

Health, Safety and Environmental Management Systems Audit Report



SMART Group of Companies

January 2016

1.0 Executive Summary

A review of SMART Technical Services workplace health and safety management systems was conducted on 1 - 3 November 2009 to determine the Agency & Logistic Services level of health and safety performance measured against the criteria detailed of OGP Standard.

The system was assessed on the basis of information provided auditing by through of documentation and personnel interviews.

SMART has current five operational locations – Logistic support services, Land Transportation Services and Catering & Food Supply Services - with employees working at each of these locations. The audit was conducted at all of these operations.

For the purposes of these audits, an overall rating for SMART has been calculated by applying a numerical score to each rating. The results of the audit found that the criteria assessed averaged a score of 3.21, equivalent to a C rating, which alludes to 'Meets all essential criteria, however, planning implementation and/or communication needs improvement.'. It should be noted that this is an averaged score and a number of the criteria were assessed as meeting some of the key best practice criteria.

Findings from the review identified that some essential elements of a safety management system have been developed, implemented and reviewed at SMART. The Property and Operations Managers at each of the operations undertake and manage a comprehensive specific and safety audit schedule. Senior management expressed a commitment to workplace health and safety and were aware of their responsibilities for managing HSE issues and fostering a safe and healthy workforce. SMART has developed a systematic and integrated approach to defining HSE objectives and targets, identifying and managing risks and developing and implementing programs that are integrated into the company's Strategic Plan.

There are also a number of key strategic opportunities for improvement that if implemented will have a positive effect on strengthening health and safety performance. The aim of the recommendations is to ensure SMART HSE management system achieves compliance with the essential criteria of OGP's Safer Workplaces Toolkit. The auditor/s recommend the following:

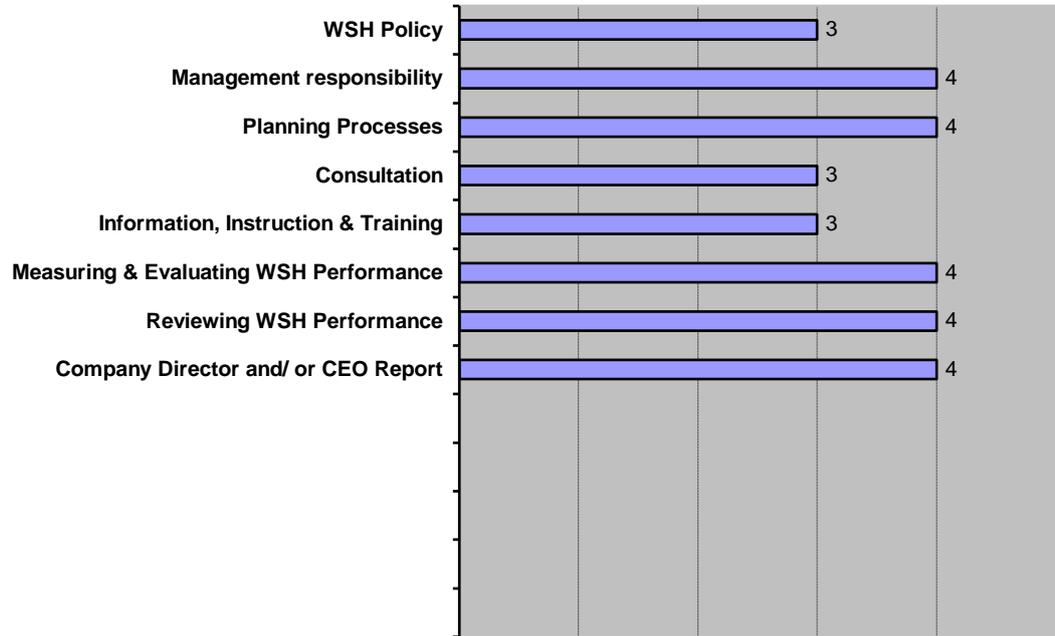
2.0 Results Summary

Findings of the HSE management system review are detailed in the HSE Improvement Standard Assessment - criteria checklists (see Attachment A). These findings may include recommendations for implementation in all area of operations.

A summary of the findings for each performance criteria is outlined below.

Key Element	Performance Criteria	Rating	Score
A. HSW Policy & Commitment	1 HSE Policy	C	3
	2 Management Responsibility	B	4
B. Planning	3 Planning Processes	B	4
C. Implementation	4 Consultation	C	3
	5 Information, Instruction & Training	C	3
D. Measurement & Evaluation	6 Measuring & Evaluating HSW Performance	B	4
E. Review & Improvement	7 Reviewing HSW Performance	B	4
	8 Institute Director and/or DG Reporting	B	4
Overall Rating			29.00

Graphical representation of summary of audit findings



Attachment A HSE Improvement Standard Assessment - Criteria Checklists

HSW Management System Analysis

Element A: HSE Policy & Commitment

Performance Criteria 1: HSE Policy		
SMART has an HSE policy that clearly states the senior management's commitment to the HSE function outlines responsibilities for all parties and is clearly communicated to all staff.		
Essential Criteria:	Compliance	Comments
To be effective, the policy should:		
<ul style="list-style-type: none"> contain a general statement of aims and objectives for improving health and safety that are preventative in nature 	Y	SMART Health, Safety and Environmental Commitment Statement was displayed at the office and is accessible on the website. In addition statement, SMART have produced a Workplace Health and Safety Plan. The SMART Health, Safety and Environmental Commitment Statement contains a general statement of aims and objectives for improving health and safety that are preventative in nature.
<ul style="list-style-type: none"> express clear commitment to health and safety of staff, visitors and contractors 	Y	The SMART Health, Safety and Environmental Commitment Statement expresses a clear commitment to health and safety for "our people, our environment, our visitors and volunteers, our partners and contractors".
<ul style="list-style-type: none"> express a clear commitment to take a risk management approach to HSE 	Y	SMART Workplace Health and Safety Management Plan includes "a commitment by Management Team to implement policies and procedures to reduce the risk of accident, injury and illness to staff, contractors and members of the general public during the operations of SMART".
<ul style="list-style-type: none"> be clearly communicated to all staff within Company operations on a regular basis 	Y	SMART HSE Commitment Statement and Workplace Health and Safety Management Plan are both available on Website. Also has a process in place for annual HSE Refresher training for staff.
<ul style="list-style-type: none"> outline responsibilities of all parties including senior management, supervisors and employees. 	Y	SMART HSE Commitment Statement outlines a commitment to clearly communicating the health, safety and environmental expectations, accountabilities and responsibilities for all staff.
Best Practice:	Compliance	Comments
In addition, a best practice policy should:		
<ul style="list-style-type: none"> be signed and dated by the current company Director and/or chairperson. 	N	SMART Workplace Health and Safety Management Plan is only signed and not dated by chairperson.

Performance Criteria 2: MANAGEMENT RESPONSIBILITY		
Performance agreements for Executives and senior managers include statements of responsibility for HSE.		
Essential Criteria:	Compliance	Comments
To be effective, agreements should ensure:		
<ul style="list-style-type: none"> HSE is set out as a key accountability in performance agreements 	Y	SMART HSE Management Plan states that 'performance standards on the WSH accountabilities and responsibilities are to be included in the Performance Management Planning Process to ensure assessment at each review'.
<ul style="list-style-type: none"> the key accountability is supported by specific strategies 	Y	The SMART Strategic Plan states that safe work practices is a key priority and includes a specific strategy to support workplace health and safety.
<ul style="list-style-type: none"> specific HSE activities are included in senior managers' performance agreements 	Y	All senior managers interviewed were aware they had responsibilities for HSE. Specific HSE activities are also included in senior managers' performance agreements.
Best Practice:	Compliance	Comments
In addition, to ensure best practice:		
<ul style="list-style-type: none"> progress with HSE activities performance are measured on an annual basis 	Y	Progress with HSE performance is measured on an annual basis in the HSE performance summary report.
<ul style="list-style-type: none"> outcomes of progress is recorded centrally and reported to the Chairperson or Director on a regular basis 	Y	Annual HSE performance summary are reported to the Management Team, chaired by CEO or Managing Director.
Evaluation Rating:	B	All senior managers interviewed were aware that they had HSE responsibilities, however these responsibilities are also documented in their position descriptions. But there is not a measurement of HSE performance for each level of accountability. Ensuring that the SMART develops and implements a program to monitor and measure HSE performance of senior managers will enable improved outcomes in the future.
Recommendations:		
<ol style="list-style-type: none"> Ensure all position descriptions include a key accountability for HSE and the responsibilities are reviewed annually. Develop and implement a program to monitor and measure the HSE performance of senior managers. Implement a process to ensure that HSE related performance measures are aligned with business objectives and documented in Strategic and Business Plans. 		
Verification/Documentation Sighted:		
SMART HSE Management Plan, SMART Strategic Plan, SMART HSE performance summary.		

Rating Criteria for Management Responsibility:

- A. Performance agreements of Executives and senior managers include statements of responsibility to HSE that meet all the essential and best practice criteria in the guidance.
- B. Performance agreements of Executives and senior managers include statements of responsibility to HSE that meet all the essential criteria and are reviewed annually by the Director.
- C. Performance agreements of Executives and senior managers include statements of responsibility to HSE that meet all the essential criteria but they are **NOT** reviewed annually by Director.
- D. There is evidence of plans to include HSE responsibilities in performance agreements of Executives and senior managers but it has not yet been implemented.
- E. There is no evidence of HSE responsibilities built into the performance agreements of Executives and senior managers.

Element B: Planning

Performance Criteria 3: PLANNING PROCESSES		
The Company's planning processes include HSE as a key objective supported by defined measurable outcomes.		
Essential Criteria:	Compliance	Comments
To be effective, processes should ensure:		
❖ clearly defined objectives and measurable targets derived from the risk assessment process	Y	SMART Procedure for Risk Management will meet annually to review the effectiveness of operations and prepare an annual report as input into the business planning process.
❖ specific actions to be taken to achieve the objectives and targets, within a set timeframe	Y	Conduct of specific HSE actions such as general and specific safety audits. The completion of these actions is monitored to ensure targets are met within the set timeframe.
❖ assigned responsibility for the achievement of the objective and targets	Y	The General Manager, Supporting Department is currently responsible for the implementation and monitoring of risk management strategies, in particular the achievement of the safety audits.
• planning for HSE is undertaken in consultation as per agreed consultation arrangements	Y	The Workplace Health and Safety Committee at SMART Head office is the main instrument for consultation on matters relating to health and safety. There was not in arrangement for consultation with third party organization in current.
• planning considers arrangements for emergency planning.	Y	The SMART Business Plan provides a framework for the implementation of all disaster related processes.

Best Practice:	Compliance	Comments
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<p>In addition, to ensure best practice:</p> <ul style="list-style-type: none"> • planning for HSE is based on the key priorities identified in the risk assessment process and key legislative requirements • progress with HSE Plan is discussed at executive meetings and outcomes reported to the Director and/or Chairperson. • planning for HSE is reviewed on a regular basis (at least annually) in consultation with management, staff and unions, updated where required, and clearly communicated to management and staff. 	<p>N</p> <p>Y</p> <p>N</p>	<p>SMART's risk management procedures provide a framework to ensure significant risks are identified and managed through an action plan. However, SMART's Risk Action Plan on the Website has not been found.</p> <p>SMART HSE performance summary is discussed at the Management Team and Leadership Team meetings.</p> <p>Specific HSE initiatives and actions are not included in the SMART Business Plan.</p>
<p style="text-align: right;">Evaluation Rating:</p>	<p>B</p>	<p>SMART has developed planning processes to include HSE as a key objective supported by defined measurable outcomes and there is some indication that HSE activities are periodically reviewed. However, the Business Plan does not contain any specific HSE initiatives and there is no evidence of Risk Action Plan on Web.</p>
<p>Recommendations:</p> <ol style="list-style-type: none"> 1. Ensure the processes contained in the SMART's Risk Management Procedure is effectively implemented. 2. Implement a process to ensure that specific HSE actions to assist in meeting the SMART Strategic HSE objectives are included in the Business Plans. 		
<p>Verification/Documentation Sighted:</p> <p>SMART Strategic Plan, SMART Procedure for Risk Management, HSE performance summary, Business Plan, Operations Manager Job Description, SMART HSE Management Plan.</p>		

Evaluation

Rating Criteria for Planning Processes:

- A. The Company's plans meet all the essential and best practice criteria contained in the guidance.
- B. The Company's plans meet all of the essential criteria in the guidance. The HSE objective is based on the key priorities identified in the risk assessment process and is reviewed at least annually.
- C. The Company's plan meets all of the essential criteria in the guidance. The HSE objective is **NOT** based on the key priorities identified in the risk assessment process and/or reviewed at least annually.
- D. There is evidence of the Company's plans including an HSE objective but it is **NOT** yet implemented.
- E. There is no evidence of an HSE objective in the Company's planning processes.

Element C: Implementation

Performance Criteria 4: CONSULTATION		
There is a process in place for effective consultation on HSE issues.		
Essential Criteria:	Compliance	Comments
<p>To be effective, consultation should ensure:</p> <ul style="list-style-type: none"> • a negotiated consultative arrangement is in place that is facilitated by: <ul style="list-style-type: none"> ❖ a HSE committee ❖ election of HSE representatives ❖ other agreed arrangements • senior management are involved and active in the HSE consultation arrangements • consultation occurs whenever: <ul style="list-style-type: none"> ❖ planning new facilities or refurbishing existing facilities ❖ investigating incidents ❖ reviewing risk assessments or implementing controls ❖ developing, implementing and evaluating HSE programs, policies, procedures and management systems ❖ determining training needs ❖ planning changes to work practices, or introducing new ones ❖ planning to purchase new or different plant or substances. • Information about HSE is shared with employees and employees are given the opportunity to participate in decisions affecting HSE and those views are taken into account 	<p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p> <p>N</p> <p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p>	<p>SMART has a well established WSH Committee with Terms of Reference listing the functions, membership and provisions for holding meetings.</p> <p>Three new WSH representatives have recently been elected by the Technical services, Electrical Trading, SMART Group.</p> <p>The SMART WSH Plan contains other agreed arrangements such as the review of HSE delegations and education and training for relevant staff.</p> <p>A representative of the Leadership & Management Team is an active member of the WSH Committee.</p> <p style="color: red;">The third party organization or client organization hold as Consultation for large works projects.</p> <p>SMART Safety Officers conduct incident investigations and provide feedback to the relevant work area and Safety Committee.</p> <p>The SMART Safety Officers conducts all risk assessments and provides advice to the relevant work area and the WSH Committee.</p> <p>Policies, procedures and systems are discussed and reviewed at the safety committee meetings.</p> <p>SMART undertakes training needs analysis annually. Included in the analysis survey, feedback through team meetings and individual management interviews.</p> <p>Senior managers interviewed stated that WSH related changes were reviewed at team meetings and during quarterly reviews within business units. Staff interviewed indicated that issues were discussed in team meetings intermittently.</p> <p>Some staff interviewed were not aware if WSH issues were determined prior to purchasing new or different plant or substances. However, other staff indicated that WSH issues were determined prior to purchases. The Facilities Manager stated that the Workplace Health and Safety Committees provided advice prior to purchase if WSH issues were determined.</p> <p>Minutes from the SMART Safety Committee meetings are displayed on the information board/ E-mail . Employees can also participate in decisions affecting HSE in staff forums and team meetings.</p>

<ul style="list-style-type: none"> The consultation process is clearly communicated to all staff. 	Y	Staff were aware that HSE issues could be raised at team meetings and that issues could then be directed to the Safety Committee, if required.
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Best Practice:	Compliance	Comments
<p>In addition, to ensure best practice:</p> <ul style="list-style-type: none"> additional forms of consultation are provided, e.g.: <ul style="list-style-type: none"> ❖ Information sessions and focus groups ❖ Including HSE on staff meeting agendas ❖ Encouragement of staff suggestions and input into consultation process ❖ HSW newsletters and/or inclusion of HSE matters in staff newsletters ❖ Tool box meetings the consultation process links to the HSE planning process. 	<p>Y</p> <p>N</p> <p>Y</p> <p>N</p> <p>Y</p> <p>N</p>	<p>Regular staff meetings and the mandatory annual Staff Forum provide staff with opportunities for consultation.</p> <p>Senior managers stated that HSE is a standing agenda item on staff meeting agenda's and quarterly reviews of WSH related work practices are completed within business units. However, some staff interviewed stated that HSE was discussed at team meetings only when required.</p> <p>The Safety Observation Systems provides staff with a formal process to make suggestions and have input into the consultation process.</p> <p>HSW information is readily available on the HSE Notice Board and e-mails only.</p> <p>WSHO have attended specific workgroup team meetings when required and attends WSH Committee meetings regularly.</p> <p>There is no formalised process for the SMART consultation processes to link to HSE planning.</p>
Evaluation Rating:	C	SMART has a comprehensive process for the provision of consultation opportunities for staff. WSH Accountability & Reporting Requirements procedure documents clear lines of communication between management and staff and the audit findings show this process has been effectively implemented. However, there is no formalised consultation process that links to the WSH planning process.
Recommendations:		
<ol style="list-style-type: none"> Ensure that all staff are aware that WSH is a standing agenda item on staff meeting agenda's. Develop a formal process to link from the consultation processes to the SMART strategic planning process. 		
Verification/Documentation Sighted:		
Safety Committee Terms of Reference, Workplace Health and Safety Management Plan.		

Evaluation

Rating Criteria for Consultation:

- A. There is a process for consultation of HSE issues that meets all the essential and best practice criteria in the guidance.
- B. There is a process for consultation of HSE issues that meets all of the essential criteria in the guidance. The consultation process links to the HSE planning process.
- C. There is a process for consultation for HSE issues that meets all of the essential criteria in the guidance. The consultation process is **NOT** linked to the planning process.

- D. There is evidence of a process for consultation of HSE being developed, but it has not yet been implemented
- E. There is no evidence of a consultation process in place for HSE issues.

Performance Criteria 5: INFORMATION, INSTRUCTION AND TRAINING		
There is a process in place for providing information, instruction and training for all staff on HSE issues.		
Essential Criteria:	Compliance	Comments
<p>To meet the essential criteria, a process should be in place to ensure:</p> <ul style="list-style-type: none"> • each new employee receives induction training • employees exposed to risks in the workplace are informed of procedures to maintain safety • staff responsible for identifying, assessing and controlling workplace hazards are provided with information, instruction and training • staff are trained whenever new equipment/plant is purchased or there are changes to the work environment • managers and senior managers are provided with specific HSE information, instruction and training • HSE practitioners undertake specific professional development training • staff with HSE functions such as First Aid Officers, Fire Wardens, Rehabilitation Coordinators, committee members etc. are provided with ongoing specific information, instruction and training • information, instruction and training is easy to understand, e.g. where English is a second language, consider providing information in the employee's native language • information, instruction and training delivered is centrally recorded. 	<p>Y</p> <p>Y</p> <p>Y</p> <p>N</p> <p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p>	<p>The completion rates for the SMART Staff Induction for New Employees are reviewed every 3 months. The most recent survey shows that 90% of new staff have completed inductions.</p> <p>Staff indicated that some changes had been made to certain operations to reduce exposure to risk and a number of training programs are available to staff. SMART Workplace Health and Safety Handbook contains guidance for working with hazards such as electrical equipment, chemicals and manual handling.</p> <p>The Workplace Health and Safety Manager and Workplace Health and Safety Officers have been provided with information, instruction and training. However, supervisors should also be given responsibility for identifying, assessing and controlling workplace hazards.</p> <p>SMART HSE Management Plan states that purchasing procedures incorporate steps involved in the evaluation of the purchased item to ensure that it conforms to all stipulated HSE requirements. However, staff indicated that they familiarised themselves with new equipment and didn't always evaluate the HSE requirements.</p> <p>Some managers and Operations Managers have been provided with specific HSE training. However managers and senior managers outside this section have not been provided with specific HSE information, instruction and training.</p> <p>The Workplace Health and Safety Manager has completed Workplace Rehabilitation and HSE Specialist and WSH Essentials for Committee Members training.</p> <p>The WSH Manager is currently reviewing the levels of training for staff with First Aid and Rescue Team functions and arranging for further training where required.</p> <p>The information, instruction and training presented to the auditor was easy to understand. The majority of procedures contained a flowchart representation of the process to assist the ease of interpretation and understanding.</p> <p>The formal training delivered is documented recorded .</p>

Best Practice:	Compliance	Comments
<p>To ensure best practice:</p>		

<ul style="list-style-type: none"> • a needs analysis is carried out to identify information, instruction and training required • the needs analysis is linked to the planning processes • information, instruction and training provided is evaluated • information, instruction and training needs are reviewed on at least an annual basis. 	<p>Y</p> <p>Y</p> <p>N</p> <p>Y</p>	<p>SMART Skills Stocktake measures the attendance rates and provides staff with an opportunity to recommend other skills they need to develop in their current roles.</p> <p>Workforce Management Plan contains detailed analysis of all professional development investment for staff and documents strategies to achieve the stated goals and outcomes.</p> <p>Training and Application request was not found. However, staff were complete a report on the training attended. This reporting requirement was not requested.</p> <p>Workforce Management Plan contains an objective to undertake an annual skills audit of the workforce.</p>
<p style="text-align: right;">Evaluation Rating:</p>	<p>C</p>	<p>SMART has a process in place for providing information, instruction and training to staff and analysis of the training needs of the Institute is undertaken. Specific training whenever new equipment or plant is purchased or there are changes to the work environment is not always implemented. Ensuring these induction and ongoing training programs are effectively implemented will increase staff knowledge relating to HSE.</p>
<p>Recommendations:</p> <ol style="list-style-type: none"> 1. Ensure that all new staff members receive the safety induction at the commencement of their employment. 2. Supervisors should be given the responsibility for identifying, assessing and controlling workplace hazards. Therefore supervisors should receive information instruction and training in identifying, assessing and controlling workplace hazards. 3. Ensure that staff are trained whenever new equipment/plant is purchased or there are changes to the work environment. 4. Consider implementing the reporting requirements for staff training and development to evaluate the effectiveness. 		
<p>Verification/Documentation Sighted: Staff Induction for New Employees, Workplace Health and Safety Handbook, Workplace Health and Safety Management Plan, SMART Skills Stocktake,.</p>		

Evaluation

Rating Criteria for Information, Instruction and Training:

- A. There is a process in place for providing information, instruction and training to all staff on HSE issues that meets all the essential and best practice criteria in the guidance.
- B. There is a process in place for providing information, instruction and training to all staff on HSE issues that meets all the essential criteria in the guidance. An information, instruction and training needs analysis is undertaken.
- C. There is a process in place for providing information, instruction and training to all staff on HSE issues that meets all the essential criteria in the guidance. An information, instruction and training needs analysis is **NOT** undertaken.
- D. There is evidence of a plan for providing information, instruction and training to all staff on HSE issues but it is not yet implemented.
- E. There is no evidence of a process for providing information, instruction and training of staff on HSE issues.

Element D: Measurement and Evaluation

Performance Criteria 6: MEASURING AND EVALUATING HSE PERFORMANCE		
There is a process in place to measure and evaluate the ongoing performance of the HSE management system.		
Essential Criteria:	Compliance	Comments
<p>HSE Performance monitoring should:</p> <ul style="list-style-type: none"> • take place in consultation with key stakeholders, including employees, supervisors, key OH&S specialists and management representatives • identify applicable HSE, Injury Management and Workers' Compensation legislation which applies to the Company's activities • assess degree of compliance with legislation • determine proactive and reactive performance indicators e.g. outcomes of audit process, injury rates, costs and return to work rates. 	<p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p>	<p>The Safety Committees' Meetings provide the majority of HSE performance monitoring tasks at SMART. The Management Team also conducts monitoring of outcomes.</p> <p>The WSH Coordinator manages the identification of applicable legislation through newsletters and email announcements and through attendance at Government network meetings. The Safety Committees have a standing agenda item to provide updates on any new forms or processes relating to HSE.</p> <p>SMART assess the level of compliance with legislation through scheduled safety compliance audits. The audits measure compliance with Company health and safety policies and procedures and local Workplace Health and Safety Act.</p> <p>The comprehensive audit process conducted throughout SMART's Services are reviewed at Safety Committee meetings. The HSE performance reports also contain proactive and reactive performance indicators, such as the training and development, WorkCover claims rates and costs and induction completion rates.</p>
Best Practice:	Compliance	Comments
<p>To ensure best practice:</p> <ul style="list-style-type: none"> • HSE performance monitoring should be conducted at least annually • results of monitoring should be reported to Director and CEO. • actions for improvement should be included in company's planning processes and/or other plans as necessary e.g. Human Resources, IT, procurement and design. 	<p>Y</p> <p>Y</p> <p>N</p>	<p>There was plans to integrate the WSH Operational Plan in the Business Operation Plan will ensure the monitoring of WSH performance is reviewed at least annually.</p> <p>Results of monitoring WSH performance are reported to the Director/ Human Resources.</p> <p style="color: red;">Action improvement should be needed in data security process and in timely reporting and information of HSE by IT process in time</p>

Evaluation Rating:	B	SMART has a processe for the ongoing monitoring and review of the WSH management system. In particular, the mechanism for reporting by the internal Safety Audit Schedules program would increase the value of this process. Presenting a WSH performance report to the Director would ensure compliance with best practice criteria.
Recommendations:		
<ol style="list-style-type: none"> 1. Ensure the integration of WSH performance monitoring and review processes in the Business Operation Plan is effectively implemented and maintained within the Strategic and Operational Plans for SMART. 2. Implement a process to report WSH performance to the Director. 		
Verification/Documentation Sighted:		
Safety Committee Meeting Minutes, HSE performance reports, Safety Audit Schedules, Workplace Report for Hazard Identification.		

Evaluation

Rating Criteria for Measuring and Evaluating HSE Performance:

- A. There is a process in place for the ongoing monitoring and review of the HSE management system that meets all essential and best practice criteria in the guidance.
- B. There is a process in place for the ongoing monitoring and review of the HSE management system that meets all the essential criteria in the guidance. Results are incorporated into the Company's planning processes.
- C. There is a process for the ongoing monitoring and review of the HSE management system that meets all the essential criteria. Results are **NOT** incorporated in the Company's planning processes.
- D. There is evidence of process for the monitoring and review of HSE performance being developed but it is not yet implemented.
- E. There is no evidence of a process developed or being developed for the ongoing monitoring review of the HSE management system.

Element E: Review and Improvement

Performance Criteria 7: REVIEWING HSW PERFORMANCE		
Reviews of HSE performance feed into the planning processes of the agency. Establish if review processes are integrated into the management system. Review results are planned and implemented.		
Essential Criteria:	Compliance	Comments
<p>To be effective and ensure currency the review should include consider the outcomes of the measurement and evaluation processes in regards to:</p> <ul style="list-style-type: none"> • implementation of the HSE policy • implementation and effectiveness of HSE planning processes • progress with delivery of information, instruction and training against plan and increase in awareness of employees and management with HSE issues • implementation of incident recording, investigation and analysis processes • corrective actions implemented • HSE performance monitoring 	<p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p>	<p>SMART Workplace Health and Safety Handbook and the regular Induction process have been reviewed and updated in the last 12 months.</p> <p>WSH planning processes demonstrate a systematic approach to defining objectives and measurable targets that link to the company's Strategic Plan. Ensuring these processes are given set timeframes and are reviewed on an annual basis will improve the outcomes.</p> <p>The annual Staff Induction Refresher training provides a method of delivery of HSE information, instruction and training and ensures employee and management awareness is maintained.</p> <p>There is some evidence of the review of processes for incident recording, investigation and analysis in Safety Meeting minutes.</p> <p>The Workplace Health & Safety Operational Plan contained evidence that corrective actions have been implemented.</p> <p>Management Team monitors performance through the quarterly HSE performance reports.</p>
Best Practice:	Compliance	Comments
<p>To be effective, a review of HSE management systems will also consider:</p> <ul style="list-style-type: none"> • changes in legislation • changing expectations and requirements of interested parties 	<p>Y</p> <p>Y</p>	<p>The minutes of the Safety Committee meetings contained evidence of WSH procedures review following changes in legislation.</p> <p>The minutes of the Safety Committee meetings contained evidence that changing expectations and requirements regarding smoking/ chewing Betel in Office Premises.</p>

<ul style="list-style-type: none"> • changes to the structure of the organisation • advances in science and technology • market preferences • feedback, particularly from employees. 	Y	The annual review of SMART HSE procedures ensures that changes in Organizational structure are addressed.
	Y	Discussion of the upgrading of fire alarm systems at office Safety Committee meetings indicates that advances in technology have been considered.
	Y	The activity of the Safety Committees' contains examples of where market preferences, such as lack of physical security for staff, are considered.
	Y	The Business Improvement Requests process allows for feedback from employees to be reviewed.
Evaluation Rating:	B	SMART has processes in place for reviewing all areas of WSH performance for which it has direct responsibility apart from a documented process for review of WSH performance of senior management. The processes implemented incorporate the review of WSH management activities and there is evidence that the review is integrated into planning processes.
Recommendations:		
1. Establish processes to review the HSE performance of senior management.		
Verification/Documentation Sighted:		
Workplace Rehabilitation Policy, HSE performance Report, Safety Committee Meeting Minutes.		

Evaluation

Rating Criteria for Reviewing HSE Performance:

- A. There is a process in place for reviewing HSE performance that meets all the essential and best practice criteria in guidance.
- B. There is a process in place for reviewing HSE performance that meets all the essential criteria in guidance. The review also considers changes to the structure of the organisation and/or the services provided by the organisation.
- C. There is a process in place for reviewing HSE performance but it does **NOT** consider changes to the structure of the organisation and/or the services provided by the organisation.
- D. There is a draft process for reviewing HSE performance but it is not yet implemented.
- E. There is no evidence of a review of HSE performance within the agency.

Performance Criteria 8: INSTITUTE DIRECTOR AND/OR DIRECTOR GENERAL REPORTING		
The Company Director is informed of and regularly updated on the HSE performance.		
Essential Criteria:	Compliance	Comments
To be effective, the reporting should ensure:		There is no evidence of direct reporting of HSE performance to the CEO or Chairperson. Hence this section will only evaluate the Managing Director reporting processes.
<ul style="list-style-type: none"> • the Director receives at least yearly reports on Company's progress with: <ul style="list-style-type: none"> ❖ planning for HSE ❖ incident statistics 	Y	SMART HSE Operational Plan is authorised by the Director, Human Resources, with discussion with the Client as required.
	Y	WSHO provides trends analysis reporting of these statistics to the Director.

❖ HSE litigation	Y	There is no evidence of annual reporting of HSE litigation. However, WSH notices are immediately reported to the Company Director.
❖ HSE training	Y	SMART Training Needs Analysis which included some WSH training was reported to the company Director.
❖ HSE reviews	Y	WSH reviews were reported to the Director by the chair of the Safety Committee.
• there is a mechanism for immediately notifying the Company Director and Chairperson.		
❖ significant risks	Y	SMART Risk Management Procedure states that all significant risks are to be reported in a timely manner to Leadership Team.
❖ serious incidents	Y	Serious incidents are to be reported to the relevant Director or General Manager. The Company Director stated that serious incidents were reported to him.
❖ prohibition and improvement notices.	Y	The Company Director stated that senior management were involved whenever WSH intervened.

Best Practice:	Compliance	Comments
<p>To ensure best practice:</p> <ul style="list-style-type: none"> • ensure Company Director or CEO is informed on at least a yearly basis of HSE performance against pre-determined indicators • ensure Company Director and/or CEO is actively involved in planning processes and decision making regarding HSE improvements • ensure Company Director and/or CEO is informed of penalty and improvement notices issued. 	<p>Y</p> <p>Y</p> <p>Y</p>	<p>The Company Director receives the quarterly HSE performance report that includes some evidence of reviewing HSE performance against pre-determined indicators.</p> <p>The Company Director is actively involved in planning processes and decision making regarding HSE improvements.</p> <p>There is a mechanism for notifying of penalty and improvement notices.</p>
Evaluation Rating:	B	<p>The WHS Consultant and Safety Committee members stated the mechanisms for WHS reporting to the Institute Director work effectively. The Institute Director was informed and aware of GWIT WHS performance. The Departmental processes do not require Institutes' to directly report on WHS performance. However, there is some evidence that indirect measures of WHS performance are reported to the DDG.</p>
<p>Recommendations:</p> <p>1. Implement a mechanism for the annual reporting of incident statistics, HSE litigation and HSE training.</p>		
<p>Verification/Documentation Sighted:</p> <p>HSE performance Report, Risk Management Procedure,</p>		

Evaluation

Rating Criteria for Director Reporting:

- A. There is a process in place for informing and regularly updating the Institute Director and/or CEO on the Company's HSE performance that meets all the essential and best practice criteria in the guidance.
- B. There is a process in place for informing and regularly updating the Institute Director and/or CEO on the Company's HSE performance that meets all the essential criteria in the guidance. The company Director and/or CEO is actively involved in the HSE planning processes and decision making regarding HSE improvements.
- C. There is a process in place for informing and regularly updating the company Director and/or CEO on the HSE performance that meets all the essential criteria in the guidance. The Company Director and/or CEO is **NOT** actively involved in the HSE planning processes and decision making regarding HSE improvements.
- D. There is evidence of a plan to inform and regularly update the company Director and/or CEO on the HSE performance but it is not yet implemented.
- E. There is no evidence that the company Director and/or CEO is informed and regularly updated on the HSE performance.