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Examples of Grading the Management Systems Assessment Elements

Policies and Procedures

Not addressed	Fundamental improvements required	Some improvements recommended	Robust Management System
No policies or procedures are in place for the Workplace Requirements within this Base Code Area.	Gaps in policies and procedures observed, which substantially reduce the site's ability to manage the Base Code Area's requirements.	Gaps in policies and procedures observed which reduce the likelihood of sustainable compliance with the Workplace Requirements in the Base Code Area over time, for example, because they are not clear on meaning or implementation detail.	Policies and procedures are appropriate for the site context and are very likely to lead to sustainable compliance with all of the Workplace Requirements in the Base Code Area now and over time.
Policies and procedures in place actively contravene all of the Workplace Requirements within this Base Code Area.	Un-documented policies and procedures are in place which are effectively triangulated by secondary evidence (their unwritten nature implies fundamental improvement is required).	Base Code Area is generally captured in policies and procedures, but some gaps have already led to a non-compliance, though this is not necessarily systemic in nature.	Responsibilities and processes to implement policies and procedures are clear.
The policies and procedures in place are un-documented and cannot be effectively triangulated by secondary evidence.	A workplace requirement in this Base Code Area explicitly requires something specific to be addressed in a documented policy/procedure but it is not and this is likely to lead to a critical or major NC.	Oversights or gaps in policies and procedures observed which have lead to NCs which are isolated in nature.	There is a clear procedure for updating documentation according to changing requirements or situations.
	A gap in policies and procedures has led to or is likely to lead to systemic and major or critical NC.	Oversights in policies and procedures have not led to an NC but are likely to do so in the future.	

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Resources

Not addressed	Fundamental improvements required	Some improvements recommended	Robust Management System
No role(s) is identified as responsible for compliance with this Base Code Area.	The role(s) responsible for this Base Code Area does not require relevant skills or seniority to manage the Workplace Requirements.	The role(s) responsible for the Base Code Area is assigned their responsibility in writing.	The role(s) responsible for this Base Code Area requires the necessary skills and has the seniority to manage Workplace Requirements.
The role(s) identified undertakes no relevant activities relating to compliance with the Base Code Area or is not aware of their responsibilities.	Unclear responsibilities in the management structure or resourcing prevents implementation of good procedures. The management structure systemically leads to active decisions made to contravene the Base Code Area (for example, in order to prioritise other business objectives).	In general, the role(s) responsible understand their role and responsibilities and the role requires the necessary skills to implement them.	Systems are in place to ensure the management structure and responsibilities are reactive to changing circumstances.
A role(s) is confirmed as responsible however this is not documented and there is no secondary triangulating evidence to confirm.	Role(s) identified as responsible lacks the authority to implement the processes.	Oversights or gaps in the management structure are observed which have led to NCs that are isolated in nature.	Demonstrable effectiveness of the management structure to achieve compliance sustainably over time.
	Role(s) identified as responsible where this is not documented but there is secondary triangulating evidence to confirm.	Oversights in the management structure have not led to NCs but are likely to do so in the future.	
	A gap in management structure has led to or is likely to lead to systemic and major or critical NC.		

Communication and Training

Not addressed	Fundamental improvements required	Some improvements recommended	Robust Management System
No training or communication of policy or procedures to relevant workers, including managers and supervisors.	Ineffective or incomplete training and communication of policies and procedures to relevant workers, including managers and supervisors.	Isolated cases of ineffective training and communication of procedures to relevant workers, including managers and supervisors.	Effective training and communication of policy and procedures to all relevant workers, including managers and supervisors.
No documented record of training and evidence of training cannot be triangulated to confirm training has been undertaken.	Training plan is in place but it is not followed in practice.	Isolated cases of individuals relevant to achieving compliance with the Base Code Area, missing from communications or training implementation.	Training is conducted according to a documented plan/ procedure, which includes assessment and refresher training.
	Communications and/or training is not effective i.e., cannot be understood by key groups or individuals.	Training is conducted according to a documented plan but one or more of the preceding criteria are applicable.	Training content is updated according to need and the procedure for this is documented.
	Training plan is implemented in general, but key individuals are missing.	Oversights or gaps in how the training programme is managed leading to NCs, which are isolated in nature.	Effective assessment of understanding of those receiving training and/ or communications, ensuring a high level of efficacy.
	Systemic gaps in communications and/or training implementation i.e., missing relevant worker groups.	Oversights in how the training and communication programme is managed have not led to an NC, but are likely to do so in the future.	
	A gap in training has led to or is likely to lead to systemic and major or critical NCs.		
	Training is conducted but not according to a set plan.		

Monitoring

Not addressed	Fundamental improvements required	Some improvements recommended	Robust Management System
No monitoring of the implementation of procedures.	Major gaps in monitoring of procedures that does not ensure sufficient management of Workplace Requirements on an ongoing basis.	Monitoring in place for the Base Code Area in general but some requirements are overlooked such that there is potential for minor NCs to arise over time.	The organisation effectively monitors procedures, taking actions where results require it or changes to policies and processes are made. Monitoring ensures sufficient management of the Workplace Requirements in this Base Code Area on an ongoing basis.
Undocumented monitoring system cannot be evidenced through triangulation of evidence.	Failure in monitoring has or is likely to lead to systemic major or critical NCs.	Oversights or gaps in the monitoring systems have led to NCs, which are isolated in nature.	Evidence of monitoring procedures and metrics collection defined by procedure and evidence of implementation available. Responsibilities for monitoring and targets or key performance indicators are defined and utilised.
	Monitoring is not documented but is applied in practice and this can be triangulated by secondary evidence.	Oversights in the monitoring systems have not led to NCs but are likely to do so in the future.	
	Evidence of monitoring but no evidence of process or actions taken based on the monitoring results.		

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