

E.1.1 Adequacy check (for use by the evaluator to record evaluation findings)

Applicant: **name**

Date: **date**

Evaluator: **name**

Performance Standards for Self-insurers



Standard 1 Commitment and Policy

An organisation should define its OHSW, rehabilitation and claims administration policy and commit adequate resources to ensure the success of its management systems. The policy needs to be relevant to the organisation's overall vision and objectives. It needs to set the framework for continuous improvement. It should ensure accountability and link OHSW, rehabilitation and claims administration to the overall organisational values, objectives and processes, and it should guide the setting of objectives. Supporting procedures should set into place the steps to be taken to achieve the organisation's policy goals.

Standard	Element / sub-element description	Applicant's system references	Comments on adequacy and currency of documentation against each element and sub-element	Conformance level C, O, or NC no.
1.1	ELEMENT 1 - Endorsed and Distributed Policy Statement			
1.1.1	Recognise the requirement for legislative compliance.			
1.1.2	Recognise the requirement for continuous improvement.			
1.1.3	Be integral and relevant to the organisation's:			
1.1.3.1	Mission statement, vision, core values and beliefs.			
1.1.3.2	Overall management system structure and system.			
1.1.3.3	Activities, products, services and people.			
1.1.4	Identify responsibilities and accountabilities for all relevant employees.			
1.1.5	Recognise commitment that appropriate internal and/or external expertise will be utilised, when required in all related activities.			
1.1.6	Recognise other organisational policies and procedures when relevant			
1.1.7	Recognise a commitment to communication of relevant information to all staff.			
1.1.8 OHS&W	Recognise the organisation's duty of care to all persons in the workplace including labour hire, contractors and subcontractors, volunteers and other visitors.			
1.1.9 OHS&W	Recognise a hazard management approach to OHS&W .			
1.1.10 OHS&W	Incorporate commitment to consultation.			

Standard	Element / sub-element description	Applicant's system references	Comments on adequacy and currency of documentation against each element and sub-element	Conformance level C, O, or NC no.
1.1.11 Rehab	Rehabilitation to incorporate a commitment to consultation.			
1.1.12 Rehab	Recognise a commitment to effective rehabilitation.			
1.1.13 Claims	Recognise a commitment to equitable claims management.			
1.2	ELEMENT 2 – Supporting Policies and/or procedures			
1.2.1	Evidence of policies and/or procedures to support the policy statement.			
1.2.2	Contingency arrangements are outlined for the organisation.			

Standard 2 Planning

The successful implementation and operation of Occupational Health Safety and Welfare, Rehabilitation and Claims Management systems requires an effective planning process with defined and measurable outcomes. The plan starts with the policy statement and its objectives and addresses the schedules, resources and responsibilities necessary for achieving them. Objectives, targets and performance indicators are identified, as they will be used to measure the effectiveness of the OHSW, rehabilitation and claims management systems and to identify areas requiring corrective action and improvement. In summary, the plans aim to fulfill the organisation's policy, objectives and targets.

Standard	Element / sub-element description	Applicant's system references	Comments on adequacy and currency of documentation against each element and sub-element	Conformance level C, O, or NC no.
2.1	ELEMENT 1 - System Strategies			
2.1.1	Legislative compliance is addressed as part of the system, when appropriate.			
2.1.2 OHS&W	Employees or their representatives directly affected by the implementation of OHS&W plans are consulted when the plans are being formulated.			
2.1.3	Programs have objectives, targets and performance indicators when relevant.			
2.1.4	Action plans are in place to correct identified areas of non-conformance with documented procedures.			
2.1.5 OHS&W	Program(s) are in place to identify, evaluate and control hazards in the organisation.			

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2.1.6 OHS&W	Action plans are in place for dealing with corrective action identified as part of any incident investigation process.			
2.1.7 Rehab & Claims	Programs are in place to identify the organisations core rehabilitation and claims management activities and to provide direction regarding performance outcomes.			
2.2	ELEMENT 2 - Setting of Systems Objectives			
2.2.1	The identification of appropriate objectives for the organisation.			
2.2.2	The identification of appropriate strategies to measure, monitor, evaluate and review the System's objectives.			
2.3	ELEMENT 3 - Training			
2.3.1	Appropriate training requirements have been identified.			
2.3.2	Training plan(s) have been developed.			

Standard 3 Implementation

This principle focuses on ensuring that the capabilities and supports needed to achieve the organisation's policy objectives and targets are provided. It deals with adequate resources being available, integration with current management practices and systems, responsibilities being defined and understood, methods for holding all managers and employees accountable, arrangements for employee involvement, training being implemented, and supports such as verbal and written communications.

Standard	Element / sub-element description	Applicant's system references	Comments on adequacy and currency of documentation against each element and sub-element	Conformance level C, O, or NC no.
3.1	ELEMENT 1 - Resources			
3.1.1	Adequate human, physical and financial resources are being allocated to support the program(s).			
3.1.2	Specialist expertise is used as required.			
3.2	ELEMENT 2 - Training			
3.2.1	A relevant training program is being implemented.			
3.3	ELEMENT 3 - Responsibility and Accountability			
3.3.1	Defined responsibilities are communicated to relevant employees.			
3.3.2	Accountability mechanisms are being used when relevant.			
3.4	ELEMENT 4 - Integration			
3.4.1	System elements are aligned with, or integrated into, other corporate business functions, when relevant.			
3.5	ELEMENT 5 - Employee Involvement			

Standard	Element / sub-element description	Applicant's system references	Comments on adequacy and currency of documentation against each element and sub-element	Conformance level C, O, or NC no.
3.5.1 OHS&W & REHAB	Arrangements for employee consultation and involvement are known and integrated into the programs developed.			
3.6	ELEMENT 6 - Communication			
3.6.1	Communication arrangements for information dissemination and/or exchange are in place.			
3.7	ELEMENT 7 - Contingency Planning			
3.7.1 OHS&W	Contingency plans are periodically tested and/or evaluated to ensure an adequate response, if required.			
3.8	ELEMENT 8 - Hazard Identification, Evaluation and Control			
3.8.1 OHS&W	A hazard management process that includes identification, evaluation and control is in place.			
3.8.2 OHS&W	Employees or their representatives are consulted and participate in hazard management process.			
3.8.3 OHS&W	Control measures are based on the hierarchical control process.			
3.8.4 OHS&W	Program(s) are in place to ensure an appropriate OHS&W consideration is given to changes in the work place and work practices.			

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3.8.5 OHS&W	Program(s) are in place to ensure an appropriate OHS&W consideration is given to changes at the time of purchase, hire or lease of plant, equipment and substances.			
3.8.6 OHS&W	Program(s) are in place to meet the organisation's duty of care for all persons in the workplace.			
3.8.7 OHS&W	Program(s) are in place to ensure work related injury/illness and incidents are investigated and action taken when relevant.			
3.9	ELEMENT 9 - Workplace Monitoring			
3.9.1 OHWS	That the implementation of relevant inspection and testing procedures are conducted by the relevant, competent person(s)			
3.9.2 OHS&W	That the corrective/preventive action is taken on non-conformance issues identified by inspection, and testing procedures.			
3.10	ELEMENT 10 - Process Delivery			
3.10.1	All other activities arising out of policies and/or procedures implemented.			
3.11	ELEMENT 11 - Reporting / Documentation			

Standard	Element / sub-element description	Applicant's system references	Comments on adequacy and currency of documentation against each element and sub-element	Conformance level C, O, or NC no.
3.11.1	The relevant level of reporting, records and/or documentation is maintained to support the system programs and legislative compliance.			
3.12	ELEMENT 12 - Document Control			
3.12.1	Program(s) of document control for identification and/or currency of essential documents are in place and being maintained.			

Standard 4 Measurement and Evaluation

Occupational Health Safety and Welfare, rehabilitation and claims management performance is measured, monitored and evaluated using the performance indicators to ensure that the organisation is performing in accordance with its policy, objectives and targets. Importantly, areas of success and activities requiring corrective action and improvement will be identified.

Standard	Element / sub-element description	Applicant's system references	Comments on adequacy and currency of documentation against each element and sub-element	Conformance level C, O, or NC no.
4.1	ELEMENT 1 - Objectives, Targets & Performance Indicators			
4.1.1	Planned objectives, targets and performance indicators for key elements of program(s) are maintained and monitored.			
4.2	ELEMENT 2 - Internal Audits			
4.2.1	Programmed internal audits are performed objectively by competent personnel to ensure performance of systems and programs and employees directly affected by the results, or their representatives are consulted.			
4.3	ELEMENT 3 - Corrective Action			
4.3.1	Outcomes of the audits are documented and the necessary corrective action(s) identified, prioritised and implemented.			

Standard 5 Management Systems Review and Improvement

The organization should regularly review and continually improve its systems. This leads to the development of continuous improvement strategies within the organisation.

Standard	Element / sub-element description	Applicant's system references	Comments on adequacy and currency of documentation against each element and sub-element	Conformance level C, O, or NC no.
5.1	ELEMENT 1 - Policy			
5.1.1	It reviews the scope and content of the policy statement and supporting policies/procedures in consultation with employees or their reps ensure continued suitability and effectiveness.			
5.2	ELEMENT 2 - Objectives, Targets & Performance Indicators			
5.2.1	The level of achievement of documented objectives, targets and performance indicators is analysed and utilised to promote continuous improvement strategies.			
5.2.2	Results are analysed and used to determine areas of success and areas requiring corrective and preventative action.			
5.3	ELEMENT 3 - System Review			

Standard	Element / sub-element description	Applicant's system references	Comments on adequacy and currency of documentation against each element and sub-element	Conformance level C, O, or NC no.
5.3.1	The system is reviewed and revised, if required, in line with current legislation, the workplace and work practices.			
5.3.2	The system's measurement outcomes are used as a basis for future system development.			