

SafeGuard [self-assessment chart]

Element 1	Element 2	Element 3	Element 4	Element 5	Element 6	Element 7	Element 8	Element 9
General requirements	Safety and health policy	Planning for hazard and risk identification, assessment and control	Legal and other requirements	Objectives, targets and management plans	Resources, structure and responsibilities	Competency, training and awareness	Communication, consultation and reporting	Safety and health documentation
Senior management demonstrate visible leadership and proactive commitment to achieving S&H excellence.	S&H policy is implemented at all levels of the organisation and is demonstrated to be the basis of the site's S&HMS.	All S&H activities are defined, documented and adequately resourced for the effective implementation, operation, review and improvement of the S&HMS.	There is a well-established system for identifying and communicating S&H legislation, standards and codes.	Clear, measurable objectives, targets and plans based on the S&H policy are established, implemented and communicated.	A well-established system outlining resources, responsibilities, authorities and accountabilities is in place, clearly defined and effective.	Competency requirements are identified by training needs analysis.	Formal communication processes are in place to ensure S&H issues are communicated effectively.	S&H information (paper or electronic) describes the core elements of the S&HMS, their interaction and links to related documents.
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
The organisation operates on the premise that S&H is integral to all operational management systems.	The S&H policy is visibly displayed and is known to mine workers (company employees, contractors and other major stakeholders).	A hazard management system is in place ensuring that all operational hazards are identified, ranked and appropriately managed to an acceptable level of risk.	Regular compliance reviews examine the organisation's capability of meeting legal obligations and other recognised standards.	Objectives and targets include a system of positive KPIs.	An organisational chart is established, up to date and well communicated.	A training program achieves a high level of competency and awareness of S&H for all employees throughout the organisation.	There is a system for detecting and reporting accidents, incidents, near misses, hazards, substandard conditions, substandard practices and defects.	A S&HMS is in place and includes supporting documentation (such as SOPs, JSAs and work permits) to ensure its effectiveness.
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
A well-structured S&HMS is established, documented, maintained and continually improved.	There is commitment to the organisation's overall S&H objectives.	There are formal procedures for analysing S&H data including, where warranted, hazard/risk register(s) identifying hazards and documenting major hazards/risks in all work areas.		Management plans include usage criteria (e.g. monitor monthly, measure quarterly, review annually).	Roles and responsibilities are formally documented and communicated to all people in the management structure and/or work group.	People carrying out tasks and/or operating equipment where there is a requirement for specific competency are appropriately trained and authorised to do so.	Provision exists for immediate and longer term corrective action and follow-up, including the tracking of same.	Employees are aware of the S&H system, and the S&H manual (paper or electronic) is readily accessible. Relevant parts are understood by all.
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5		1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Where site operations are conducted by a major contractor or multiple contractors, there is a system to ensure a consistent approach to S&H.	There is commitment to the continual improvement of the S&HMS.	Trends are identified for accidents, incidents, substandard conditions and practices, hazards and disease.			Adequate budget plans are in place for resource commitments (e.g. financial, personnel and equipment commitments) of the S&H management plan.	There is a well-established system for recording competency, training and awareness for all workers, including trainees and contractors.	Employees are involved in, understand and use reporting systems.	There is a comprehensive system in place for reviewing, updating and communicating S&H documentation.
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5			1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
There is active employee involvement, effective consultation and communication.		A recognised system of risk assessment is used to rank risks and put in place appropriate controls.			There is active employee involvement, effective consultation and communication.	All people understand the process and equipment they are using.	There is a formal system for communicating all documents related to the S&HMS.	All employees are aware of and have a good working knowledge of relevant S&HMS documentation.
1 2 3 4 5		1 2 3 4 5			1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
There is demonstrated commitment to S&H at all levels of the organisation.		People performing hazard and risk identification, assessment and control are appropriately trained and competent.			Contractors are aware of areas of accountability and responsibility.	S&H training courses being undertaken are assessed for effectiveness and appropriateness.		S&H documentation (paper or electronic) describes the core elements of the S&HMS, their interaction and links to related documentation.
1 2 3 4 5		1 2 3 4 5			1 2 3 4 5	1 2 3 4 5		1 2 3 4 5

Key to self-assessment ratings

- ① Little or no documentation within the S&HMS; little or no implementation of those items.
- ② Some evidence of documentation within the S&HMS; implementation is inconsistent or on an ad hoc basis (with no or little supporting documentation).
- ③ Reasonable documentation within the S&HMS; reasonable but somewhat inconsistent implementation/application.
- ④ Documentation within the S&HMS; full implementation and consistent application across the operation
- ⑤ Documentation within the S&HMS; total integration into normal operations; regular review demonstrating continuous improvement and best practice.

Note: For instructions, refer to Part 2 of SafeGuard.

Abbreviations

S&H: Safety and health
S&HMS: Safety and health management system

Element 10	Element 11	Element 12	Element 13	Element 14	Element 15	Element 16	Element 17
Control of documents and data	Hazard and risk identification, assessment and control	Emergency preparedness and response	Monitoring and measurement	Incident investigation, corrective action and preventive action	Safety and health records	Safety and health audits	Management review
A system is in place to control all documents, information and data critical to S&H.	A recognised system is in place for a consistent approach to hazard and risk identification, assessment and control.	Emergency preparedness and response actions are defined and communicated to minimise the impact of an unplanned event.	There is a comprehensive system of monitoring the work environment (e.g. dust, mine atmosphere, strata) and a procedure for action when levels exceed limits or are abnormal.	There is a comprehensive system of investigating accidents, incidents, near misses, and substandard conditions and practices.	There is a system in place for identifying, collecting, filing, maintaining, controlling and disposing of S&H records.	Internal auditing of S&H systems for deficiencies and non-compliances is a regular scheduled activity by trained people.	There is a comprehensive system in place to ensure continual improvement to the S&HMS and its performance.
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
All relevant documents are up to date and available at locations where required.	A permit system is in place for high-risk tasks such as clearances, confined space and hot work.	Injury management activities and actions are in place to ensure an effective injury management system promoting first aid, rehabilitation and early return-to-work programs.	There is a system of ongoing health surveillance and monitoring of employees potentially exposed to health hazards.	All levels of the workforce are involved in investigations as necessary.	Comprehensive records are maintained on all aspects of S&H.	An audit and review of the effectiveness and implementation of the S&HMS has been conducted by the mine operator.	Management regularly reviews S&HMS for implementation and effectiveness.
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Obsolete documents are removed and cannot be used or referred to.	Where practicable, hazards and risks are eliminated or reduced at the design and development stage.	Emergency response procedures, training and resources have the capability of adequately controlling all identified potential emergency situations.	There is a system of ongoing fitness-for-work surveillance and monitoring of employees for levels of alcohol, drugs, fatigue and other impairments that may impact on S&H.	There is a strong emphasis on determining 'nature and cause', taking corrective action and preventing recurrence.	Records are readily retrievable and are available in a form that demonstrates the achievement of S&H standards and effective operation of S&H systems.	There is a demonstrated commitment to follow up audits that verify effectiveness of corrective and preventive action.	The management review includes an assessment of employee perceptions through survey or otherwise to improve safety culture.
1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
	There is a system to measure the effectiveness of controls (the correct 'blend' of 'hard' and 'soft' controls) and the control of residual risk.	Response plans are established, communicated and effective.	There is a system for regular inspection of plant and a procedure for action when it does not conform to standards.	Scheduled follow-up ensures action is taken and is effective. Feedback is provided to people who initiate reports.	Contractor S&H records are available.		There is a demonstrated improvement in the management of S&H subsequent to a management review.
	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5		1 2 3 4 5
	A change management system ensures that any major changes that may have an adverse effect on risk are formally assessed and communicated.	Suitable warning and alarm systems are installed, tested and inspected at defined intervals.	Inspections and tests critical to S&H are clearly marked/ tagged (e.g. compliance of non-destructive tests, fire extinguishers). Inspection records are readily available.	Well developed and effective mine worker rehabilitation scheme in place.			Improvements to the S&HMS are communicated to affected employees.
	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5			1 2 3 4 5
	There is a system for the safe handling, storage, transport and use of hazardous, toxic and flammable substances.	Emergency response procedures are reviewed regularly.	Tests of instruments critical to S&H are available. Instruments are capable of required accuracy and are calibrated at appropriate intervals.				
	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5				
	There is a system to ensure the S&H requirements of purchased materials and equipment are met.	Regular emergency response exercises are established and conducted.					
	1 2 3 4 5	1 2 3 4 5					
	The level of supervision is compatible with the ability of the employee and the risk.						
	1 2 3 4 5						