

This self-assessment provides an overview of the Safety Management System (SMS), identifying whether the system satisfies AGGA's requirements.

Rating	Performance
<b>Yes - Complies</b>	An element is deemed to be compliant when it is demonstrated that the element requirements have been addressed fully. All documentation is current and complete.
<b>Minor – minor non-conformance</b>	Satisfies minimum requirements - A minor non-conformance occurs if requirements have only been partially implemented.
<b>No - major non-conformance</b>	A major non-conformance is where many of the element requirements have not been met. Areas of high risk that have not been effectively controlled would also constitute a major non-conformance.

**Organisation:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**AUDITOR(S):**.....

**PART A - Assessment and Rating Table – Summary of Findings**

- indicates a mandatory element  
 - only required if applicable to organisation

Element	Documentation Reviewed (Yes/No)	Rating
1. WHS Policy		
2. Planning and review		
3. Responsibility & Accountability		
4. Consultation		
5. Training & Competency		
6. Contractors (IF APPLICABLE)		
7. Hazard Identification		
8. Risk Assessment and Control		
9. Emergency Preparedness & Response		
10. Return to Work		
11. Incident Investigation		
12. Records & Records Management		



**Supply evidence such as: PDs with WHS inclusions; WHS Induction; photos of notices posted.**

**Comments:**

*A Safety Responsibilities Statement can be downloaded from the member's section of AGGA's website: Safety Management System / Implementation / Responsibilities. Once downloaded, promote it to your workforce and post it where it will be seen regularly (such as in the lunchroom), and include WHS responsibilities in PDs.*

**4. Consultation**

**Rating**

Are employees consulted on WHS issues? How?

- Are records available? (agendas, minutes, diary notes, etc.)

**Supply most recent minutes, or other record.**

**Comments:**

*A Consultation Guide and templates for records can be downloaded from the member's section of AGGA's website: Safety Management System / Implementation / Consultation.*

**5. Training and Competency**

**Rating**

Has the organisation identified appropriate WHS training?

Has the training been delivered?

**Supply training plan or other supporting documentation. Ensure that the training delivered matches that on the plan.**

**Comments:**



**Comments:**

*Risk Assessment is dealt with in the member's section of AGGA's website: Safety Management System / Hazard Identification and Control.*

**9. Emergency Preparedness and Response**

**Rating**

Has the organisation identified potential emergency situations and developed suitable emergency procedures?

*Provide a copy of notes / record of most recent Emergency exercise (eg. evacuation)*

**Comments:**

*Information on Emergency procedures can be found in the member's section of AGGA's website: Safety Management System / Hazard Identification and Control / Emergency Procedures.*

**10. Return to Work (RTW)**

**Rating**

Is there a process for RTW planning? If a 3<sup>rd</sup> party is used, name them.

*RTW can be dealt with by an appropriately qualified staff member, or an external provider, such as your compensation insurer. Please provide details of how RTW is dealt with in your organisation. If information is posted, please supply photo.*

**Comments:**

*RTW dealt with in the member's section of AGGA's website: Safety Management System / Hazard Identification and Control / Return to Work.*

**11. Incident investigation, corrective and preventative action**

**Rating**

Are incident / hazard reports promptly investigated and responded to?	
<i>Provide copies of 2 incident / hazard investigations.</i>	
<b>Comments:</b>	
<i>Investigations are dealt with in the member's section of AGGA's website: Safety Management System / Measurement and Evaluation / Investigations</i>	

<b>12. Records and records management</b>	<b>Rating</b>
Are WHS records maintained and readily located?	
<i>Provide copy of Record register, or similar evidence that records are filed / stored systematically.</i>	
<b>Comments:</b>	
<i>Information on Record requirements can be found on the AGGA website, in the member's area: Safety Management System / Measurement and evaluation / Records</i>	