

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

