identified the requirements for consultation under occupational safety and health laws.</b>	
<i>Guidance</i>	
<p>In Western Australia, the occupational safety and health laws referred to in this indicator, and other indicators in this element, are the <i>Occupational Safety and Health Act 1984</i> and the <i>Occupational Safety and Health Regulations 1996</i>.</p> <p>To achieve a satisfactory rating, the “employer” and the most senior management group or person at the workplace should understand that they have responsibilities under occupational safety and health laws to consult and cooperate with safety and health representatives, if any, and other employees at the workplace. Employers and managers should also have a general understanding of the rights and responsibilities in laws relating to safety and health representatives and committees. This is required, even if safety and health representatives and committees have not been established under the Act. The premise is that the laws should be understood so the employer can deal with requests made in accordance with the laws. Assessors will look for evidence of the methods used to achieve an adequate level of awareness and understanding.</p> <p>Employees should confirm they are aware that the employer understands and accepts responsibilities for consulting and cooperating with them regarding occupational safety and health at the workplace. This may be achieved via a policy statement or any other means.</p> <p>For a higher rating, there should be documents that make it clear that the employer understands and accepts relevant responsibilities under occupational safety and health laws. Changes to the law should be monitored and supporting documentation should be reviewed and re-endorsed when changes occur or at least once per year.</p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 3.1</b>	

<i>Indicator 3.2</i>	
<b>Employees understand the requirements for consultation under occupational safety and health laws.</b>	
<i>Guidance</i>	
<p>To achieve a satisfactory rating for this indicator, there should be a process that ensures all employees know there are occupational safety and health laws regarding consultation and cooperation with employers. Employees should understand the content 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 place-to-place. The Assessor will look for evidence of how this outcome is achieved and how the employer can be confident that the system will apply to everyone. Employees should verify that they participate in the process and it is effective.</p> <p><b>For a higher rating, the processes used to achieve this outcome would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 3.2</b>	

<i>Indicator 3.3</i>	
<b>Consultation is planned in a systematic way to fit in with work arrangements throughout the organisation.</b>	
<i>Guidance</i>	
<p><b>This indicator refers specifically to the planning of the consultative mechanism to be used by the organisation. It would include arrangements to achieve the organisation's high level objectives for consultation (if they exist), to implement broad strategies to achieve the objectives and to comply with relevant occupational safety and health laws 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.</b></p> <p><b>To meet the requirements of this indicator, the organisation does not have to plan for safety and health representatives and committees, set up in accordance with the <i>Occupational Safety and Health Act 1984</i>, unless there is a request made by employees in accordance with the Act.</b></p> <p><b>To achieve a satisfactory rating, there should be evidence of a systematic approach to planning the organisation's consultative mechanism, as outlined above. There should be a major planning exercise that considers the organisation's consultative mechanism at least once a year. The planning process should result in strategies that suit the organisation's needs. It would not be acceptable to take a plan for consultation, that has been developed elsewhere, and simply adopt it.</b></p> <p><b>For a higher rating, the planning process would be well documented, monitored, reviewed and continuously improved. Planning may be in accordance with a recognised quality assurance, safety management or similar Standard. Employees should be represented at planning meetings that deal specifically with the consultative mechanism for the organisation.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 3.3</b>	

<i>Indicator 3.4</i>	
<b>Employees are consulted regarding occupational safety and health planning.</b>	
<i>Guidance</i>	
<p><b>This indicator looks at the implementation of an effective process for consultation regarding occupational safety and health planning at various levels in the organisation. It differs from indicator 3.3, because it requires the Assessor to evaluate the organisation's approach to occupational safety and health planning, to test the effectiveness of the consultative mechanism that is in place.</b></p> <p><b>To achieve a satisfactory rating, there should be a consultation mechanism that allows all employees, including shift workers and employees at remote locations, to contribute to occupational safety and health planning. The consultation mechanism should be working effectively and comply with relevant laws.</b></p> <p><b>To meet the requirements of this indicator, the organisation does not have to have safety and health representatives and a committee, set up in accordance with the <i>Occupational Safety and Health Act 1984</i>, unless there is a request made by employees in accordance with the Act. If the consultative mechanism is set up in accordance with the Act, the organisation must comply with the laws relating to safety and health representatives and/or committees to achieve a satisfactory rating for this indicator.</b></p> <p><b>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. Employees 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.</b></p> <p><b>For a higher rating, the processes used to achieve this outcome would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 3.4</b>	

<i>Indicator 3.5</i>	
<b>Employees are consulted regarding hazard management.</b>	
<i>Guidance</i>	
<p><b>This indicator looks at the implementation of an effective process for consultation regarding hazard management for occupational safety and health at various levels in the organisation. It requires the Assessor to evaluate the organisation's approach to hazard management, to test the effectiveness of the consultative mechanism that is in place.</b></p> <p><b>To achieve a satisfactory rating, there should be a consultation mechanism for all employees, including shift workers and employees at remote locations. In relation to hazard management, the consultation mechanism should be working effectively. The consultation mechanism used by the organisation should comply with relevant laws.</b></p> <p><b>To meet the requirements of this indicator, the organisation does not have to have safety and health representatives and a committee, set up in accordance with the <i>Occupational Safety and Health Act 1984</i>, unless there is a request made by employees in accordance with the Act. If the consultative mechanism is set up in accordance with the Act, the organisation must comply with the laws relating to safety and health representatives and/or committees to achieve a satisfactory rating for this indicator.</b></p> <p><b>Employees should be able to confirm that they are consulted regarding the implementation, monitoring and review of measures used to reduce risk, especially in their area of responsibility. For general matters, employees may not be 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, employees should confirm that they have opportunities to provide personal comment, possibly via toolbox meetings or staff meetings.</b></p> <p><b>For a higher rating, the processes used to achieve this outcome would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 3.5</b>	

<i>Indicator 3.6</i>	
<b>Employees are consulted regarding occupational safety and health training.</b>	
<i>Guidance</i>	
<p><b>This indicator looks at the implementation of an effective process for consultation regarding occupational safety and health training at various levels in the organisation. It requires the Assessor to evaluate the organisation’s approach to occupational safety and health training, to test the effectiveness of the consultative mechanism that is in place.</b></p> <p><b>To achieve a satisfactory rating, there should be a consultation mechanism for all employees, including shift workers and employees at remote locations. In relation to training, the consultation mechanism should be working effectively. The consultation mechanism used by the organisation should comply with relevant laws.</b></p> <p><b>To meet the requirements of this indicator, the organisation does not have to have safety and health representatives and a committee, set up in accordance with the <i>Occupational Safety and Health Act 1984</i>, unless there is a request made by employees in accordance with the Act. If the consultative mechanism is set up in accordance with the Act, the organisation must comply with the laws relating to safety and health representatives and/or committees to achieve a satisfactory rating for this indicator.</b></p> <p><b>Employees should be able to confirm that they are consulted regarding the implementation, monitoring and review of occupational safety and health training, especially in their area of responsibility. For general matters, employees may not be 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, employees should confirm that they have opportunities to provide personal comment, possibly via toolbox meetings or staff meetings.</b></p> <p><b>For a higher rating, the processes used to achieve this outcome would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 3.6</b>	

<i>Indicator 3.7</i>	
<b>The consultative mechanism is evaluated.</b>	
<i>Guidance</i>	
<p><b>This indicator covers the evaluation process, including the presentation of results and 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.</b></p> <p><b>To achieve a satisfactory rating, the process used to evaluate the effectiveness of the consultative mechanism should provide information on the extent to which occupational safety and health consultation with employees is effective and operating as planned.</b></p> <p><b>Employees should confirm that they contribute relevant information as part of the evaluation process.</b></p> <p><b>For a higher rating, the evaluation process for the consultative mechanism would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 3.7</b>	

## Element Four: Hazard Management

For the purpose of “WorkSafe Plan” 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 employees, 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 employees, contractors and visitors and how serious the injuries or the harm might be.
- **Risk reduction** take action to prevent the injuries and harm that may occur.

These steps are set out in occupational safety and health laws. 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

**There is an effective system to identify hazards and to assess and control risks.**

*Use the indicators on the following pages to rate your performance against Standard No. 4.*

NOTE:

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.

<i>Indicator 4.1</i>	
<b>Management has identified the legal requirements for reducing risks at work.</b>	
<i>Guidance</i>	
<p><b>In Western Australia, the occupational safety and health laws referred to in this indicator, and other indicators in this element, are the <i>Occupational Safety and Health Act 1984</i> and the <i>Occupational Safety and Health Regulations 1996</i>.</b></p> <p><b>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 occupational safety and health laws to reduce risk, so far as is practicable. Employers and managers should have a general understanding of laws relating to the process of hazard identification, risk assessment and risk reduction, including specific references to areas such as manual handling, the safe use of plant, hazardous substances and the use of protective clothing and equipment. They should also understand that in certain situations, the possible means of reducing risks is prescribed, such as in the case of the prevention of falls at workplaces. Assessors will look for evidence of the methods used to identify the requirements and achieve an adequate level of awareness and understanding.</b></p> <p><b>Employees should confirm they are aware that the employer understands and accepts responsibilities for reducing the risk of work-related injuries and diseases.</b></p> <p><b>For a higher rating, there should be documents that make it clear that the employer understands and accepts relevant responsibilities under occupational safety and health laws. Changes to the law should be monitored and supporting documentation should be reviewed and re-endorsed when changes occur or at least once per year.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.1</b>	

<i>Indicator 4.2</i>	
<b>Employees understand the legal requirements for reducing risks at work.</b>	
<i>Guidance</i>	
<p>To achieve a satisfactory rating for this indicator, there should be a process that ensures all employees know that there are occupational safety and health laws that require hazard identification, risk assessment and risk reduction generally and in relation to specific hazards that may apply to them. Employees should understand the consequences of failing to comply. The methods used to achieve a reasonable level of understanding can vary from place-to-place. The Assessor will look for evidence of how this outcome is achieved and how the employer can be confident that the system will apply to everyone. Employees should verify that they participated in a process to increase their awareness and understanding and it was effective.</p> <p><b>For a higher rating, the processes used to achieve this outcome would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.2</b>	

<i>Indicator 4.3</i>	
<p><b>There is a process for reporting work-related injuries and diseases, including first aid treatments.</b></p>	
<i>Guidance</i>	
<p><b>The requirements of this indicator support the hazard identification process. 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.</b></p> <p><b>Serious accidents and minor injuries resulting in the need for first aid treatments should be recorded using the same basic principles. This is because sometimes a minor injury could have been much worse in slightly different circumstances. This indicator refers to internal arrangements for reporting work-related injuries and diseases, as well as the reporting of prescribed injuries as set out in occupational safety and health laws.</b></p> <p><b>To achieve a satisfactory rating, there should be systematic reporting and recording of all work-related injuries and diseases. Where there is a requirement to report injuries or diseases to WorkSafe Western Australia, this should be complied with. Assessors will look for evidence of how this outcome is achieved and how the employer can be confident that all work-related injuries and diseases are recorded. Employees should understand the reporting process and confirm that data collection is accurate and reliable.</b></p> <p><b>For a satisfactory rating, this indicator does not require the internal reporting of accidents or incidents that did not result in injury or disease. However, “near misses” or incidents where there was potential for serious injury or disease should be reported to achieve a higher rating.</b></p> <p><b>For a higher rating, the processes used to report work-related injuries and diseases and “near misses” would be well documented, monitored, reviewed and continuously improved. The reporting and recording system may be set up in accordance with a recognised Standard.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.3</b>	

<i>Indicator 4.4</i>	
<b>All work related injuries and diseases are investigated.</b>	
<i>Guidance</i>	
<p><b>The requirements of this indicator support the hazard identification process. It is important for the organisation to investigate work-related injuries and diseases to determine the causes and take action to prevent similar events in the future. This is consistent with the overall approach to reduce the risk of work-related injuries and diseases.</b></p> <p><b>Serious accidents and minor injuries resulting in the need for first aid treatments should all be investigated, but it is reasonable to expect serious events to be investigated more thoroughly. The requirements of this indicator cover investigations up to the point when a final report is presented to management with recommendations for future improvements. Indicators 4.9 and 4.12 cover implementation of risk control measures included in the recommendations.</b></p> <p><b>To achieve a satisfactory rating, there should be systematic investigation of all work-related injuries and diseases by a competent person. Assessors will look for evidence of how this outcome is achieved and how the employer can be confident that all events are investigated. Employees should understand the accident investigation process and confirm that they contributed to investigations where they were able to provide relevant information.</b></p> <p><b>For a satisfactory rating, this indicator does not require the investigation of accidents or incidents that did not result in injury or disease. However, “near misses” or incidents where there was potential for serious injury or disease should be investigated to achieve a higher rating.</b></p> <p><b>For a higher rating, the processes used to investigate work-related injuries and diseases and “near misses” would 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.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.4</b>	



<i>Indicator 4.6</i>	
<b>The organisation's hazards are identified.</b>	
<i>Guidance</i>	
<p><b>A hazard is anything that may result in injury to a person or harm to the health of a person. The injury or harm may be physical or psychological. The hazard identification process 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 those goods and services.</b></p> <p><b>Hazard identification should take people who are not employees into account. These people may be visitors to the workplace, students on work experience programs, patients in a hospital, students in a school, customers in a shop or other people who may be at a workplace for any reason.</b></p> <p><b>To achieve a satisfactory rating, there should be a comprehensive hazard identification process that is working properly. 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 employees or any other reliable source that is appropriate for the industry and type of work. It would not be acceptable for parts of the system of work to be overlooked, even if hazard identification is thorough elsewhere.</b></p> <p><b>Employees should confirm that they contribute relevant information to the hazard identification process and it is working properly in their work area.</b></p> <p><b>For a higher rating, the hazard identification process would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.6</b>	

<i>Indicator 4.7</i>	
<b>Risks are assessed for all hazards that people may be exposed to in the workplace.</b>	
<i>Guidance</i>	
<p><b>A competent person should assess the risks associated with all hazards identified by the organisation. The competent person may come from inside or outside the organisation. “Competent” in this case, refers to a person who has the experience, knowledge and skills to gather relevant information and make a reasonable decision about the degree of risk for particular hazards. The requirements of this indicator have been met when risks for each situation have been assigned high, medium or low priority and the findings have been presented to management. Indicators 4.9 and 4.12 cover implementation of risk control measures included in recommendations.</b></p> <p><b>To achieve a satisfactory rating, the degree of risk associated with all hazards should be assessed. The Assessor is required to make a judgement about the quality and quantity of risk assessments; whether they are appropriate to the industry and type of work; and the extent to which they are based on information provided by the hazard identification process. The risk assessments would 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. In situations where the hazard identification process is inadequate, the organisation cannot achieve a satisfactory rating for this indicator (significant hazards may be overlooked).</b></p> <p><b>Employees should confirm that they contribute relevant information to risk assessments and the process is working properly in their work area.</b></p> <p><b>For a higher rating, the risk assessment process would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.7</b>	

<i>Indicator 4.8</i>	
<b>Work activities are analysed to develop safe working procedures.</b>	
<i>Guidance</i>	
<p>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 prevents injury and disease because the process identifies particular hazards associated with the work, assesses risk and leads to the development of safe working procedures where risks are controlled.</p> <p>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.</p> <p>To achieve a satisfactory rating, there should be analysis of certain work activities for the purpose of developing safe working procedures, as outlined above. This is usually completed by 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. Employees should confirm that they contribute relevant information when work activities are analysed in their work area.</p> <p>For a higher rating, the analysis of work activities and associated safe working procedures would be well documented, monitored, reviewed and continuously improved. The procedures would 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.</p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.8</b>	

<i>Indicator 4.9</i>	
<b>Risk controls are planned in a systematic way using information from risk assessments.</b>	
<i>Guidance</i>	
<p><b>This indicator refers to the planning decisions that have to be made for the orderly implementation of risk controls, including 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 is 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 (if they exist) and ensure compliance with relevant occupational safety and health laws.</b></p> <p><b>To achieve a satisfactory rating, there should be evidence of a systematic approach to planning risk controls. Planning should provide for risk controls to be implemented as required and in accordance with priorities. There should be a major planning exercise that considers the organisation’s approach to hazard management at least once a year. The planning process should result in strategies that reduce risks in accordance with information from the organisation’s risk assessments. It would not be acceptable to take hazard management plans that have been developed elsewhere and simply adopt them.</b></p> <p><b>For a higher rating, the planning process would be well documented, monitored, reviewed and continuously improved. Planning should be in accordance with the hierarchy of controls (see Appendix One). Employees may be represented at planning meetings.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.9</b>	

<i>Indicator 4.10</i>	
<b>Effective risk control measures are implemented.</b>	
<i>Guidance</i>	
<p><b>Risk controls are “effective” when they reduce risks for the major hazards that employees may be exposed to and the organisation complies with relevant occupational safety and health laws. “Major hazards” are those that have a high or medium priority, based on the outcome of risk assessments. Low priority areas could be covered as part of the organisation’s continuous improvement process.</b></p> <p><b>To achieve a satisfactory rating, risk controls should have been implemented throughout the organisation. The type of risk controls used should be reasonable in the circumstances. It would not be acceptable for people in different parts of the organisation to be overlooked, even though hazard management elsewhere may be thorough. It would not be acceptable for risk controls to be unplanned or poorly implemented, in situations where there was some evidence of implementation. Assessors are required to make a judgement about the quality and quantity of risk controls and whether they are appropriate for the industry, type of work and level of risk.</b></p> <p><b>Employees should confirm that action has been taken to reduce the risk of work-related injury and disease in their work area.</b></p> <p><b>For a higher rating, the processes used to implement risk controls would be well documented, monitored, reviewed and continuously improved. Implementation should be in accordance with the hierarchy of controls (see Appendix One).</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.10</b>	

<i>Indicator 4.11</i>	
<b>Risk controls are in accordance with the hierarchy of controls.</b>	
<i>Guidance</i>	
<p><b>Information on the hierarchy of controls has been included in this document at Appendix One. This indicator looks at whether the risk control measures that are in place in the organisation have been planned and implemented in accordance with the hierarchy of controls rather than using personal protective clothing and equipment as the first and only means of reducing risks.</b></p> <p><b>To achieve a satisfactory rating, personal protective clothing and equipment should be used appropriately to reduce the risk of work-related injuries and diseases. It may be used to protect employees whilst other risk control measures are being developed or to protect them from the risks that remain after other measures have been used to reduce risks so far as is practicable. Personal protective clothing and equipment may be the only permanent measure used to protect employees, but in these situations there should be evidence that management considered other risk control measures and it was reasonable to conclude that none were practicable.</b></p> <p><b>Employees should be able to confirm that the management approach is to implement risk control measures in accordance with the hierarchy of controls in their work areas.</b></p> <p><b>For a higher rating, the processes used to plan and implement the application of the hierarchy of controls would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.11</b>	

<i>Indicator 4.12</i>	
<b>The effectiveness of risk controls is evaluated.</b>	
<i>Guidance</i>	
<p><b>This indicator covers the evaluation process as it applies to specific controls to reduce the risk of work-related injuries and diseases. 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.</b></p> <p><b>To achieve a satisfactory rating, 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. Employees' perception of the effectiveness of certain risk controls is important information, but there may need to be other more objective measures of effectiveness. (For example, it may be necessary to measure noise levels where controls aim to reduce noise.)</b></p> <p><b>Employees should confirm that they contribute relevant information as part of the evaluation process.</b></p> <p><b>For a higher rating, the process for evaluating risk controls would be well documented, monitored, reviewed and continuously improved. There may be more extensive testing and analysis of the extent to which various risk controls are effective.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.12</b>	

<i>Indicator 4.13</i>	
<b>Risk controls are corrected when they are not effective.</b>	
<i>Guidance</i>	
<p><b>This indicator covers the process used to correct specific risk controls that are not working as well as planned.</b></p> <p><b>To achieve a satisfactory rating, risk controls should be corrected or improved within a reasonable time, once it has been determined that action is required. Individual employees should understand when they have the authority to make immediate changes to reduce risk and when higher approval is required. There should be evidence that this process is working.</b></p> <p><b>Employees should confirm that there is action to correct or improve the risk control measures within a reasonable time in their work area.</b></p> <p><b>For a higher rating, the process for correcting risk controls in accordance with evaluations of effectiveness would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.13</b>	

<i>Indicator 4.14</i>	
<p><b>The organisation manages new hazards that may be introduced when work arrangements are changed.</b></p>	
<i>Guidance</i>	
<p><b>Changes to work arrangements include changes to the human resources, physical resources (such as chemicals and machinery), or information needed for safe systems of work; changes to the work processes; and changes to outputs, such as waste. This indicator covers changes to the goods and services produced by the organisation because that should be part of the process of reducing risks for people who use the goods and services.</b></p> <p><b>To achieve a satisfactory rating, there should be comprehensive hazard management processes that are working properly for new hazards that may be introduced. Purchasing procedures and the hire and lease of machinery and equipment should be included. There should be evidence that Material Safety Data Sheets are required and reviewed; and action has been taken before chemicals are introduced. There should also be a process for evaluating the competencies of employees that are new to the organisation or new to the particular work area. Action should be taken to provide these people with the information, instruction, training and supervision required to reduce the risk of harm for themselves and others at the workplace. It would not be acceptable for parts of the system of work to be overlooked, even if hazard management for new hazards is thorough elsewhere.</b></p> <p><b>Employees should confirm that they contribute relevant information to the hazard management process for new hazards that may be introduced when work arrangements are changed in their work area. The process should be working properly.</b></p> <p><b>For a higher rating, the hazard management process for new hazards would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 4.14</b>	

## **Element Five: Training**

Employers need to provide all employees with training to make sure everyone in the organisation understands and can meet their responsibilities under occupational safety and health laws. New employees and employees 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 employees are given adequate training and supervision.

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

### **Standard No. 5**

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

*Use the indicators on the following pages to rate your performance against Standard No. 5.*

#### **NOTE:**

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.

<i>Indicator 5.1</i>	
<b>Management has identified the requirements for training under occupational safety and health laws.</b>	
<i>Guidance</i>	
<p><b>In Western Australia, the occupational safety and health laws referred to in this indicator, and other indicators in this element are the <i>Occupational Safety and Health Act 1984</i> and the <i>Occupational Safety and Health Regulations 1996</i>.</b></p> <p><b>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 occupational safety and health laws to provide training for employees and for safety and health representatives, if any. 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. Assessors will look for evidence of the methods used to identify the training requirements and achieve an adequate level of awareness and understanding.</b></p> <p><b>Employees should confirm they are aware that the employer understands and accepts responsibility for the provision of occupational safety and health training.</b></p> <p><b>For a higher rating, there would be good documentation of the requirements of the indicator. Changes to the law should be monitored and supporting documentation should be reviewed and re-endorsed when changes occur, or at least once per year.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 5.1</b>	

<i>Indicator 5.2</i>	
<b>Employees understand the requirements for training under occupational safety and health laws.</b>	
<i>Guidance</i>	
<p>To achieve a satisfactory rating for this indicator, there should be a process that ensures all employees know there are laws relating to the provision of occupational safety and health training generally and in relation to specific situations that might apply to them. They should also understand the requirement to comply with work safety instructions provided by their employer.</p> <p>The methods used to achieve a reasonable level of understanding can vary from place-to-place. The Assessor will look for evidence of how this outcome is achieved and how the employer can be confident that the system will apply to everyone. Employees should verify that they participated in the process and it was effective.</p> <p><b>For a higher rating, the processes used to achieve this outcome would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 5.2</b>	

<i>Indicator 5.3</i>	
<b>Management has identified the occupational safety and health training needed by each of their employees.</b>	
<i>Guidance</i>	
<p><b>To achieve a satisfactory rating, there should be a training needs analysis conducted that covers general and specific training required by employees so they are able to work in a safe manner. It should determine the current competencies and the gaps where training is required. The analysis would be completed at least once per year, or as required, such as when work arrangements are changed. Assessors will look for evidence of the extent to which the needs analysis covers the work undertaken by each employee, including new employees. Information from the analysis of work activities and associated safe work procedures (referred to in indicator 4.8) should also be used as a source of information. The requirements of this indicator cover the training needs analysis up to the point where findings are presented to management. Indicator 5.6 covers the implementation of training.</b></p> <p><b>Employees should confirm they contributed relevant information to the analysis of their occupational safety and health training needs.</b></p> <p><b>For a higher rating, the training needs analysis would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 5.3</b>	

<i>Indicator 5.4</i>	
<b>Training is planned in a systematic way using information from a training needs analysis.</b>	
<i>Guidance</i>	
<p><b>This indicator refers to planning of the occupational safety and health training to be provided by the organisation. It would include arrangements to achieve the organisation's high level objectives for training (if they exist), to implement broad strategies to achieve the objectives and to comply with relevant occupational safety and health laws. Training may be provided in various ways, including formal training courses, mentoring and on-the-job training. 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 all forms of training is to be evaluated at various levels within the organisation.</b></p> <p><b>To achieve a satisfactory rating, there should be evidence of a systematic approach to planning the organisation's occupational safety and health training, as outlined above. There should be a major planning exercise that considers the organisation's approach to training at least once a year. The planning process should result in strategies that suit the organisation's needs as identified in the training needs analysis. It would not be acceptable to take an occupational safety and health training plan, that has been developed elsewhere, and simply adopt it.</b></p> <p><b>For a higher rating, the planning process would be well documented, monitored, reviewed and continuously improved. Planning may be in accordance with a recognised quality assurance, safety management or similar Standard. Employees may be represented at planning meetings.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 5.4</b>	

*Indicator 5.5*

**Occupational safety and health training has clear objectives.**

*Guidance*

**This indicator covers objectives at the lower level where training is delivered. There should be clear objectives for each training course and for different types of training, such as mentoring and on-the-job training. These objectives should complement the higher level objectives for the role of training in the overall safety management system.**

**To achieve a satisfactory rating, the training objectives would be clearly stated at the beginning of each training exercise. They would be measurable. Assessors would look for evidence of the processes used to ensure all types of occupational safety and health training has objectives that are linked to the organisation's overall approach and the needs of individuals.**

**Employees should confirm that occupational safety and health training in their work area has the objectives described above.**

**For a higher rating, the processes used to set training objectives would be well documented, monitored, reviewed and continuously improved.**

*Evidence to Support Rating Shown Below*

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**Rating for Indicator 5.5**

<i>Indicator 5.6</i>	
<b>Appropriate occupational safety and health training is provided.</b>	
<i>Guidance</i>	
<p><b>Occupational safety and health training is “appropriate” if it is required by the organisation to achieve its objectives and required by employees to improve their ability to work in a safe manner.</b></p> <p><b>To achieve a satisfactory rating, occupational safety and health training would have been delivered to employees. Delivery would be at various levels of the organisation. Managers and supervisors or team leaders would have received training. The type of training would be relevant to the circumstances. It would not be acceptable for people at different levels in the organisation to be overlooked, even though training elsewhere may be thorough. It would not be acceptable for training to be unplanned or poorly implemented, in situations where there was some evidence of delivery. Assessors are required to make a judgement about the quality and quantity of training and whether it is relevant to the needs of the industry, type of work and level of risk.</b></p> <p><b>Employees should confirm that occupational safety and health training is delivered to a reasonable standard.</b></p> <p><b>For a higher rating, the processes used to implement the organisation’s occupational safety and health training would be well documented, monitored, reviewed and continuously improved. The organisation would have a well-organised database of the training received by each employee and it would be up-to-date.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 5.6</b>	

<i>Indicator 5.7</i>	
<b>Occupational safety and health training is evaluated.</b>	
<i>Guidance</i>	
<p><b>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.</b></p> <p><b>To achieve a satisfactory rating, 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. Employees' perception of the relevance and benefits of training, recorded when training courses are completed, is one method of evaluation that could be used for this indicator. 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 occupational safety and health at this level.</b></p> <p><b>Employees should confirm that occupational safety and health training relevant to their work area is evaluated.</b></p> <p><b>For a higher rating, the evaluation process for training would be well documented, monitored, reviewed and continuously improved. At this level, there may be more extensive testing of the extent to which training changes safety behaviour at the workplace.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 5.7</b>	

<i>Indicator 5.8</i>	
<b>All employees are able to follow emergency procedures.</b>	
<i>Guidance</i>	
<p><b>This indicator presumes that there are emergency procedures that suit the organisation’s needs. The indicator cannot be scored if these procedures do not exist.</b></p> <p><b>To achieve a satisfactory rating, employees should have received training in emergency procedures. Training should include practice of procedures, such as emergency evacuations, including practice of arrangements for employees with special needs, such as physical disability. Training should not be limited to evacuations. Other emergency procedures for situations, such as bomb threats, robbery, civil protest and vehicle accidents and breakdowns should be included if they could occur at a workplace or as part of the work. Assessors will look for evidence of how this outcome is achieved and how the employer can be confident that the processes will apply to everyone.</b></p> <p><b>Employees should understand procedures for emergency evacuations, including arrangements for visitors and any special arrangements that are necessary to ensure the safety of particular groups. Employees should confirm that they have practiced emergency procedures and communication systems associated with emergency procedures are working properly.</b></p> <p><b>For a higher rating, the processes used to ensure that employees are able to follow emergency procedures would be well documented, monitored, reviewed and continuously improved.</b></p>	
<i>Evidence to Support Rating Shown Below</i>	
<b>Rating for Indicator 5.8</b>	

## HOW TO REDUCE RISK USING THE HIERARCHY OF CONTROLS

Risk reduction is required for all people who may be exposed to hazards in workplaces. The emphasis should be on establishing a safe system of work using the risk reduction methods in the order below rather than recommending personal protective clothing and equipment as the first and only means of reducing risks. In many cases a combination of different actions may be required to reduce risk to an acceptable level.

The idea is to start at the top and reduce risk using that method as much as possible before moving to different methods further down the list. This is sometimes called a “preferred order of risk control” or “hierarchy of control”. It is included here as a guide only. There may be other versions that are slightly different. As long as the basic principles are the same, variations are acceptable under the WorkSafe Plan.

### FIVE WAYS TO REDUCE RISK

<p><b>Start at the top and work down the list</b></p>	<p><i>What are you trying to do?</i></p>	<p><b>Examples</b></p>
<p><b>ELIMINATION</b> Eliminate the hazard</p>	<p>This is the most effective way to make the workplace safer. <b>Always try to get rid of the hazard completely.</b></p>	<p>A kitchen hand spent many hours operating machines to slice onions and chip potatoes. This involved moving sacks of vegetables out of the store and lifting them into feed hoppers. The manual handling activity was eliminated when the owner of the kitchen decided to purchase onions and chips that were already sliced by a specialist company with mechanical equipment for lifting the large quantities that were processed.</p>
<p>↓ <b>SUBSTITUTION</b> Use a safer alternative</p>	<p>↓ If you cannot eliminate the hazard, <b>replace the machinery, substances or work processes with something less hazardous.</b></p>	<p>In a restaurant kitchen, where a pedestal fan was likely to be knocked over, the owner was able to reduce the risk of injury by replacing the pedestal fan with a ceiling fan.</p>
<p>↓ <b>ENGINEERING CONTROLS</b></p>	<p><i>The rest of the table is on the next page.</i></p>	
<p>↓ <b>ADMINISTRATIVE CONTROLS</b></p>		
<p>↓ <b>PERSONAL PROTECTION</b></p>		

<p><b>Preferred order of control</b></p> <p>↓</p>	<p><i>What are you trying to do?</i></p> <p>↓</p>	<p><b>Examples</b></p>
<p><b>ENGINEERING CONTROLS</b></p> <p>Use engineering solutions</p>	<p><b>Make changes to the workplace or to equipment and machinery to reduce the risk of injury or harm.</b> This would include guarding the moving parts of machines, building barriers and having machinery serviced so it was less noisy.</p>	<p>In a deli or supermarket, the blade of a meat slicer was guarded to protect workers as they cut cold meats. In situations where the worker used a portable hand-held electric knife, the knife was plugged into a socket protected by a residual current device, to guard against electric shocks.</p>
<p>↓</p> <p><b>ADMINISTRATIVE CONTROLS</b></p> <p>Reorganise the work and provide training</p>	<p>↓</p> <p><b>Make changes to the way work is organised to reduce the risk of injury or harm.</b> This would include changing the pace of work for inexperienced workers, job rotation and providing instruction, training and supervision. It would also include implementing safe working procedures, such as restricting access to certain areas for some people.</p>	<p>When rosters are set up, when possible, try to ensure that young workers are not working together without the support of more experienced workers. Young workers should be trained to deal with all types of customer service situations, including customers who may be aggressive, but the support of experienced workers is important in places, such as inquiry counters. In other workplaces, such as construction sites, there may be a policy that children are not permitted to enter the site.</p>
<p>↓</p> <p><b>PERSONAL PROTECTION</b></p> <p>Add personal protective clothing and equipment</p>	<p>↓</p> <p>Personal protective equipment (PPE) should be used to provide extra safety or as a temporary measure whilst other risk controls are being organised. <b>PPE should not be used in place of more permanent controls. It is the least effective way of dealing with hazards.</b> PPE may be used with other methods to reduce risk.</p>	<p>Workers in a laboratory should be provided with PPE needed to prevent exposure to chemicals, when it is not possible to eliminate the hazardous substance or use a safer alternative. There should be training in how to use, fit, store and maintain PPE and supervision to ensure it is used properly at all times.</p>