

SELF- INSURANCE EVALUATION

Occupational Health, Safety and Welfare

FINAL REPORT – March 2012 Renewal

Applicant: Catholic Church Endowment Society Ltd

Registration Number: 42903

Evaluator(s): David Parsons

Dates of Evaluation: 15 / 22 August – 30 September & 5 December 2011

Previous Evaluation: 3 Aug – 25 Sep and 19 Oct – 26 Nov 2009

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| Final Report issued to (as requested): | Mr Dale P West – Responsible Officer / Director Centacare |
| Copy : | Ms Kathy Grieve – Executive Manager OHS&W (others as determined by CCES) |



OHSW MANAGEMENT

EXECUTIVE SUMMARY

1. Scope

The WorkCoverSA Occupational Health, Safety and Welfare (OHSW) evaluation of Catholic Church Endowment Society Ltd (CCES) took place between 22 August and 30 September 2011. An opening meeting was held on 15 August 2011 and the formal closeout was held on 5 December 2011. The purpose of the evaluation was to check:

- Conformance of the design and implementation of the OHSW management system against each of the elements and sub-elements for the five WorkCoverSA Performance Standards for Self-Insurers;
- Benchmark levels achieved against the elements of the *Natural Consequences Model*;
- That relevant requirements related to the *Code of Conduct for Self-Insured Employers under the WorkCoverSA Scheme* (The Code) have been complied with;
- Legislative compliance issues are addressed as part of the management system and practices (*Occupational Health, Safety and Welfare Act 1986, Occupational Health, Safety and Welfare Regulations 2010*), and.
- Review of activities by CCES arising from the 2009 OHSW self-insured evaluation and the March 2010 self-insurance renewal.

The findings will be used in conjunction with other considerations as defined within The Code, in the setting of renewal terms and the development of a Partnership Plan between WorkCoverSA and CCES for the period post March 2012.

2. Organisational Profile

CCES and the separately incorporated entities within the self-insured licence (internal term used by CCES), provide a range of services in education (primary and secondary), health (presently, mainly aged care), social services (e.g. St Vincent DePaul and Centacare) and Parishes across the Archdiocese of Adelaide and the Catholic Diocese of Port Pirie. CCES has structured the organisation with a corporate approach and specific sectors, which include Education, Health, Social Services and Parishes.

The Self Insured Governing Council (SIGC) governs the self-insured Licence.

At an operational level, Occupational Health, Safety and Welfare systems are implemented and monitored by Catholic Safety Health & Welfare SA and Injury Management is administered by Catholic Church Insurances Ltd (CCI).

All OHSW system documents related to the Licence are badged with Catholic Safety Health & Welfare SA, as this image is recognised and acknowledged as 'the Licence' by all worksites.

CCES's approach is based on the Catholic Church's vision of *'Every Family at the Heart of the Church'*, in recognising the need for every person to care for one another and for the individual to be loved, nurtured, to belong and contribute.

The Church Administration Handbook provides an overview approach for the organisation in relation to its operations etc and in particular reference is made to Chapter 16 (16.4 – 16.9) which details areas such as public liability, risk management, workplace health and safety etc.

The CCES employee base comprises professional staff, administration staff, teachers, support staff, technical staff, maintenance staff, registered nurses, enrolled nurses, care workers, priests etc. In conjunction with this there are approximately twenty five thousand (25,000) volunteers registered with CCES that provide a vast range of support services.

Based on the information provided by CCES at the time of evaluation, as at 30 June 2011, there are approximately nine thousand and fifty three (9053) persons employed by the organisation in South Australia. This represents an FTE equivalent of approximately six thousand seven hundred and eighty seven persons (6787).

3. Evaluation Methodology

This evaluation is the second for the CCES under the Natural Consequences Model.

The evaluation incorporated a desktop review of documentation, formal and informal interviews with employees and others and site visits of the identified areas. Coupled with this was review of presented evidence as part of the interviews and site visits.

The evaluation methodology included a representative sample of CCES as detailed within the scoping document, 20 May 2011.

In summary, the evaluation incorporated the following sites:

- Marcellin Technical College,
- Aquinas College,
- Loreto College,
- Tenison Woods College,
- St Catherines Primary,

- Mary MacKillop Primary,
- St Josephs House,
- St Marks Parish,
- Catholic Parish of Whyalla,
- Catholic Parish of Murray Bridge,
- Centacare Adelaide,
- Catholic Education Office, and
- Mary MacKillop Centre.

Specific areas of focus included:

System Programs:

- Volunteer Management,
- Business Manager,
- Building Works (CEO)
- Resourcing (CEO)
- Legislative Compliance,
- Training,
- Program Management,
- Contractor Management,
- Records Management,
- Internal Audit,
- System documentation review,
- Organisational/System defined objectives management, and
- System Review.

Hazard Management Programs:

- Slips, Trips and Falls (Slippery Business),
- Fragile Roofing,
- Workplace Inspection,
- Electrical management, and
- Substances Management.

Natural Consequences Model:

Not applicable.

4. Findings

CCES has continued to demonstrate a high level of commitment to managing Occupational Health, Safety and Welfare (OHSW) across the Sectors, individual entities and sites and that make up CCES. Clear evidence was provided, that through the activities of CCES, the Sectors and at a site level, hazards and risks are continuing to be managed.

This evaluation concluded that CCES at the time of evaluation was in conformance with the WorkCover Performance Standards for Self-Insurers relating to OHSW.

As discussed throughout this evaluation report there is clear evidence to support a more consistent organisational wide approach to the management of OHSW. The major restructure of policies and procedures in 2010 has provided an improved structured approach and should continue to provide benefits for the future.

The identification and management, including review of key planned activities (programs) has continued, with positive improvements being made as a result.

CCES has through system review identified and implemented many positives which have and will continue to provide benefits in the future. These include for example, the Rapid Incident Reporting System and the Planning Guideline. Importantly the approach to system review has also honestly recognised areas that did not achieve the desired objectives, with CCES taking appropriate action.

The work undertaken at Catholic Education SA (CESA) regarding a planned approach to ensuring OHSW considerations are an integral aspect of building works was seen to be thorough. This was a key issue at the last evaluation and at that time had a direct relationship with the non-conformance identified in 2009.

The Parish Sector is noted as continuing to improve with some excellent examples of defined system requirements being utilised in practice.

A level of commitment was again evident to ensure consultation with relevant industrial associations and employees occurs on a regular basis.

Feedback received from employees throughout the evaluation was again identified as a positive. It was clearly evident that employees believe that CCES manages safety well, with no significant areas of concern being raised. Employees genuinely believe that CCES and the individual Sectors are supportive, with action being taken when and where required.

While many positives were identified, there are some areas that CCES will need to ensure a focus is directed to in the future.

The areas of Training and Hazard Management while being addressed have levels of inconsistency present as evidenced at some sites, regarding their application in practice.

It is recommended that these two areas, Training and Hazard Management should be approached as formalised key planned activities (programs), with internal audit directly supporting the monitoring of this. Hazard Management is noted as being incorporated into the current 2010-2014 OHSW&IM Plan. This may result in review and amendment to the existing focus.

Internal audit requires further focus to ensure the consistent application of consultation requirements regarding the findings from internal audit. As discussed, further within this evaluation report, the limited internal audit activity in 2010 will affect the overall outcome of this evaluation, as the question of 'maturity' is present. Some amendment is required to system documentation regarding the determination of priorities for corrective actions.

The area of policy and procedure etc review requires some further focus and improvement. The Planning Guideline is in place to support CCES's approach. As evidenced though this does not fully detail how the organisation actually manages this area.

In relation to the Natural Consequences Model, CCES has in place good system(s) that have continued to be utilised and continually improved which have only been affected by the reduced focus on internal audit throughout 2010. This has not adversely affected the management of OHSW though in this instance. Internal audit forms a key monitoring aspect of an organisations approach and without regular activity potentially leaves it exposed to risk. System review activities have continued with good analysis evident and improvements being identified and made where applicable through these processes. In regards to the Level 3 Indicators CCES has in place, as identified in 2.1.3 of this evaluation report, a sound basis for demonstrating conformance with these in the future.

As discussed during the evaluation, an opportunity exists to further strengthen the approach by CCES through the individual Sectors undertaking review, developing and focussing on key areas (programs) specifically relating to them. This will further support the approach being taken by CCES.

CCES must ensure that the continual improvement approach that is clearly evident continues with its management of OHSW. A few areas have been identified as requiring additional focus over the next period of self-insurance renewal, with these detailed throughout this evaluation report. CCES will need to ensure that appropriate consideration is given to these.

5. System Issues Requiring Urgent Attention

There are no issues identified that require urgent attention by CCES.

6. Partnership Plan Activity since last Renewal

Throughout the period April 2010 to August 2011, a number of planned meetings have occurred to discuss ongoing activity by CCES.

CCES has also utilised these meetings to seek independent views on the organisations approach in a number of areas.

CCES has actively participated in the Partnership Plan meetings.

7. Previous Evaluation Issues

The previous evaluation in 2009 identified one non-conformance and a number of observations.

The non-conformance was closed out, prior to renewal being considered in 2010. As discussed throughout this evaluation report CCES have made significant improvements with the majority of observations being addressed.

8. Issues Impacting on Renewal Terms

During the evaluation only one area was identified which will have an influence upon the renewal terms, this being internal audit. During 2010, a major focus was placed on review and amendment of the policies and procedures at both a CCES and Sector level. Additionally a focus was directed to key areas of legislative compliance. Because of this, limited internal audit was undertaken in 2010.

While significant improvement is evident from CCES, the question of maturity, as governed by the requirements of the Natural Consequences Model is present.

9. Natural Consequences Model Level 3 Indicators

CCES as indicated chose not to provide a submission regarding the Level 3 Indicators at this evaluation. As evidenced throughout the evaluation, aspects relating to the Level 3 Indicators were evident and an overview is detailed below.

CCES have in place a specific planned activity (program) around Executive Level Engagement, which should provide a sound basis for the future.

While aspects of a Culture and Climate planned activity (program) are in place, further consideration and development will be needed for the future.

From the evidence provided, CCES should they continue with the current approach to the management, audit and review of OHSW will be well placed to meet the Demonstrable Improvement in Program requirements in the future.

10. Legislative and Code Requirements

Industrial Association Consultation:

On 18 July 2011, CCES wrote to United Voice, the Australian Nursing & Midwifery Federation (ANMF), the Australian Services Union (ASU) and the Independent Education Union (IEU) seeking their views on CCES application for renewal of self-insurance in South Australia.

On 21 July 2011, United Voice provided a response to CCES in relation to the above-mentioned correspondence, (18/7/2011).

United Voice indicated that, *'United Voice oppose the provision of self-insurance being contained within the Workers Rehabilitation and Compensation Act, 1986 ("the Act"). We believe the fund, and therefore all stakeholders, would benefit from all SA employers making a contribution'*. United Voice has indicated that, *'We raise no objection to your application on this occasion'*.

On 8 August 2011, the ANMF (SA Branch) provided a response to CCES in relation to the above-mentioned correspondence, (18/7/2011). The ANMF indicated that, *'After consulting with ANMF (SA Branch) officers, I write to advise that the Australian Nursing and Midwifery Federation (SA Branch) does not have concerns to raise in connection with this self insurance application at this time'*.

On 25 July 2011, the IEU provided a response to CCES in relation to the above-mentioned correspondence, (18/7/2011). The IEU indicated that, *'As is usual practice the IEU will be making detailed submissions to the review, based on our experience in representing members within the licence'*. As at the time of evaluation and subsequently on 30 September 2011, no additional formal response had been received from the IEU.

As at the time of evaluation and subsequently on 5 December 2011, it would appear that no formal response had been received from the ASU.

Discussions held with a sample of representatives from the above Industrial Associations during the evaluation, indicated that they do not have any issues of significance and are supportive of the manner in which CCES manages OHSW and Injury Management matters.

Should additional information be received from the above-mentioned Industrial Associations, which requires investigation or review, there may be a need to undertake additional site visits, review additional documentation and/or conduct further interviews with CCES employees and/or the respective Industrial Association(s)?

SafeWork SA:

It would appear based on the information supplied by CCES that no Occupational Health and Safety Prohibition notices (OHSP's) have been issued in the current period of self-insurance renewal. A number of Occupational Health and Safety Improvement (OHSI's) Notices have been issued by SafeWork SA in the current period of self-insurance renewal and activity has occurred to address previously issued notices.

Based on the information provided by CCES, it would appear that SafeWork SA is considering prosecuting the organisation relating to an incident involving a student

On 15/9/2009, SafeWork SA issued a number of OHSI's including #'s 36792, 36786, 36781, 36790, 36794, 36799, 36796 and 36797 relating to the lift machine rooms at 45 Wakefield St.

These notices were the result of the organisation pro-actively engaging SafeWork SA to visit the location and provide technical guidance. As detailed these notices were subsequently signed off as being addressed by CCES between November 2009 and March 2010.

On 28/2/2011, SafeWork SA issued a number of OHSI's including #'s 75207, 48157 and 48158 relating to an incident where a student received a severe laceration while undertaking a class activity involving a fibreglass boat. This injury required surgery. As detailed, these notices were subsequently signed off as being addressed by CCES in March 2011.

On 11/3/2011, SafeWork SA issued a number of OHSI's including #'s 48097, 48096 and 48095 relating to an incident where an employee fell from the tailgate of a truck and suffered a laceration. As detailed, these notices were subsequently signed off as being addressed by CCES in April 2011.

As detailed within the adequacy check component of this report, it appears that CCES have continued to meet their legislative reporting requirements when required, to both SafeWork SA and The Office of the Technical Regulator (OTR).

11. Outcomes from Closing Meeting

A formal close out meeting was held on 5 December 2011 on-site at Flora McDonald Lodge, Hilton, utilising form F.1.1 – closing meeting agenda and a handout incorporating the provisional summary of findings. The Responsible Officer, Executive Manager OHSW, Manager Workers Compensation & Injury Management SA, NT & TAS and representatives of the Self Insured Governing Council (SIGC) from each of the Sectors were present.

It was conveyed that the findings being presented are to be considered provisional findings only and formal confirmation would be conveyed following WorkCoverSA's internal quality assurance process being undertaken.

The evaluator provided a detailed overview of the findings. These findings incorporated areas of positive activity and observations including the reasoning for them and the supporting evidence.

There was a good level of discussion, with CCES raising a number of questions, which were primarily clarification of the points or areas referred to through the presentation of findings.

CCES indicated that they understood and were supportive of the findings from the evaluation.

As the NCM Model is in the process of changing, a summary information session was delivered regarding the new NCM, with some good discussion ensuing.

12. Out of Scope

No issues were identified or presented throughout the evaluation, which fell outside the scope of evaluation.

13. Acknowledgements

The evaluator would like to acknowledge the assistance provided throughout the evaluation by all persons either directly or indirectly involved at CCES.

The honest, professional and consultative approach taken by all CCES personnel was very much appreciated.

14. Definitions

- (C)** *Conformance - Activities undertaken and results achieved fulfil the specified requirements of the elements.*
- (O)** *Observation – Activities undertaken and results achieved fulfil the specified requirements of the elements however an opportunity for improvement exists due to minor deficiencies identified.*
- (NC)** *Non-conformance – Activities undertaken and the results achieved do not fulfil the specified requirements of the elements. This may be due to the absence or inadequate implementation of a system or documented systems or procedures not being followed.*

EVALUATION REPORT

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. 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.

SCOPE: *This standard requires the organisation to define its Occupational Health Safety and Welfare, rehabilitation and claims management policy and supporting procedures in consultation with employees or their representatives.*

Conformance with this Standard has been demonstrated.

Element 1: Endorsed and Distributed Policy Statement

CCES have in place a peak Occupational Health, Safety, Welfare and Injury Management Policy, (OHSW&IM Policy Version 6, 7 February 2011), which reflects the requirements of Standard 1, Element 1. Of note at the last formal review of the organisations peak policy, the observations made in 2009 have been addressed. **C**

Element 2: Supporting policies and/or procedures

CCES has a comprehensive set of supporting policies and procedures etc. Throughout the Sectors, safe operating procedures and work instructions are also in place. These are applicable to the organisations operations, hazards and risks. Contingency arrangements are generally well defined.

CCES have formally implemented a Planning Guideline, which is a key system document that clearly defines how the management of OHS&W occurs from planning to review. This reflects actual practice in the majority of areas.

How corrective actions resulting from internal audit are prioritised requires greater clarification in the applicable system documentation.

The management of policy and procedure review while detailed requires additional review and amendment to clearly reflect actual practice and capture all the criteria currently utilised.

Contingency arrangements are well detailed within the contingency/emergency plans, policies and procedures in place.

The plans were seen to be detailed and appropriate for the organisation's operational risks however further activity is considered warranted to ensure that definition exists which details how the Disaster Recover Plans will be formally tested. Additionally, completion of the Contingency Planning Guideline is required.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. **O**

Refer to the adequacy check summary within this report for further detail

STANDARD 2 Planning

The successful implementation and operation of OHSW, 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 fulfil the organisation's policy, objectives and targets.

SCOPE: *This Standard requires the organisation to plan in order to fulfil its policy, objectives and targets in consultation with employees or their representatives.*

Conformance with this Standard has been demonstrated.

Element 1: System Strategies

Legislative compliance aspects are integrated into the management of OHSW at CCES. Planning, implementation and review activities incorporate legislative compliance. Ongoing monitoring including information from external sources along with internal review are in place to assist in ensuring legislative compliance aspects are being addressed.

CCES have demonstrated that a well-defined system is in place detailing consultation requirements.

CCES has continued to ensure a sound range of planned activities (programs) are in place, being developed as a result of system review activities and in line with defined organisational requirements.

Systems are in place and were sighted governing the management of non-conformance identified with documented procedures.

CCES has in place systems to undertake hazard management activities. The management of hazards and risks applicable to the organisations operations appear to be well detailed within the respective sites OHSW management systems.

Sound systems governing the management of incident investigations and the addressing of corrective actions (where applicable) are in place.

The requirements for this element have been met. **C**

Element 2: Setting of system objectives

CCES has in place a range of what is considered appropriate organisationally defined objectives.

These are reflective of the organisations operations and have been determined based on organisational defined requirements and the review activities undertaken.

The methods for ongoing monitoring and review have been detailed within the Planning Guideline and the Self Insured Governing Council Terms of Reference.

The requirements for this element have been met. **C**

Element 3: Training

CCES have and continue to identify training requirements with sound evidence to support that this is based on roles, organisationally and legislatively defined requirements and not a generic approach. Training plans are in place.

A level of inconsistency was noted regarding the application of the organisations defined system at some sites and further activity will be required in the next period of self-insurance renewal.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. **O**

Refer to the adequacy check summary within this report for further detail.

STANDARD 3 Implementation

This principle focuses on ensuring that the resources and supporting mechanisms needed to achieve the organisation's policy objectives and targets are provided.

It deals with adequate resources being made 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 supporting mechanisms such as verbal and written communications.

SCOPE: *This standard requires the organisation to demonstrate the capabilities and support mechanisms that are necessary to achieve its policy objectives and targets, in consultation with employees or their representatives.*

Conformance with this Standard has been demonstrated.

Element 1: Resources

CCES currently has resources dedicated to assist the organisation in meeting its policy objectives. External expertise is regularly utilised to support the OHSW system.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. ○

Element 2: Training

CCES as evidenced have continued to provide training, which has been implemented, reviewed and improved with records and evidence supporting this. Monitoring of planned training occurs on an ongoing basis and mechanisms are in place to ensure accountability for attendance.

In conjunction with the comments in 2.3.1 and 2.3.2 of this evaluation report, some additional activity is required and until such time, observation here will be applicable.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. ○

Element 3: Responsibility and Accountability

CCES has ensured that responsibilities have and continue to be communicated to relevant employees. All employees appeared to have a good understanding of their responsibilities and accountabilities.

CCES have in place many mediums for ensuring accountabilities are managed. It would appear as though these are appropriate and utilised regularly.

The requirements for this element have been met. **C**

Element 4: Integration

Methods of integration into business operations at CCES were evident throughout the evaluation. These included system documentation, organisational reporting and formal management meetings.

The requirements for this element have been met. **C**

Element 5: Employee Involvement

Employee involvement is well defined, known and evidence provided supported that this is integrated into the planned activities (programs) at CCES.

The consistent application of this though does not appear to have occurred and this aspect requires additional focus.

The requirements for this element have been met. **C**

Element 6: Communication

Appropriate arrangements for information dissemination are in place at CCES.

The requirements for this element have been met. **C**

Element 7: Contingency planning

CCES as evidenced have evaluated a range of the defined contingency plans. Further consideration is required to ensure that all identified contingency plans are formally evaluated utilising the defined system requirements, with evidence to support this available.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. **O**

Element 8: Hazard identification, evaluation and control

CCES has in place hazard management systems with employee involvement defined. CCES must ensure that further improvement, including the consistent application of defined system requirements occurs.

The process of employee consultation in the hazard management activities requires further focus to ensure that the defined system requirements are consistently applied.

Control measures are generally well defined within the system documentation and utilised in practice. Further review and focus is required to ensure consistency in the organisations approach.

The processes around the introduction of equipment, changes to the workplace etc appear sound. The work undertaken with CESA and the development of policy and guidelines around building works is considered to be good. Evidence supporting their application was reviewed and considered appropriate.

CCES have what appear to be sound mechanisms for ensuring a duty of care to all in the workplace. Visitor and contractor defined approaches are in place with evidence supporting their application.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. **O**

Element 9: Workplace monitoring

Inspection and test procedures relevant to the organisation are in place. Some issues have been raised that warrant further activity by CCES, such as the completion of workplace inspections and the formal testing of e-stops, interlocks etc.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. **O**

Element 10: Process delivery

A range of activities arising from policies and procedures was evidenced as occurring. CCES have a number of mechanisms both internal and external to monitor the implementation of its defined system. However, throughout the evaluation, a number of areas have been identified as requiring additional focus and as such, observation here is applicable.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. **O**

Element 11: Reporting and Documentation

CCES have addressed the issue present in 2009. Reporting and documentation, including records as evidenced is in place at CCES, with the defined systems being utilised.

The requirements for this element have been met. **C**

Element 12: Documentation control

CCES have in place document control systems at an organisational and Sector level. A number of documents that are relevant to the organisations operations appear to have limited document control and further activity is required by CCES to address this.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. **O**

Refer to the adequacy check summary within this report for further detail.

STANDARD 4 Measurement & Evaluation

OHSW, rehabilitation and claims management performance is measured, monitored and evaluated using 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.

SCOPE: *The organisation measures, monitors and evaluates its performance in consultation with its employees or their representatives, and takes corrective action when necessary.*

Conformance with this Standard has been demonstrated.

Element 1: Objectives, Targets and Performance indicators

CCES has demonstrated that ongoing monitoring is occurring relating to the organisations defined planned activities (programs).

An opportunity for improvement exists with ongoing monitoring by providing additional detail of the discussions that occur at SIGC.

The requirements for this element have been met. **C**

Element 2: Internal audits

CCES has undertaken appropriate internal audits based on system-defined requirements. Clear requirements are in place governing internal audits including policy, procedures and associated tools such as templates and checklists. As evidenced, the consistent application of some components of the internal audit process such as consultation on the results of internal audits is present.

As discussed earlier within this report, CCES chose to suspend the internal audit program in 2010 as a major policy and procedure review was to be undertaken, coupled with a focus on key legislative compliance requirements. This as indicated based on the requirements of 'maturity' may affect the overall outcome of the evaluation.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. **O**

Element 3: Corrective Action

CCES has demonstrated that corrective actions are identified and implemented. This currently is limited by a lack of clear definition and approach to the prioritisation of corrective actions. Further development is required regarding defining within the system these processes.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. **O**

Refer to the adequacy check summary within this report for further detail.

STANDARD 5 Management Systems Review and Improvement

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

SCOPE: *The organisation regularly reviews its Occupational Health Safety and Welfare, rehabilitation and claims management systems, in consultation with its employees or their representatives, with the objective of improving overall performance.*

Conformance with this Standard has been demonstrated.

Element 1: Policy

CCES has demonstrated that policy and procedure review occurs on a regular basis, with defined schedules and structure for this activity. It was identified that the Planning Guideline has captured some of the organisations current process however; it does not accurately reflect the complete actual practice. This requires further development to ensure system documentation accurately reflects practice.

The requirements for this element have been met, however some additional activity and opportunities for further system improvement have been identified and must be given due consideration to ensure ongoing conformance. **O**

Element 2: Objectives, targets and performance indicators

CCES has provided sound evidence of their approach to organisational objective review. Clear senior management involvement and analysis was evident and in line with defined organisational requirements.

An opportunity for improvement exists with the review process by providing additional detail of the discussions that occur at SIGC.

The requirements for this element have been met. **C**

Element 3: Systems review

CCES has demonstrated that well-defined system requirements for system review are in place and being utilised. Review activity occurs throughout the CSHW Team and SIGC. Numerous examples of improvement resulting directly from system review activities are evident.

The requirements for this element have been met. **C**

Refer to the adequacy check summary within this report for further detail.

OHSW Outcome Summary Sheet – CCES 2012 Renewal

| Standard 1 – Commitment & Policy | | Outcome |
|----------------------------------|---|---------|
| 1.1.1 | Recognise the requirement for legislative compliance. | C |
| 1.1.2 | Recognise the requirement for continuous improvement. | C |
| 1.1.3 | Be integral & relevant to the organisations: Mission statement, vision, core values & beliefs. Overall management system structure & system. Activities, products, services & people. | C |
| 1.1.4 | Identify responsibilities & accountabilities for all relevant employees. | C |
| 1.1.5 | Recognise commitment that appropriate internal &/or external expertise will be utilised, when required in all related activities. | C |
| 1.1.6 | Recognise other organisational policies & procedures when relevant | C |
| 1.1.7 | Recognise a commitment to communication of relevant information to all staff. | C |
| 1.1.8 | Recognise the organisation's duty of care to all persons in the workplace including labour hire, contractors and subcontractors, volunteers and other visitors. | C |
| 1.1.9 | Recognise a hazard management approach to OHSW | C |
| 1.1.10 | Incorporate a commitment to consultation. | C |
| 1.2.1 | Evidence of policies &/or procedures to support the policy statement. | O |
| 1.2.2 | Contingency arrangements are outlined for the organisation. | O |
| Standard 2 – Planning | | Outcome |
| 2.1.1 | Legislative compliance is addressed as part of the system, when appropriate. | C |
| 2.1.2 | Employees or their representatives directly affected by the implementation of OHSW plans are consulted when the plans are being formulated | C |
| 2.1.3 | Programs have objectives, targets & performance indicators when relevant. | C |
| 2.1.4 | Action plans are in place to correct identified areas of non-conformance with documented procedures. | C |
| 2.1.5 | Program(s) are in place to identify, evaluate and control hazards in the organisation. | C |
| 2.1.6 | Action Plans are in place for dealing with corrective action identified as part of any incident investigation process. | C |
| 2.2.1 | The identification of appropriate objectives for the organisation. | C |
| 2.2.2 | The identification of appropriate strategies to measure, monitor, evaluate & review system objectives. | C |
| 2.3.1 | Appropriate training requirements have been identified. | O |
| 2.3.2 | Training plan(s) have been developed. | O |
| Standard 3 – Implementation | | Outcome |
| 3.1.1 | Adequate human, physical & financial resources are being allocated to support the program(s). | O |
| 3.1.2 | Specialist expertise is used as required. | C |
| 3.2.1 | A relevant training program is being implemented. | O |
| 3.3.1 | Defined responsibilities are communicated to relevant employees. | C |
| 3.3.2 | Accountability mechanisms are being used when relevant. | C |
| 3.4.1 | System elements are aligned with, or integrated into, other corporate business functions, when relevant. | C |
| 3.5.1 | Arrangements for employee consultation & involvement are known & integrated into the programs developed. | C |
| 3.6.1 | Communication arrangements for information dissemination &/or exchange are in place. | C |
| 3.7.1 | Contingency plans are periodically tested &/or evaluated to ensure an adequate response, if required. | O |
| 3.8.1 | A hazard management process that includes identification, evaluation and control is in place. | O |
| 3.8.2 | Employees or their representatives are consulted and participate in hazard management process. | O |
| 3.8.3 | Control measures are based on the hierarchical control process. | O |
| 3.8.4 | Program(s) are in place to ensure appropriate OHSW consideration is given to changes in the workplace and work practices. | C |
| 3.8.5 | Program(s) are in place to ensure an appropriate OHSW consideration is given to changes at the time of purchase, hire or lease of plant, equipment and substances. | C |
| 3.8.6 | Program(s) are in place to meet the organisations duty of care for all persons in the workplace. | C |
| 3.8.7 | Program(s) are in place to ensure work related injury/illness and incidents are investigated and action taken when relevant. | C |
| 3.9.1 | That the implementation of relevant inspection and testing procedures are conducted by the relevant, competent person(s). | O |

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| 3.9.2 | That the corrective/preventive action is taken on non-conformance issues identified by inspection, and testing procedures. | O |
| 3.10.1 | All other activities arising out of policies &/or procedures implemented. | O |
| 3.11.1 | The relevant level of reporting, records &/or documentation is maintained to support the system programs & legislative compliance. | C |
| 3.12.1 | Program(s) of document control for identification &/or currency of essential documents are in place & being maintained. | O |
| Standard 4 – Measurement & Evaluation | | Outcome |
| 4.1.1 | Planned objectives, targets & performance indicators for key elements of program(s) are maintained & monitored. | C |
| 4.2.1 | Programmed internal audits are performed objectively by competent personnel to ensure performance of systems & programs & employees directly affected by the results, or their representatives are consulted. | O |
| 4.3.1 | Audit outcomes are documented & the necessary corrective action(s) identified, prioritised & implemented. | O |
| Standard 5 – Management Systems Review & Improvement | | Outcome |
| 5.1.1 | It reviews the scope & content of the policy statement & supporting policies/procedures in consultation with employees or their reps ensure continued suitability & effectiveness. | O |
| 5.2.1 | The level of achievement of documented objectives, targets & performance indicators is analysed & utilised to promote continuous improvement strategies. | C |
| 5.2.2 | Results are analysed & used to determine areas of success & areas requiring corrective & preventative action. | C |
| 5.3.1 | The system is reviewed & revised, if required, in line with current legislation, the workplace & work practices. | C |
| 5.3.2 | The system's measurement outcomes are used as a basis for future system development. | C |