



Government of **Western Australia**
Department of **Mines, Industry Regulation and Safety**
Resources Safety

Classified plant management audit – guide

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Table of contents

- Introduction 2**
- 1 Management 3**
- 2 Registration 4**
- 3 Record Keeping..... 6**
- 4 Inspections 9**
- 5 Incidents..... 11**
- 6 Repair & Modifications 11**
- 7 Operator Qualifications 12**

Introduction

This document was reformatted in November 2015. At this time no material changes were made to the content of the guide, which was originally published in December 2010 under the title *Guide to classified plant administration high impact function (HIF) audit 2010*.

Note: The Safety Regulation System (SRS) has replaced the AXTAT system and all reporting is done online through SRS.

1 Management

Management

Point	Standard	Guideline
1.1	There is a documented system for the management of all classified plant that is permanently located at, or temporarily introduced to, the minesite.	<p>Intent: To ensure that classified plant can be used safely and in accordance with legislation.</p> <p>Personnel: Registered Manager, maintenance manager.</p> <p>Method: View documentation.</p>
1.2	The Registered Manager has appointed a person to be responsible for the coordination and management of all classified plant used on the minesite.	<p>Intent: To ensure that a person is available to assist the manager in complying with the legislated requirements in regard to classified plant.</p> <p>Personnel: Registered manager, maintenance manager.</p> <p>Method: View appointment documentation. Refer to MSIA s44</p>
1.3	The appointed person is familiar with the requirements of the relevant legislation concerning classified plant.	<p>Intent: To ensure that the appointed person has sufficient knowledge of the requirements such that classified plant can be used safely.</p> <p>Personnel: The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method: Interview. As a minimum the person should demonstrate they have access to copies of the following:</p> <ul style="list-style-type: none"> • MSIA and MSIR. • current SME General Exemptions affecting classified plant. • relevant Australian Standards.
1.4	Current relevant Australian Standards (AS) are available for reference by personnel.	<p>Intent: To ensure that personnel have access to the current and correct information.</p> <p>Personnel: The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method: Interview. View available hardcopies of the relevant Australian Standards or the means of electronic access.</p>

2 Registration

Registration

Point	Standard	Guideline
2.1	The classified plant management system requires that all items of permanently installed and itinerant classified plant, which require registration, are registered prior to the plant being used at the mine.	<p>Intent: To verify that all permanently installed and itinerant items of classified plant are compliant with requirements.</p> <p>Personnel: The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method: Interview. View documentation i.e. classified plant register and classified plant record book. Conduct inspections to ascertain if there are any items of classified plant used at the mine that are not compliant in respect to registration requirements. Refer to MSIR 6.34(1) and 6.34(5) Important Note: Refer to the content of the “General Exemption from provisions of regulation 6.34 of the MSIR 1995 in respect of the registration of certain classified plant” issued by the State Mining Engineer on 14 June 2010.</p>
2.2	Applications for the registration of classified plant are made by the Registered Manager, the appointed person, or another person authorised in writing by the Registered Manager.	<p>Intent: To ensure that applications for the registration of classified plant are made in a consistent manner through the appropriate persons.</p> <p>Personnel: The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method: Interview. View documentation verifying authorisation by the Registered Manager. View recent applications.</p>

2.3

Applications for registration are accompanied by the relevant documentation detailing the item of classified plant requiring registration.

Intent:

To ensure that registration can be carried out reasonably promptly the application format should include a form detailing the item and the other relevant documentation, e.g. copies of the manufacturer's data reports (MDR), hydrostatic test certificates (HTC), design verification, evidence of design approvals from other statutory authorities, etc. In the case of purpose designed/unique items, detailed design drawings, design calculations and design verification declarations by independent reviewers, must accompany the application. In the case of serially produced items already having a design approval from another statutory authority, e.g. air receivers, air/oil separators and the like, copies of the MDR, HTC and evidence of design review and approval/registration by other statutory authorities are considered sufficient for the purpose of registration.

Personnel:

The appointed person, classified plant coordinator, classified plant officer.

Method:

Interview above-mentioned personnel. View application format and documentation relating to a number of applications. Refer to MSIR 6.34(3)

3 Record Keeping

Record Keeping

Point	Standard	Guideline
3.1	There is a classified plant register in the form of a spreadsheet, or similar itemised list, which details the status of all classified plant in use at the mine.	<p>Intent:</p> <p>To ensure that all classified plant used at the mine is identified and detailed in an easy to view itemised list/spreadsheet which can assist with the management of the plant. For each item of classified plant the itemised list/spreadsheet should, as a minimum, provide details of the following:</p> <ul style="list-style-type: none"> • Description • Location • Registration number (if applicable) • Serial number • Company ID/asset number • Capacity/volume/SWL • Hazard level • Statutory inspection period • Date of the last statutory inspection completed (if applicable) • Date of the next statutory inspection due (if applicable) • Indicate any special issues, e.g. exemptions granted or specific conditions <p>Personnel:</p> <p>The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method:</p> <p>Interview. View a hardcopy/electronic version of the registration itemised list/spreadsheet to check completeness.</p>
3.2	The classified plant register is kept up to date and is revised whenever changes in the status of any classified plant occur.	<p>Intent:</p> <p>To ensure that the classified plant register is current and can be relied upon.</p> <p>Personnel:</p> <p>The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method:</p> <p>Interview. View the classified plant register and check against entries in the registered classified plant record book.</p>

3.3	Records are kept of all inspections, including commissioning reports, relevant testing, maintenance inspections, and any alterations, of the classified plant.	<p>Intent:</p> <p>To ensure that there are records pertaining to the ongoing safe condition of all the classified plant.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method:</p> <p>Interview. View the records.</p>
3.4	There is a registered classified plant record book kept at the mine.	<p>Intent:</p> <p>To verify that all matters pertaining to the safe operable condition of an item of registered classified plant can be recorded.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method:</p> <p>Interview. View the registered classified plant record book. Refer to MSIR 6.40(2)</p>
3.5	The registered classified plant record book is only used for the purposes of recording the results of the statutory inspections of the registered classified plant.	<p>Intent:</p> <p>To verify that the registered classified plant record book is only used for the correct purposes. The registered classified plant record book must be kept in good condition with only the relevant information being entered into it. Loose items of paper kept in the registered classified plant record book are not acceptable.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method:</p> <p>Interview. View the registered classified plant record book. Refer to MSIR 6.40(2)</p>
3.6	Only authorised persons are able to make entries in the registered classified plant record book.	<p>Intent:</p> <p>To verify that only those persons authorised to make entries in the registered classified plant record book, i.e. an appointed competent person, a person approved by the State mining engineer, Special Inspectors of Mines (Machinery) (SIMM), may do so.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method:</p> <p>Interview. View the registered classified plant record book. Refer to MSIR 6.40(2)</p>

3.7	Entries in the registered classified plant record book are made without delay and it is kept up to date.	<p>Intent: To verify that the information regarding registered classified plant is current.</p> <p>Personnel: Registered manager. The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method: Interview. View the registered classified plant record book. Refer to MSIR 6.40 (2)</p>
3.8	Entries made in the registered classified plant record book are clearly written in ink with the identity/position of the person making the entry easily recognisable.	<p>Intent: To minimise the potential for mistaken information.</p> <p>Personnel: Registered manager. The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method: Interview. View the registered classified plant record book.</p>

4 Inspections

Inspections

Point	Standard	Guideline
4.1	The Registered Manager has appointed, in writing, a competent person(s) to carry out the statutory inspections of the registered classified plant used at the mine.	<p>Intent:</p> <p>To verify that only competent persons carry out the statutory inspections of registered classified plant and declaring that it is safe for use.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer. Maintenance & engineering personnel. Competent person(s).</p> <p>Method:</p> <p>Interview. View appointment documentation. As a minimum a copy of the appointment letter should be pasted in, or attached to, the mine record book and/or the registered classified plant record book. Refer to SME General Exemption from MSIR 6.40(1)</p>
4.2	Records are kept of the qualifications and appointments of the competent persons.	<p>Intent:</p> <p>To verify that the required records of the competent persons are available.</p> <p>Personnel:</p> <p>Registered manager. Appointed person(s).</p> <p>Method:</p> <p>Interview. View records of appointment. Refer to SME General Exemption from MSIR 6.40(1)</p>
4.3	Registered classified plant requiring statutory inspection is only inspected by competent persons and Inspectors of Mines.	<p>Intent:</p> <p>To verify that the statutory inspection of registered classified plant is only carried out only by those persons authorised to do so.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method:</p> <p>Interview. View classified plant record book. Refer to SME General Exemptions, MSIR 6.40(1)</p>

4.4	All registered classified plant requiring statutory inspection has been inspected in accordance with the relevant regulations.	<p>Intent:</p> <p>To verify that the statutory inspections of registered classified plant are being conducted as required.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method:</p> <p>Interview. View classified plant register and classified plant record book to check dates of last inspections. Refer to SME General Exemptions, MSIR 6.40(1), and MSIR Schedule 3</p>
4.5	The Registered Manager has appointed, in writing, a competent person(s) to carry out non- statutory inspections of the plant used at the mine.	<p>Intent:</p> <p>To verify that only competent persons carry out non- statutory inspections of plant and declaring that it is safe for use.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer. Maintenance & engineering personnel. Competent person(s).</p> <p>Method:</p> <p>Interview. View appointment documentation. As a minimum a copy of the appointment letter should be pasted in, or attached to, the mine record book. Refer to MSIR 6.20(e)</p>
4.6	Plant is inspected in accordance with relevant Australian Standards using suitable inspection checklists and report forms.	<p>Intent:</p> <p>To ensure that plant is inspected according to acceptable practices.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer. Maintenance & engineering personnel. Competent person(s).</p> <p>Method:</p> <p>Interview. View a number of completed inspection checklists, report forms and/or procedures.</p>

5 Incidents

Incidents

Point	Standard	Guideline
5.1	Any incident suspected of causing distortion, breakage, failure or damage of any registered classified plant used at the mine is immediately reported to the State Mining Engineer.	<p>Intent:</p> <p>To verify that action, if necessary, can be taken to prevent any similar incident from occurring at another location. It is acceptable to initially report an incident by telephone to a Special Inspector of Mine (Machinery) (SIMM) and then follow-up with a written report.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer. Operators of registered classified plant.</p> <p>Method:</p> <p>Interview. View mine record book, registered classified plant record book and other available documentation/correspondence. Refer to MSIR 6.36</p>
5.2	Registered classified plant that has sustained, or is suspected of having sustained, distortion, breakage, failure or damage is not used again until it has been found to conform to the design initially accepted by the State Mining Engineer.	<p>Intent:</p> <p>To verify that there is no possibility of any use of potentially unsafe registered classified plant.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer. Operators of registered classified plant.</p> <p>Method:</p> <p>Interview. View mine record book, registered classified plant record book and other available documentation/correspondence. Refer to MSIR 6.36</p>

6 Repair & Modifications

Repair & Modifications

Point	Standard	Guideline
6.1	Registered classified plant that has been repaired or modified is not used until it is verified that it conforms to the applicable Australian Standards, unless prior approval is obtained from the State Mining Engineer.	<p>Intent:</p> <p>To verify that registered classified plant will be safe for use after repair or modification.</p> <p>Personnel:</p> <p>Registered manager. The appointed person, classified plant coordinator, classified plant officer.</p> <p>Method:</p> <p>Interview. View documentation and records of registered classified plant. Inspect items of registered classified plant that have undergone repair or modification. Refer to MSIR 6.35</p>

7 Operator Qualifications

Operator Qualifications

Point	Standard	Guideline
7.1	Only persons who hold the requisite qualifications are permitted to operate specific items of classified plant.	<p>Intent: To ensure that those persons who operate certain items of plant are capable of doing so safely.</p> <p>Personnel: Supervisors</p> <p>Method: Obtain names of operators of those certain items of plant to crosscheck against records. Refer to MSIR 6.37 for the specific items of classified plant</p>
7.2	Records are kept of the qualifications of those persons permitted to operate specific items of classified plant.	<p>Intent: To verify that the required training has been received.</p> <p>Personnel: Training / personnel officer.</p> <p>Method: View records.</p>
7.3	Records are kept of those persons authorised to operate classified plant which is undergoing maintenance.	<p>Intent: To verify that the persons permitted to operate classified plant, for a specific purpose, have received the required training.</p> <p>Personnel: Training / personnel officer.</p> <p>Method: View records. Refer to MSIR 6.37(2)</p>