# Management systems audit Site: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

# Date conducted:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| 1 Safety and health policy |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 1.1 | There is an approved safety and health policy (the policy) authorised by the organisation’s senior management or site senior executive. |  |  | | 1.2 | The policy states the organisation's overall safety and health objectives. |  |  | | 1.3 | The policy includes the commitment to establish measurable safety and health objectives. |  |  | | 1.4 | The policy declares management's commitment to comply with relevant OHS legislation. |  |  | | 1.5 | The policy has been implemented and communicated to all employees and relevant contractors. |  |  | | 1.6 | The policy is easily accessible and available to interested parties. |  |  | | 1.7 | The policy indicates the date of issue. |  |  | | 1.8 | The policy states a frequency of review. |  |  | | 1.9 | The policy document has been reviewed and re-issued in accordance with the specified frequency. |  |  | |
| 2 Safety management planning |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 2.1 | There is a documented safety management plan (SMP) for achieving the objectives and targets detailed in the policy. |  |  | | 2.2 | The SMP includes the designation of responsibilities for achieving objectives and targets at relevant functions and levels of the organisation. |  |  | | 2.3 | Where responsibilities for achievement of objectives and targets have been designated, persons / roles responsible are aware of these. |  |  | | 2.4 | The SMP includes an outline for the means and timeframe by which objectives and targets are to be achieved. |  |  | | 2.5 | Progress against the timeframe allocated for the achievement of objectives and targets is measured and responded to. |  |  | | 2.6 | The SMP is reviewed and amended at regular intervals as per the site’s document control procedures or where significant changes in operations occur. |  |  | | 2.7 | The SMP review process requires that representatives of various work areas and managerial levels within the organisation contribute to the review. |  |  | | 2.8 | There is a documented procedure, or element within the SMP, for involvement of, and consultation with, employees regarding safety and health issues. |  |  | | 2.9 | There is a documented procedure, or element within the SMP, defining methods for communicating safety and health matters. |  |  | | 2.10 | There is a documented procedure, or element within the SMP, that specifies how employees and contractors can suggest safety improvements. |  |  | | 2.11 | There are documented procedures, or elements within the SMP, for hazard identification, risk assessment and hazard control (risk management). |  |  | | 2.12 | JHAs or similar task assessment documents are created by persons with appropriate knowledge of the task, and appropriate knowledge of task risk assessment. |  |  | | 2.13 | JHAs or similar task assessment documents are approved by a supervisor prior to use. |  |  | | 2.14 | JHAs or similar task assessment documents are quality reviewed. |  |  | | 2.15 | Operational procedures are developed with input from operationally competent employees. |  |  | | 2.16 | There is a documented procedure or element within the SMP, for the identification of, and access to, all relevant legislative and other requirements applicable to safety and health. |  |  | | 2.17 | Employees are consulted where proposed changes may affect workplace safety and health. |  |  | | 2.18 | There is an effective and regular means of communicating safety and health indicators and trends to all employees and contractors. |  |  | |
| 3 Resourcing |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 3.1 | Resources required to implement, maintain and improve the Safety Management System (SMS) have been identified. |  |  | | 3.2 | Resources required to implement, maintain and improve the SMS have been provided. |  |  | | 3.3 | Resources referred to above include human resources, specialised skills, technology and financial resources. |  |  | |
| 4 Roles and responsibilties |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 4.1 | Up-to-date organisational charts are available and reflect all positions from corporate through to operations. |  |  | | 4.2 | All required statutory positions have competent persons appointed. |  |  | | 4.3 | Appointments are current for all statutory appointment holders. |  |  | | 4.4 | Senior manager responsibilities for safety and health are documented and accessible to all employees. |  |  | | 4.5 | Senior managers know and demonstrate what their safety and health responsibilities are. |  |  | | 4.6 | Senior managers regularly allocate time for discussing safety with supervisors and the workforce. |  |  | | 4.7 | A specific management representative has been appointed to ensure the SMS requirements are established, implemented and maintained. |  |  | | 4.8 | The appointed management representative understands and demonstrates compliance with the SMS requirements. |  |  | | 4.9 | Safety and health performance forms part of the performance appraisal for senior managers. |  |  | | 4.10 | Senior manager’s safety and health performance indicators are consistent with the policy. |  |  | | 4.11 | Job descriptions are available for all positions identified in the organisational chart. |  |  | | 4.12 | Job descriptions are developed in consultation with relevant department managers / supervisors. |  |  | |
| 5 Statutory responsibilities |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 5.1 | Management carries out its statutory responsibilities with respect to the inspection of all workplaces at the mine. |  |  | | 5.2 | Management carries out its statutory responsibilities in respect of the reporting of health and hygiene sampling results. |  |  | | 5.3 | A noise report has been conducted and notification provided to DMP within the past five years. |  |  | | 5.4 | A noise control plan has been developed within six months of finalising the noise report. |  |  | | 5.5 | Management carries out its statutory responsibility to ensure that no person shall be in or on a mine whilst adversely affected by alcohol or other drugs. |  |  | | 5.6 | Management carries out its statutory responsibilities in respect of the recording of notifiable injuries to workers. |  |  | | 5.7 | Management carries out its statutory responsibilities in respect of the recording and reporting of occurrences and potentially serious occurrences. |  |  | | 5.8 | Management carries out its statutory responsibilities in respect of the registration, inspection and maintenance of Classified Plant (both permanent and itinerant). |  |  | | 5.9 | Management carries out its statutory responsibilities in respect of the licensing, inspection, maintenance and record keeping for its electrical installation. |  |  | |
| 6 Design and planning |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 6.1 | Suitably qualified persons or consultants are used for design and planning aspects of the operation. |  |  | | 6.2 | Design and planning activities include the involvement of operations and maintenance personnel. |  |  | | 6.3 | Design and planning activities include hazard and risk analysis to identify where potential hazards can be engineered out. |  |  | | 6.4 | Approved documented standards and procedures are available and current which define requirements for design and planning activities. |  |  | | 6.5 | Processes are in place to ensure construction is in accordance with the design. |  |  | |
| 7 Contractor management |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 7.1 | Approved procedures have been established and implemented to define process and standards for the selection and management of contractors. |  |  | | 7.2 | Contractors' Safety and Health policies and procedures are assessed by the Principal Employer to ensure consistency with those of the Principal Employer. |  |  | | 7.3 | Contractors’ are required to supply safety and health performance data from previous external work, to the Principal Employer, as part of the selection process. |  |  | | 7.4 | The same management criteria are used for both contractors and direct employee groups with respect to safety and health matters. |  |  | | 7.5 | Contractors know and accept their areas of accountability and responsibility for safety and health. |  |  | | 7.6 | Contractors are required to comply with the requirements of the Principal Employer's Safety and Health policy. |  |  | | 7.7 | Contractors' employees are inducted on site specific safety and health requirements. |  |  | | 7.8 | Adequate supervision is provided to all contract personnel. |  |  | | 7.9 | Regular communication of safety and health matters occurs between the Principal Employer and contractors. |  |  | |
| 8 Duty of care |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 8.1 | Personnel are encouraged to accept responsibility for reporting and correcting unsafe acts and conditions. |  |  | | 8.2 | All required and relevant personal protective equipment (PPE) is available to all employees at no cost to the worker. |  |  | | 8.3 | There is a system in place that ensures new plant / equipment is inspected prior to being placed into service. |  |  | | 8.4 | Procedures are in place to ensure action is taken when equipment or plant does not conform to the appropriate standard. |  |  | | 8.5 | There is a system in place for the recognition and management of mental health hazards in the workplace. |  |  | | 8.6 | There is a system in place for the identification and management of bullying and harassment in the workplace. |  |  | | 8.7 | Bullying complaints are recorded and investigated. |  |  | | 8.8 | Bullying investigations are conducted and actioned by persons not directly linked to persons being investigated. |  |  | | 8.9 | Duty of care requirements are communicated to all employees. |  |  | | 8.10 | Written communications are available at shift changes. |  |  | | 8.11 | There is a communication system established between different working areas where there may be interaction. |  |  | |
| 9 Training and competency |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 9.1 | There is an induction, on-boarding and training process. |  |  | | 9.2 | Safety and health responsibilities for employees and contractors are included in the training program. |  |  | | 9.3 | Training needs analysis has been conducted by relevant persons for all organisational positions on site. |  |  | | 9.4 | Employees are assessed as competent to perform the tasks they will be assigned before work commences. |  |  | | 9.5 | Procedures have been developed and implemented to ensure safety and health competencies are achieved and maintained. |  |  | | 9.6 | Competent personnel conduct training and assessment. |  |  | | 9.7 | Records of each employee’s training history are maintained. |  |  | |
| 10 Maintenance |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 10.1 | There is a system for managing preventative maintenance. |  |  | | 10.2 | There is a system in place for the identification of, and accessibility to, critical components. |  |  | | 10.3 | There is a system/procedure for formal reporting of equipment or plant faults. |  |  | | 10.4 | There is a system for prioritising and completing the repair of reported equipment and plant faults. |  |  | | 10.5 | There is a system in place to conduct risk assessments prior to repairs being undertaken. |  |  | |
| 11 Risk register and associated management plans |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 11.1 | A hazard analysis for the site/operation has been conducted. |  |  | | 11.2 | The hazard / risk register has considered all aspects of the operation. |  |  | | 11.3 | The method of hazard analysis used for site risks aligns with the method specified in the SMP and associated risk management documents. |  |  | | 11.4 | The site’s ‘Principal Hazards’ have been identified and a management plan created to address the principal hazards. |  |  | | 11.5 | Accountability for site hazards has been delegated to appropriate management representatives / specialists. |  |  | | 11.6 | The likelihood and consequence for each hazard in the hazard register has been assessed. |  |  | | 11.7 | The hazard register is updated in accordance with document control requirements. |  |  | | 11.8 | The hazard register is updated whenever a planned change in operational / mining activities takes place. |  |  | | 11.9 | Relevant elements of the hazard register are reviewed and if necessary updated, whenever an accident or incident takes place. |  |  | | 11.10 | Control priorities for identified hazards are appropriate to the assigned risk level (using the hierarchy of controls). |  |  | | 11.11 | The controls assigned to each hazard are clearly defined as existing or future controls. |  |  | | 11.12 | Controls for ‘principal hazards’ are clearly aimed ‘above the line’ (engineering or above) in the hierarchy of controls. |  |  | | 11.13 | Controls for identified hazards include information as to the monitoring and review of current / existing controls. |  |  | | 11.14 | An Emergency Management Plan (EMP) / Emergency Response Plan (ERP) has been developed for the operation. |  |  | | 11.15 | The EMP/ERP lists all potential / foreseeable emergency situations. |  |  | | 11.16 | The specified emergency situations align with emergency situations identified in the hazard / risk register. |  |  | | 11.17 | The EMP/ERP is site specific. |  |  | | 11.18 | The EMP/ERP is complied with across the operation. |  |  | | 11.19 | Emergency response resources available at site are adequate to the defined emergency response procedures. |  |  | | 11.20 | The EMP/ERP and associated procedures have been updated in accordance with document control requirements. |  |  | | 11.21 | A Traffic Management Plan (TMP) has been developed for the operation. |  |  | | 11.22 | The TMP has been updated and re-issued in accordance with document control requirements. |  |  | | 11.23 | The TMP has been reviewed and updated following traffic incidents. |  |  | | 11.24 | A Fatigue Management Plan has been developed for the operation. |  |  | | 11.25 | Work rosters have been risk assessed in relation to fatigue. |  |  | | 11.26 | If/where appropriate, management plans have been developed for geotechnical considerations (including ground control, rock fall, tailings storage facilities, reservoirs, etc.). |  |  | | 11.27 | If/where appropriate, management plans have been developed for underground operations (including ventilation management, inrush, fires, emergency egress, thermal stress, etc.). |  |  | | 11.28 | If/where appropriate, management plans have been developed for explosives (including storage, transport and use). |  |  | | 11.29 | If/where appropriate, management plans have been developed for infrastructure (including fixed plant, storage of fuel and hazardous substances, rotating and moving equipment, shafts, winders, dredges, village infrastructure, airports, etc.). |  |  | | 11.30 | If/where appropriate, management plans have been developed for processing operations (including chemical reactions, exposure to hazardous substances, pressurised systems, molten metal, confined spaces, etc.). |  |  | | 11.31 | If/where appropriate, management plans have been developed for mobile plant and equipment management (including maintenance, isolation of hazardous energies, fires, tyre incidents, etc.). |  |  | | 11.32 | If/where appropriate, management plans have been developed for electrical safety (including maintenance, isolation, stored energy, electrocution, explosion, lightening, etc.). |  |  | | 11.33 | Other relevant management plans have been considered and where appropriate have been developed for the operation. |  |  | |
| 12 Occupational health and hygiene |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 12.1 | A survey (or similar) of the workplace has been conducted for the purposes of identifying all occupational health and hygiene hazards. |  |  | | 12.2 | A site based risk assessment of occupational health and hygiene hazards has been conducted. |  |  | | 12.3 | A health and hygiene management plan (HHMP) has been developed. |  |  | | 12.4 | A health and hygiene management plan (HHMP) has been implemented. |  |  | | 12.5 | Implemented controls are monitored and maintained for continuing effectiveness. |  |  | | 12.6 | Employees and contractors have access to their own health surveillance and sampling results. |  |  | |
| 13 Document control |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 13.1 | An approved document control procedure is implemented. |  |  | | 13.2 | Current approved documents associated with the SMS are available and accessible to the workforce. |  |  | | 13.3 | There is clear linkage / alignment between safety management system documentation. |  |  | | 13.4 | All obsolete documents and data are promptly removed to prevent unintended use. |  |  | | 13.5 | All obsolete documents and data being archived for legal or knowledge preservation purposes are suitably identified. |  |  | | 13.6 | There is a documented system for creating and authorising written work procedures. |  |  | | 13.7 | Relevant employees are involved in determining and creating written work procedures. |  |  | | 13.8 | Written work procedures are authorised as per document control requirements. |  |  | | 13.9 | There is a documented process for implementation of written work procedures once approved. |  |  | | 13.10 | Implementation of work procedures occurs as per the documented process. |  |  | | 13.11 | The written work practices are reviewed in accordance with document control practices. |  |  | | 13.12 | A confidential database recording each employee’s medical history is maintained. |  |  | | 13.13 | A database for employee personal details is maintained. |  |  | |
| 14 Safety and health – representatives, meetings, initiatives, committees |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 14.1 | A safety and health representative is available to workers. |  |  | | 14.2 | All elected safety and health representatives have completed the required training within twelve months of their election. |  |  | | 14.3 | SHReps conduct all required duties. |  |  | | 14.4 | There is a Safety and Health Committee on site that meets regularly. |  |  | | 14.5 | Employees and contractors are proportionally represented on Safety and Health Committees. |  |  | | 14.6 | There is a defined communication path available for the work force to bring safety and health matters to the attention of supervisors and management. |  |  | | 14.7 | There is a formally defined method of communicating on safety and health matters. |  |  | | 14.8 | There is a defined and utilised communication path for safety initiatives / improvement suggestions, and for management feedback. |  |  | | 14.9 | Safety and health meetings are held in each operating section of the site / operation. |  |  | | 14.10 | Matters raised at safety and health meetings are minuted and made known to the workforce. |  |  | | 14.11 | An action list with assigned responsibilities is raised as a result of concerns expressed at safety and health meetings. |  |  | |
| 15 Incident and occurrence reporting and investigation |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 15.1 | Documented procedures have been developed and implemented for accident / incident / occurrence / injury reporting and investigation. |  |  | | 15.2 | Management, supervision, safety and health representatives and relevant employees are involved in the accident / incident investigation processes. |  |  | | 15.3 | There is a system which ensures that corrective actions are implemented to the required standard. |  |  | | 15.4 | There is a system which ensures that contributory factors, root causes and corrective actions are identified and made known to the workforce. |  |  | | 15.5 | There is a system in place to ensure the monitoring of implemented actions. |  |  | | 15.6 | Procedures have been developed and implemented for injury management and follow-up. |  |  | | 15.7 | Procedures for injury reporting and management provide clear definitions for injury classifications. |  |  | | 15.8 | Injury management procedures include return to work (RTW) planning. |  |  | |
| 16 Auditing, monitoring and review |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 16.1 | An internal audit program has been established for periodic assessment of the SMS elements. |  |  | | 16.2 | Internal audits are conducted as per the planned schedule. |  |  | | 16.3 | The findings of SMS audits are communicated to senior management and the system is reviewed for continuing suitability, adequacy and effectiveness. |  |  | | 16.4 | Findings of previous SMS audits are reviewed as part of current audit programs. |  |  | |
| 17 Safety culture and behaviour |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 17.1 | Surveys are conducted to assess the attitude of employees towards safety and health. |  |  | | 17.2 | Disciplinary procedures are in place for unacceptable behaviour and unsafe acts. |  |  | | 17.3 | Disciplinary procedures for unsafe acts are consistently enforced by management. |  |  | |