



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

## **Management systems audit – guide**

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# Introduction

This document supersedes the *Management systems audit* dated August 2016. The content of this audit has been completely reviewed and updated.

An effective safety management system should assist a site/organisation to identify, understand, and manage the hazards and risks associated with their mining operations in a systematic way while ensuring compliance with the *Mines Safety and Inspection Act 1994* and Mines Safety and Inspection Regulations 1995. This audit is intended to assist sites to assess the adequacy of their safety management system, including how well the defined and documented practices have been implemented.

This audit is currently being trialled and assessed by the Department. It has also been made available to industry. The content will continue to be reviewed, and where appropriate updated, over the coming months.

There is also a *Management systems for small mines* audit available and this is designed for smaller mining operations.

Where, in the intent, the word “verify” is used, this means that it is a regulatory requirement, which is mandatory and has to be complied with. Where, in the intent, the word “ensure” is used, it is not a mandatory requirement, but it does set out a good practice.

## List of abbreviations

AS	Australian Standard
DIDO	Drive in / Drive out
EMP	Emergency management plan
ER	Emergency response
ERP	Emergency response plan
FIFO	Fly in / Fly out
HHMP	Health and hygiene management plan
HRA	Health risk assessment
ISO	International Standards Organisation
JHA	Job Hazard Analysis
MSIA	<i>Mines Safety and Inspection Act 1994</i>
MSIR	Mines Safety and Inspection Regulations 1995
OSH	Occupational safety and health
PPE	Personal protective equipment
r.	Regulation (of the MSIR)
rr.	Regulations (of the MSIR)
RTW	Return to work
s.	Section (of the MSIA)
ss.	Sections (of the MSIA)
SHRep	Safety and health representative
SMP	Safety management plan
SMS	Safety management system
SRS	The Department of Mines, Industry Regulation and Safety online Safety Regulation System
TMP	Traffic management plan
TMS	Training management system

## Supporting documentation

Documentation referred to in this audit can be found via the links below:

- State Law Publisher, [www.slp.wa.gov.au](http://www.slp.wa.gov.au)
  - *Mines Safety and Inspection Act 1994*
  - Mines Safety and Inspection Regulations 1995
- Department of Mines, Industry Regulation and Safety (DMIRS), mining safety publications, [www.dmp.wa.gov.au/Safety/Mining-Safety-publications-16162.aspx](http://www.dmp.wa.gov.au/Safety/Mining-Safety-publications-16162.aspx)

# 1 Safety and health policy

## Safety and health policy

Point	Standard	Guideline
1.1	There is an approved safety and health policy (the policy) authorised by the organisation's senior management or site senior executive.	<p><b>Intent:</b> To ensure the existence of a policy that addresses this.</p> <p><b>Personnel:</b> N/A</p> <p><b>Method:</b> The policy is displayed in a prominent position and / or available electronically.</p>
1.2	The policy states the organisation's overall safety and health objectives.	<p><b>Intent:</b> To ensure that the policy document clearly identifies the over-arching safety and health objectives of the organisation.</p> <p><b>Personnel:</b> N/A</p> <p><b>Method:</b> Policy document review. Expands on the general content of the policy statement and lists / describes the high-level organisational objectives.</p>
1.3	The policy includes the commitment to establish measurable safety and health objectives.	<p><b>Intent:</b> To ensure that the policy document specifies a commitment to establish measurable safety and health targets. To ensure that the objectives and targets are aimed at elimination of work-related injury and illness.</p> <p><b>Personnel:</b> N/A</p> <p><b>Method:</b> Policy document review. A commitment to developing measurable site / operational objectives that directly link to organisational targets.</p>
1.4	The policy declares management's commitment to comply with relevant OHS legislation.	<p><b>Intent:</b> To ensure the commitment of senior management to comply with relevant OHS legislation.</p> <p><b>Personnel:</b> N/A</p> <p><b>Method:</b> Policy document review. The document should identify the legislation that is to be complied with. A general statement that management will comply with 'OHS legislation' is not satisfactory as this does not evidence knowledge of applicable legislation.</p>

1.5	The policy has been implemented and communicated to all employees and relevant contractors.	<p><b>Intent:</b></p> <p>To ensure that the policy's existence and content is known by employees and contractors at all levels of the operation. To ensure that the policy is linked to on-site safety and health objectives and targets.</p> <p><b>Personnel:</b></p> <p>Senior managers, line managers, employees, training staff and contractors.</p> <p><b>Method:</b></p> <p>Interview sample of personnel listed to determine knowledge of existence and relevance of policy. SMS document and training material review: Induction material references the policy and explains its applicability to site; other safety management system documentation (procedures, guides, management plans, etc.) links back to the policy; and, site safety and health objectives defined in site-specific documentation / rules / performance indicators, reflect over-arching policy objectives.</p>
1.6	The policy is easily accessible and available to interested parties.	<p><b>Intent:</b></p> <p>To ensure that there is the opportunity for the Safety and Health policy to be viewed by employees and contractors in the organisation.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>Access the policy. The essential criterion here is access to the policy, either electronically or in hard copy, for employees and contractors.</p>
1.7	The policy indicates the date of issue.	<p><b>Intent:</b></p> <p>To ensure that the policy is current and that proper document control is in place.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>Sight the policy. Where more than one copy is displayed, the auditor should check that the same (current) version is used.</p>

1.8	The policy states a frequency of review.	<p><b>Intent:</b></p> <p>To ensure that the policy is regularly reviewed to maintain relevance to organisational and operational status, and to support continuous improvement.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>Sight the policy. Where more than one copy is displayed, the auditor should check that the current version is used.</p>
1.9	The policy document has been reviewed and re-issued in accordance with the specified frequency.	<p><b>Intent:</b></p> <p>To ensure that the policy has been reviewed and re-issued in accordance with the relevant dates or changes to operational / organisational status.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>Sight the policy. Where more than one copy is displayed, the auditor should check that the current version is used.</p>

## 2 Safety management planning

### Safety management planning

Point	Standard	Guideline
2.1	There is a documented safety management plan (SMP) for achieving the objectives and targets detailed in the policy.	<p><b>Intent:</b> To ensure the existence of an SMP (or similar document) that defines how the objectives of the policy are to be achieved at site / operational level.</p> <p><b>Personnel:</b> Senior manager, safety professionals etc.</p> <p><b>Method:</b> Review SMP / relevant document. Confirm that it links to the policy and sets objectives that reflect policy targets.</p>
2.2	The SMP includes the designation of responsibilities for achieving objectives and targets at relevant functions and levels of the organisation.	<p><b>Intent:</b> To ensure that specific responsibilities and accountabilities for the achievement of objectives and targets are assigned to roles / personnel current in the organisational hierarchy.</p> <p><b>Personnel:</b> N/A</p> <p><b>Method:</b> SMP review and comparison with organisational structure.</p>
2.3	Where responsibilities for achievement of objectives and targets have been designated, persons / roles responsible are aware of these.	<p><b>Intent:</b> To ensure that the assignment of responsibilities is appropriate to the role / person. To ensure personnel assigned responsibilities know and understand their safety and health responsibilities.</p> <p><b>Personnel:</b> Management representatives and other employees assigned responsibilities within the SMP.</p> <p><b>Method:</b> Interview</p>
2.4	The SMP includes an outline for the means and timeframe by which objectives and targets are to be achieved.	<p><b>Intent:</b> To ensure that objectives and targets assigned to site representatives are specific, measurable, achievable, realistic and timely.</p> <p><b>Personnel:</b> N/A</p> <p><b>Method:</b> SMP review.</p>

2.5	Progress against the timeframe allocated for the achievement of objectives and targets is measured and responded to.	<p><b>Intent:</b></p> <p>To ensure the objectives specified in the SMP have value, are actively being progressed through to achievement and any barriers to progress are investigated and rectified.</p> <p><b>Personnel:</b></p> <p>Management representatives and other employees assigned responsibilities within the SMP.</p> <p><b>Method:</b></p> <p>Interview and review of monthly / quarterly reports that may evidence progress.</p>
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.	<p><b>Intent:</b></p> <p>To ensure that the SMP is treated as a 'live' document that will at all times reflect the status and objectives of the organisation and site / operation.</p> <p><b>Personnel:</b></p> <p>Document controller and person assigned over-arching control of the safety management system.</p> <p><b>Method:</b></p> <p>Interview and SMP version review. Compare SMP version dates with approximate operational change periods, e.g. change to principal employer; movement from open pit operation to underground; mass redundancies, etc.</p>
2.7	The SMP review process requires that representatives of various work areas and managerial levels within the organisation contribute to the review.	<p><b>Intent:</b></p> <p>To ensure that those personnel likely to be affected by changes to / updates of the SMP are involved in the review process.</p> <p><b>Personnel:</b></p> <p>Person assigned over-arching control of the safety management system. Personnel assigned roles within the SMP.</p> <p><b>Method:</b></p> <p>Interview and review of version control documentation specifying when reviews occurred and who was involved.</p>
2.8	There is a documented procedure, or element within the SMP, for involvement of, and consultation with, employees regarding safety and health issues.	<p><b>Intent:</b></p> <p>To verify that duty of care requirements regarding employer consultation with employees is incorporated in the SMP.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>SMP review. Refer to MSIA s.9(1)(c)</p>



2.9	There is a documented procedure, or element within the SMP, defining methods for communicating safety and health matters.	<p><b>Intent:</b></p> <p>To ensure that safety and health matters inclusive of incident and investigation details and significant hazard identification is communicated to employees, contractors, and where appropriate, corporate and external stakeholders.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>SMP review.</p>
2.10	There is a documented procedure, or element within the SMP, that specifies how employees and contractors can suggest safety improvements.	<p><b>Intent:</b></p> <p>To ensure that there is a defined, formal process within the SMP for suggesting, actioning and providing feedback on, safety improvements.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>SMP review. Process is to include how improvements are suggested, how they are followed-up and actioned; and how the decided action is communicated back to the originator.</p>
2.11	There are documented procedures, or elements within the SMP, for hazard identification, risk assessment and hazard control (risk management).	<p><b>Intent:</b></p> <p>To ensure that the site has a defined system for risk management in place that covers hazard / risk source identification through assessment and evaluation, control implementation and control monitoring and review.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>SMP review, and / or review of relevant risk management documentation.</p>
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.	<p><b>Intent:</b></p> <p>To verify that there is a system in place for task-based risk assessment and hazard control.</p> <p>To ensure that the system in place is supported by appropriate knowledge to adequately detail the hazards, evaluate the risk potential and implement appropriate controls.</p> <p><b>Personnel:</b></p> <p>Operational and maintenance supervisors; operators and maintainers; and safety personnel.</p> <p><b>Method:</b></p> <p>Interviews with personnel required to create JHA documents. Refer to MSIA s.9(1)(a)</p>

2.13	JHAs or similar task assessment documents are approved by a supervisor prior to use.	<p><b>Intent:</b></p> <p>To ensure that an appropriate level of supervision / management is involved in the JHA review, authorisation and implementation process.</p> <p><b>Personnel:</b></p> <p>Operational and maintenance supervisors</p> <p><b>Method:</b></p> <p>Interview and JHA review.</p>
2.14	JHAs or similar task assessment documents are quality reviewed.	<p><b>Intent:</b></p> <p>To ensure that a quality control process is in place to support adequate and appropriate hazard identification, risk assessment and control implementation for tasks / jobs.</p> <p>To ensure JHAs are audited by management for quality, relevance and value against the SMS and to assist with continuous improvement.</p> <p><b>Personnel:</b></p> <p>Supervisors, managers and safety personnel.</p> <p><b>Method:</b></p> <p>Interview to determine whether quality checking does occur; review JHA documentation for conformity to a standard; and, review JHA documentation for adequacy to prevent exposure to hazards.</p>
2.15	Operational procedures are developed with input from operationally competent employees.	<p><b>Intent:</b></p> <p>To ensure that procedures are developed where applicable from JHA's.</p> <p>To ensure that procedures are developed with input from the personnel likely to be affected by the procedure.</p> <p><b>Personnel:</b></p> <p>Document developers; operators and maintainers; and Safety and Health Representatives (SHReps).</p> <p><b>Method:</b></p> <p>Interview and review of version control documentation to determine who was involved in procedure development.</p>
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.	<p><b>Intent:</b></p> <p>To ensure that all relevant legislation is accessible and available to validate and verify compliance requirements.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>SMP review.</p>

2.17	Employees are consulted where proposed changes may affect workplace safety and health.	<p><b>Intent:</b> To verify that a process has been implemented to support consultation with employees ahead of decisions being made that may impact safety and health.</p> <p><b>Personnel:</b> Operational and maintenance personnel; SHReps.</p> <p><b>Method:</b> Interviews with operations and maintenance personnel and SHReps. Refer to MSIA s.9(1)(c) and s.53(1)(f) and (g)</p>
2.18	There is an effective and regular means of communicating safety and health indicators and trends to all employees and contractors.	<p><b>Intent:</b> To ensure that safety and health information is being communicated to employees and contractors to allow them to conduct activities so far as is practicable that they are not exposed to hazards.</p> <p><b>Personnel:</b> Operational and maintenance personnel; SHReps.</p> <p><b>Method:</b> Interview; review SMP for section relating to communication of safety and health information; attend pre-start / toolbox meetings to confirm what information is conveyed; and, access documents / communications that reflect dissemination of safety and health related information.</p>

### 3 Resourcing

#### Resourcing

Point	Standard	Guideline
3.1	Resources required to implement, maintain and improve the Safety Management System (SMS) have been identified.	<p><b>Intent:</b> To ensure that safety and health objectives are adequately resourced to promote achievement. To ensure that adequate resources have been identified to meet legislative requirements to promote compliance.</p> <p><b>Personnel:</b> N/A</p> <p><b>Method:</b> Review SMP to identify specific objectives / compliance requirements that are to be resourced.</p>
3.2	Resources required to implement, maintain and improve the SMS have been provided.	<p><b>Intent:</b> To ensure that resources identified have been provided, or included in budgets / capital requests.</p> <p><b>Personnel:</b> Personnel who have been allocated overall control of the safety management system.</p> <p><b>Method:</b> Confirm through field verification and interview whether the resources are available or have been incorporated into budgeting processes.</p>
3.3	Resources referred to above include human resources, specialised skills, technology and financial resources.	<p><b>Intent:</b> To ensure that the resources required to meet objectives are adequate to the size, nature and complexity of the operation.</p> <p><b>Personnel:</b> Personnel who have been allocated overall control of the safety management system.</p> <p><b>Method:</b> Interview to confirm how the specified resources were determined to be adequate.</p>

### 4 Roles and responsibilities

#### Roles and responsibilities

Point	Standard	Guideline
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4.1	Up-to-date organisational charts are available and reflect all positions from corporate through to operations.	<p><b>Intent:</b></p> <p>To ensure that personnel and operational changes are reflected in the organisational structure and there is clear linkage between corporate and site-based positions, where applicable.</p> <p><b>Personnel:</b></p> <p>HR advisor and / or department managers.</p> <p><b>Method:</b></p> <p>Source copies of organisational charts and review for currency. Interviews with department managers may be required.</p>
4.2	All required statutory positions have competent persons appointed.	<p><b>Intent:</b></p> <p>To verify all required statutory appointments are identified and appointed. To verify the competency of statutory appointment holders.</p> <p><b>Personnel:</b></p> <p>Senior managers, line managers, statutory position holders.</p> <p><b>Method:</b></p> <p>Check persons appointed in SRS and compare with the site's Mine Record Book. Check that all required statutory appointments have been identified and made based on the operation type and status. Check that competency information, where appropriate, is supplied with appointment notification(s) and is accessible. Refer MSIA ss. 33, 33A, 34, 35, 36, 37, 38, 44, 46A and 47. Refer MSIR rr. 5.10, 5.18, 9.3 and 16.9.</p>
4.3	Appointments are current for all statutory appointment holders.	<p><b>Intent:</b></p> <p>To ensure that the appointment notifications for statutory appointees reflect current legislative requirements of their role, and reflect current incumbents to the role. Ensure current appointment notifications include the end-dating of previous appointments where appropriate.</p> <p><b>Personnel:</b></p> <p>Administrative support personnel.</p> <p><b>Method:</b></p> <p>Review appointment notifications for a minimum of three statutory appointees to assess quality of documentation e.g. referenced legislation is accurate and appointment notifications are available and up to date. This should be checked against what is in SRS.</p>

4.4	Senior manager responsibilities for safety and health are documented and accessible to all employees.	<p><b>Intent:</b></p> <p>To ensure that the safety and health accountabilities and responsibilities for each senior manager in the organisation is documented.</p> <p>To ensure that authority levels of management and supervision to deal with safety and health matters are defined</p> <p><b>Personnel:</b></p> <p>Senior managers.</p> <p><b>Method:</b></p> <p>Review SMP or policy documents. Where safety and health responsibilities are defined in these, compare to those listed in senior manager job descriptions to determine standardisation.</p> <p>Compliance with this standard requires that at least the manager concerned has been notified in writing of the nature and extent of the safety and health responsibilities which they are to undertake.</p>
4.5	Senior managers know and demonstrate what their safety and health responsibilities are.	<p><b>Intent:</b></p> <p>To ensure that safety and health accountabilities assigned to senior managers are being enacted and enforced.</p> <p>To ensure that authority levels of management and supervision to deal with safety and health matters are known and implemented.</p> <p><b>Personnel:</b></p> <p>Senior managers; supervisors; and operational and maintenance personnel.</p> <p><b>Method:</b></p> <p>Interview senior managers to determine what they believe they do, or can evidence they do with regard to demonstrating their safety and health responsibilities. Compare this to information gained during interview from the people who work for / report to the senior manager. Reasonable consistency between information received from both groups is to be achieved before compliance to this standard can be attributed.</p>

4.6	Senior managers regularly allocate time for discussing safety with supervisors and the workforce.	<p><b>Intent:</b></p> <p>To ensure that senior managers demonstrate a commitment to safety and health communication and consultation.</p> <p><b>Personnel:</b></p> <p>Senior managers; supervisors; and operational and maintenance personnel.</p> <p><b>Method:</b></p> <p>Interview senior managers to determine what they believe they do, or sight evidence of time allocated discussing safety with front-line supervisory and workforce personnel.</p> <p>Compare this to information gained during interview from the front-line supervisory and workforce personnel. Reasonable consistency between information received from both groups is to be achieved before compliance to this standard can be attributed.</p>
4.7	A specific management representative has been appointed to ensure the SMS requirements are established, implemented and maintained.	<p><b>Intent:</b></p> <p>To ensure that a person has been assigned overall control of the safety management system development, implementation and maintenance.</p> <p><b>Personnel:</b></p> <p>Safety professionals</p> <p><b>Method:</b></p> <p>Refer to SMP or relevant job description for assignment of SMS control to a management representative.</p>
4.8	The appointed management representative understands and demonstrates compliance with the SMS requirements.	<p><b>Intent:</b></p> <p>To ensure the person appointed to manage the SMS understands what is required of this role and is able to meet the requirements of the role.</p> <p>To ensure the appointed management representative demonstrates the reporting of SMS performance to top management and the implementation of actions from review.</p> <p><b>Personnel:</b></p> <p>Person assigned control of SMS.</p> <p><b>Method:</b></p> <p>Interview to determine understanding of extent of role. Compare verbalised requirements with condition of the SMS with regard to development, implementation and maintenance; and review reporting documentation.</p>

4.9	Safety and health performance forms part of the performance appraisal for senior managers.	<p><b>Intent:</b> To ensure the organisation's commitment to improve safety and health is reflected in senior manager performance appraisal.</p> <p><b>Personnel:</b> Senior managers; and HR personnel.</p> <p><b>Method:</b> Direct interview with senior managers. Performance appraisal review – random sample of senior managers, (safety and health sections only – full appraisal records not required).</p>
4.10	Senior manager's safety and health performance indicators are consistent with the policy.	<p><b>Intent:</b> To ensure alignment between policy objectives and those targets / performance indicator set for senior managers.</p> <p><b>Personnel:</b> Senior managers and HR personnel.</p> <p><b>Method:</b> Comparison of performance indicators set in job descriptions / performance appraisal documentation against policy objectives. If no alignment exists, the standard is not met.</p>
4.11	Job descriptions are available for all positions identified in the organisational chart.	<p><b>Intent:</b> To ensure that all organisational positions have been adequately described with regard to key responsibilities, functions and safety and health objectives.</p> <p><b>Personnel:</b> HR personnel.</p> <p><b>Method:</b> Select a random sample of roles from the organisational structure and request copies of the job descriptions. Review job descriptions for sufficiency to describe primary and secondary responsibilities and define safety and health objectives.</p>
4.12	Job descriptions are developed in consultation with relevant department managers / supervisors.	<p><b>Intent:</b> To ensure that job descriptions are developed using personnel who have the greatest knowledge of the role and can provide input as to cascading responsibilities.</p> <p><b>Personnel:</b> HR personnel and department managers / supervisors.</p> <p><b>Method:</b> Direct interview with each manager / supervisor associated with the selected job descriptions from the previous standard. Determine their level of input into job description development.</p>



## 5 Statutory responsibilities

### Statutory responsibilities

Point	Standard	Guideline
5.1	Management carries out its statutory responsibilities with respect to the inspection of all workplaces at the mine.	<p><b>Intent:</b> To verify that inspection of workplaces is being conducted as per the requirements of Part 3, Division 3 of the MSIR.</p> <p><b>Personnel:</b> Senior managers, line managers, employees.</p> <p><b>Method:</b> Confirm via interview with a sample of the workforce. Refer to MSIR rr. 3.18, 3.19, 3.20, 3.21 and 3.22</p>
5.2	Management carries out its statutory responsibilities in respect of the reporting of health and hygiene sampling results.	<p><b>Intent:</b> To verify that site management is complying with requirements to submit personal exposure sampling results.</p> <p><b>Personnel:</b> Senior managers, line managers, safety and health professionals, ventilation officers, employees.</p> <p><b>Method:</b> Confirm via SRS and comparison with site HHMP and quota proposal. Refer to MSIR rr. 9.11 and 9.13</p>
5.3	A noise report has been conducted and notification provided to DMP within the past five years.	<p><b>Intent:</b> To verify that a noise report for the operation has been conducted in the required timeframes and by an appropriately qualified person.</p> <p><b>Personnel:</b> Noise officer, safety professionals, senior managers.</p> <p><b>Method:</b> Review noise report to confirm areas of the operation covered and dates of survey. Refer to MSIR rr. 7.8, 7.9 and 7.10</p>
5.4	A noise control plan has been developed within six months of finalising the noise report.	<p><b>Intent:</b> To verify that a noise control plan has been developed and implemented from the information supplied in the noise report.</p> <p><b>Personnel:</b> Noise officer, safety professionals, senior managers.</p> <p><b>Method:</b> Review noise control plan to confirm applicability to noise report. Refer to MSIR r. 7.11(3)</p>

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.	<p><b>Intent:</b></p> <p>To verify that no person is able to conduct work at a mine site whilst under the influence of alcohol or other drugs.</p> <p><b>Personnel:</b></p> <p>Senior managers, line managers, safety and health professionals, employees.</p> <p><b>Method:</b></p> <p>Review alcohol and other drug procedures. Confirm enforcement via interview with a sample of the workforce. Refer to MSIR r. 4.7</p>
5.6	Management carries out its statutory responsibilities in respect of the recording of notifiable injuries to workers.	<p><b>Intent:</b></p> <p>To verify that all notifiable injuries are reported correctly and within the timeframes appropriate to their severity.</p> <p><b>Personnel:</b></p> <p>Senior managers, line managers, Safety and health professionals, employees.</p> <p><b>Method:</b></p> <p>Compare information within site injury databases with that in SRS. Refer to MSIA s.76</p>
5.7	Management carries out its statutory responsibilities in respect of the recording and reporting of occurrences and potentially serious occurrences.	<p><b>Intent:</b></p> <p>To verify that all reportable incidents are notified correctly and in accordance with required timeframes.</p> <p><b>Personnel:</b></p> <p>Senior managers, line managers, Safety and health professionals, employees.</p> <p><b>Method:</b></p> <p>Compare information within site incident databases with that in SRS. Refer to MSIA ss.78 and 79</p>
5.8	Management carries out its statutory responsibilities in respect of the registration, inspection and maintenance of Classified Plant (both permanent and itinerant).	<p><b>Intent:</b></p> <p>To verify that classified plant is identified, inspected, registered (where applicable), maintained and repaired as per MSIR requirements.</p> <p><b>Personnel:</b></p> <p>Classified plant officers and inspectors.</p> <p><b>Method:</b></p> <p>Review classified plant record book and classified plant register. Sight permanent and itinerant equipment in field and compare against information contained in registers / record book. Refer to MSIR Part 6, Division 3</p>

5.9	Management carries out its statutory responsibilities in respect of the licensing, inspection, maintenance and record keeping for its electrical installation.	<p><b>Intent:</b></p> <p>To verify that all electrical installations are in accordance with the requirements of Part 5 of the MSIR.</p> <p><b>Personnel:</b></p> <p>Electrical supervisors and electrical personnel.</p> <p><b>Method:</b></p> <p>Review qualifications of electrical personnel; statutory appointment letters; and electrical log book. Refer to MSIR Part 5</p>
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## 6 Design and planning

### Design and planning

Point	Standard	Guideline
6.1	Suitably qualified persons or consultants are used for design and planning aspects of the operation.	<p><b>Intent:</b></p> <p>To ensure that qualified persons are utilised in the planning and design phases of the operation.</p> <p><b>Personnel:</b></p> <p>Senior managers, line planners, managers, engineers (all disciplines), surveyors, specialists and consultants.</p> <p><b>Method:</b></p> <p>Review design control documents for the project, mine/pit, civil works, structures and processes, if/where applicable.</p> <p>Review correspondence and reports from consultants for mine planning, infrastructure or geotechnical aspects, if/where applicable.</p>
6.2	Design and planning activities include the involvement of operations and maintenance personnel.	<p><b>Intent:</b></p> <p>To ensure that maintenance specialists and operations personnel are consulted regarding new or replacement plant or equipment.</p> <p><b>Personnel:</b></p> <p>Managers, foremen, operations, electrical and mechanical personnel.</p> <p><b>Method:</b></p> <p>Review capital works justification documents, consultant's reports, and planning meeting minutes.</p> <p>Direct interviews with operations and maintenance personnel to confirm their involvement and to compare with documented information.</p>
6.3	Design and planning activities include hazard and risk analysis to identify where potential hazards can be engineered out.	<p><b>Intent:</b></p> <p>To ensure that hazards are identified prior to purchase, construction or excavation, and that formal procedures exist to identify and manage such hazards.</p> <p><b>Personnel:</b></p> <p>Managers, engineers, consultants, purchasing, safety administration and Safety and Health representatives.</p> <p><b>Method:</b></p> <p>Sight contractor/consultant references and contract documents. Purchasing policy, tendering specifications and safety plan, e.g. noise policy on new equipment.</p> <p>Mine designs to provide for adequate road widths and emergency escape routes etc. Seek documented evidence that risk analysis and geotechnical reviews are conducted and recommendations implemented i.e. by mine design or safe monitoring.</p>

6.4	Approved documented standards and procedures are available and current which define requirements for design and planning activities.	<p><b>Intent:</b></p> <p>To ensure that design and planning activities are conducted in a standardised manner and in accordance with a defined and approved process.</p> <p><b>Personnel:</b></p> <p>Mine engineers, technical services personnel, maintenance planners and designers.</p> <p><b>Method:</b></p> <p>Request copies of design and planning procedures from mining and fixed plant areas. Review for sufficiency and alignment with safety management system documentation.</p>
6.5	Processes are in place to ensure construction is in accordance with the design.	<p><b>Intent:</b></p> <p>To ensure that construction and mining occurs in accordance with approved design, and where deviations may be required or occur they are sufficiently justified / explained.</p> <p><b>Personnel:</b></p> <p>Mine engineers, technical services personnel, maintenance planners and designers.</p> <p><b>Method:</b></p> <p>Comparison of outcome documents with design documents. Review of shutdown / construction / production debrief minutes that may reflect alterations from original design.</p>

## 7 Contractor management

### Contractor management

Point	Standard	Guideline
7.1	Approved procedures have been established and implemented to define process and standards for the selection and management of contractors.	<p><b>Intent:</b></p> <p>To ensure that the selection and management of contractors occurs in a systematic formalised manner to promote consistency and provide clarity with regard to expectations and requirements.</p> <p><b>Personnel:</b></p> <p>Registered manager, contracts manager, admin manager</p> <p><b>Method:</b></p> <p>Interview to gain verbal understanding from relevant managers as to how contractor selection and management occurs.</p> <p>Compare verbal information against available contractor tendering / selection procedures to ensure correct implementation.</p>
7.2	Contractors' Safety and Health policies and procedures are assessed by the Principal Employer to ensure consistency with those of the Principal Employer.	<p><b>Intent:</b></p> <p>To ensure that contractor safety and health policies and procedures do not conflict with those of the Principal Employer.</p> <p><b>Personnel:</b></p> <p>Registered Manager, Contracts Manager, safety and training officers.</p> <p><b>Method:</b></p> <p>Review contract agreements and written procedures.</p>
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.	<p><b>Intent:</b></p> <p>To ensure that selection of contractors is based on safety and health performance in addition to other contractual considerations.</p> <p><b>Personnel:</b></p> <p>Registered manager, contracts manager, admin manager</p> <p><b>Method:</b></p> <p>Request copies of contractor safety and health performance data provided during tendering process, and / or request copies of documents specifying the requirement for contractors to provide this information during the tendering process.</p>

7.4	The same management criteria are used for both contractors and direct employee groups with respect to safety and health matters.	<p><b>Intent:</b></p> <p>To ensure consistency in approach to safety and health across the whole workforce.</p> <p><b>Personnel:</b></p> <p>Senior managers, contractor supervisors and employees / contractors</p> <p><b>Method:</b></p> <p>Direct interview with personnel to determine their knowledge of safety and health communication, consultation, incident and injury reporting, supervisory requirements, inspections, improvement suggestions, duty of care requirements, etc. and compare against site standards.</p>
7.5	Contractors know and accept their areas of accountability and responsibility for safety and health.	<p><b>Intent:</b></p> <p>To ensure that contractor knowledge of safety and health accountabilities is aligned with the rest of the workforce.</p> <p><b>Personnel:</b></p> <p>Various contract personnel.</p> <p><b>Method:</b></p> <p>Direct interview with a sample of contractor representatives to confirm what they believe to be their safety and health accountabilities on site as compared to those of the Principal Employer and employees of the Principal Employer.</p>
7.6	Contractors are required to comply with the requirements of the Principal Employer's Safety and Health policy.	<p><b>Intent:</b></p> <p>To ensure that all contractors are subject to the safety and health policies of the Principal Employer and that the policies are enforced.</p> <p><b>Personnel:</b></p> <p>Various contract personnel.</p> <p><b>Method:</b></p> <p>Direct interview with at least three contractor representatives to determine their level of knowledge with regard to the existence and content of the principal employer's safety and health policy. Confirm what they believe their requirements are with respect to compliance with the Principal Employer's safety and health policy as compared to compliance with the contractor's own safety and health policy.</p>

7.7	Contractors' employees are inducted on site specific safety and health requirements.	<p><b>Intent:</b> To ensure that contractor employees have received a site safety induction.</p> <p><b>Personnel:</b> Contractor employees, staff responsible for induction.</p> <p><b>Method:</b> Site induction records, induction course notes and direct interview with contract personnel.</p>
7.8	Adequate supervision is provided to all contract personnel.	<p><b>Intent:</b> To ensure that adequate supervision is provided to contract personnel.</p> <p><b>Personnel:</b> Contractor employees, supervisors and principal employer.</p> <p><b>Method:</b> Direct interview with contractor and supervisory personnel to confirm levels of direct and indirect supervision. Compare this information to site standards regarding supervision and determine adequacy.</p>
7.9	Regular communication of safety and health matters occurs between the Principal Employer and contractors.	<p><b>Intent:</b> To ensure that contractors are included in all relevant communications on safety and health matters, including recent incidents, that have the potential to impact contractors</p> <p><b>Personnel:</b> Registered manager, contractor representatives / site managers.</p> <p><b>Method:</b> Direct interview with a sample of contractor representatives to confirm their involvement in communication forums where information on safety and health matters is disseminated. Review contractor / Principal Employer meeting minutes for frequency and safety and health content.</p>



## 8 Duty of care

### Duty of care

Point	Standard	Guideline
8.1	Personnel are encouraged to accept responsibility for reporting and correcting unsafe acts and conditions.	<p><b>Intent:</b> To ensure that there is no impediment to the reporting and correction of unsafe conditions, acts, etc.</p> <p><b>Personnel:</b> Supervisors, foreman, safety officers, maintenance staff, safety and health representatives, employees and contractors</p> <p><b>Method:</b> Review hazard report forms from employees. Review pre-start checklists and associated comments and compare with maintenance logs identifying when repairs occurred. Direct interviews with supervisors and employees to determine their perceptions of the reporting culture. Review Safety and Health Committee meeting minutes for positive actions. Review corrective action lists / registers vs hazard reports.</p>
8.2	All required and relevant personal protective equipment (PPE) is available to all employees at no cost to the worker.	<p><b>Intent:</b> To verify that where it is not practicable to avoid the presence of hazards at the mine, employees are provided with adequate personal protective clothing and equipment.</p> <p><b>Personnel:</b> Supervisors, warehouse staff, employees and contractors, safety professionals.</p> <p><b>Method:</b> Check warehouse and records for supplies issued and available. Direct interview with employees to determine suitability of available PPE and knowledge of PPE programs in place. In-field verification of PPE availability. Refer MSIA s.9(1)(d)</p>

8.3	There is a system in place that ensures new plant / equipment is inspected prior to being placed into service.	<p><b>Intent:</b></p> <p>To ensure that all new equipment and plant is checked for suitability and functionality prior to being put into use.</p> <p><b>Personnel:</b></p> <p>Mine manager, maintenance manager, maintenance planner.</p> <p><b>Method:</b></p> <p>Review maintenance schedules, commissioning documents and records, procedure for new equipment on-site, maintenance check forms.</p>
8.4	Procedures are in place to ensure action is taken when equipment or plant does not conform to the appropriate standard.	<p><b>Intent:</b></p> <p>To ensure that defective, unsuitable and unsafe plant and equipment is identified, reported and a process exists to deal with the deficiency.</p> <p><b>Personnel:</b></p> <p>Mine manager, maintenance manager, maintenance planner.</p> <p><b>Method:</b></p> <p>Review inspection reports, maintenance schedules, commissioning documents and records, new equipment on-site procedure, maintenance check forms.</p>
8.5	There is a system in place for the recognition and management of mental health hazards in the workplace.	<p><b>Intent:</b></p> <p>To ensure that recognition of mental health hazards and management processes have been incorporated into health and wellbeing processes and programs on site.</p> <p><b>Personnel:</b></p> <p>Registered manager, safety personnel, medics / occupational health nurses.</p> <p><b>Method:</b></p> <p>Review safety management system documentation associated with fitness for work and determine adequacy of coverage of mental health hazards amongst these.</p>
8.6	There is a system in place for the identification and management of bullying and harassment in the workplace.	<p><b>Intent:</b></p> <p>To ensure that bullying and harassment identification and management processes have been incorporated into the safety management system.</p> <p><b>Personnel:</b></p> <p>Registered manager, HR personnel, safety personnel, medics / occupational health nurses.</p> <p><b>Method:</b></p> <p>Review safety management system and/or HR documentation associated with bullying and harassment to determine adequacy of coverage.</p>

8.7	Bullying complaints are recorded and investigated.	<p><b>Intent:</b> To ensure that incidents of bullying and harassment are appropriately recorded and investigated.</p> <p><b>Personnel:</b> Registered manager, HR personnel, safety personnel, medics / occupational health nurses.</p> <p><b>Method:</b> Review HR records or incident / injury records (whilst maintaining complainant confidentiality) to confirm that incidents of bullying have been recorded, investigated, and feedback provided to the complainant.</p>
8.8	Bullying investigations are conducted and actioned by persons not directly linked to persons being investigated.	<p><b>Intent:</b> To ensure that bullying investigations are conducted by persons with no conflict of interest or potential bias.</p> <p><b>Personnel:</b> Registered manager, HR personnel and safety personnel.</p> <p><b>Method:</b> Review HR records or incident / injury records (whilst maintaining complainant confidentiality) to confirm that bullying investigations are conducted by persons with no relationship to involved parties and no relationship to the relevant mine / operation.</p>
8.9	Duty of care requirements are communicated to all employees.	<p><b>Intent:</b> To verify that employees know and understand employer and employee duty of care requirements.</p> <p><b>Personnel:</b> Employees</p> <p><b>Method:</b> Direct interview with employees to determine their knowledge of duty of care requirements and where they gained that knowledge. Review induction material and safety and health-related training material for descriptions. Refer to MSIA ss.9 and 10.</p>
8.10	Written communications are available at shift changes.	<p><b>Intent:</b> To verify that written / electronic communications are available at shift change that specifically record hazard identification (nature and location) and status.</p> <p><b>Personnel:</b> Employees, supervisors and area managers</p> <p><b>Method:</b> Direct interview with employees to confirm the methods used to convey information at shift change. Sight logs, diaries or other written communications used. Refer to MSIR r. 10.30</p>

8.11

There is a communication system established between different working areas where there may be interaction.

**Intent:**

To ensure that the potential for interaction between different work areas is considered, and where applicable managed.

**Personnel:**

Employees, supervisors and area managers

**Method:**

Review SMS documentation for reference to this requirement.

Review pre-start, toolbox planning meeting minutes to confirm consideration of interaction between work areas and the implemented controls.

Direct interview with employees to achieve examples of where communication modifications have been enacted to support safe conduct of activities in areas where there may be interaction

## 9 Training and competency

### Training and competency

Point	Standard	Guideline
9.1	There is an induction, on-boarding and training process.	<p><b>Intent:</b> To verify that all employees (including contractors) and visitors are given adequate instruction and training in safety procedures and systems of work before commencing work or visiting the mine.</p> <p><b>Personnel:</b> Senior management, line managers, training personnel, employees.</p> <p><b>Method:</b> Confirm that the mine has an induction and training process available for personnel working on the mine. Confirm by interview with management and employees that induction and training takes place. Examine mine induction and training records to confirm the process occurs. Refer to MSIR r. 4.13(1)</p>
9.2	Safety and health responsibilities for employees and contractors are included in the training program.	<p><b>Intent:</b> To ensure pertinent safety and health information is included in induction and training programs, such as MSIA s. 10 and site requirements.</p> <p><b>Personnel:</b> Senior management, line managers, safety and training personnel, employees and contractors.</p> <p><b>Method:</b> Confirm by sighting written material used in the induction and training programs. Interview or discuss with personnel who have attended the induction or commenced a program of training.</p>
9.3	Training needs analysis has been conducted by relevant persons for all organisational positions on site.	<p><b>Intent:</b> To ensure a consultative process has occurred with relevant area managers / supervisors so that each organisational role has had relevant training and assessment needs identified, including pre-requisites, competencies, licenses and qualification and this information is recorded against each role.</p> <p><b>Personnel:</b> Safety and training personnel, HR personnel, area managers / supervisors.</p> <p><b>Method:</b> Sight the training needs analysis and compare listed job roles to those within the organisational structure. Interview area managers/supervisors to determine consultation process used to determine position needs.</p>

9.4	Employees are assessed as competent to perform the tasks they will be assigned before work commences.	<p><b>Intent:</b></p> <p>To verify that every employee is assessed before commencing work at the mine to ensure that the employee is competent to perform the tasks they will be assigned and to operate any plant and equipment the employee will be required to operate.</p> <p><b>Personnel:</b></p> <p>Safety and training personnel, HR personnel, employees and contractors.</p> <p><b>Method:</b></p> <p>Review training matrix and/or training records for competency assessment relevant to a sample of roles and required training. Refer to MSIR r. 4.13(1)</p>
9.5	Procedures have been developed and implemented to ensure safety and health competencies are achieved and maintained.	<p><b>Intent:</b></p> <p>To verify that a formal Training Management System (TMS) has been developed and implemented to support the achievement and maintenance of safety and health competencies amongst the workforce.</p> <p><b>Personnel:</b></p> <p>Safety and training personnel, area managers.</p> <p><b>Method:</b></p> <p>Review the TMS to ensure it addresses training and assessment personnel, procedures and resource requirements. Ensure the system encompasses re-training or reassessment after a defined risk based frequency. Assess procedures defining how safety and health competencies are to be achieved and maintained. Refer to MSIR r. 4.13(1).</p>
9.6	Competent personnel conduct training and assessment.	<p><b>Intent:</b></p> <p>To ensure that workplace training and assessment is provided by suitably skilled, experienced, knowledgeable and qualified personnel.</p> <p><b>Personnel:</b></p> <p>Safety and training personnel, area managers.</p> <p><b>Method:</b></p> <p>Identify those personnel within the organisation tasked with conducting training and assessment. Review their work histories, training records and interview directly.</p>

9.7	Records of each employee's training history are maintained.	<p><b>Intent:</b> To verify that records of any instruction, training, retraining, assessment or reassessment are maintained and available at the site.</p> <p><b>Personnel:</b> Safety and training personnel, area managers.</p> <p><b>Method:</b> Access training records or personnel records to locate. Refer to MSIR r. 4.13</p>
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## 10 Maintenance

### Maintenance

Point	Standard	Guideline
10.1	There is a system for managing preventative maintenance.	<p><b>Intent:</b></p> <p>To ensure that plant and equipment is subject to planned maintenance and that servicing is in accordance with manufacturer requirements. To ensure that servicing is effective and that plant and equipment is safe to operate.</p> <p><b>Personnel:</b></p> <p>Mine manager and foreman, maintenance manager and planner, equipment and plant operators.</p> <p><b>Method:</b></p> <p>Confirm availability of original equipment manufacturer (OEM) maintenance recommendations for a sample of plant / equipment. Review maintenance schedules, minutes of operating and maintenance weekly meetings, major shutdown schedules for plant. Check that equipment is designated for appropriate maintenance service intervals e.g. 250 or 500 hours services etc. and hour metre readings, and that these are recorded.</p>
10.2	There is a system in place for the identification of, and accessibility to, critical components.	<p><b>Intent:</b></p> <p>To ensure that critical parts of plant and equipment have been identified and are available.</p> <p><b>Personnel:</b></p> <p>Area managers, maintenance planners, stores / purchasing personnel.</p> <p><b>Method:</b></p> <p>Request access to critical components list and confirm how the list was generated. Compare listed critical items to those available in stores and laydown areas. Identify the inspection and monitoring regimes in place for critical components.</p>



10.3	There is a system/procedure for formal reporting of equipment or plant faults.	<p><b>Intent:</b></p> <p>To ensure that a system/procedure is in place to record defects of plant and that a formal means of presenting this information exists.</p> <p><b>Personnel:</b></p> <p>Area managers, maintainers, planners and operators.</p> <p><b>Method:</b></p> <p>Check maintenance records for equipment histories to confirm that breakdowns and reported faults are recorded.</p> <p>Check minutes of production meetings and reports to verify that a system exists.</p> <p>View monthly reports for availability and utilisation charts or figures of major plant and equipment.</p> <p>Interview plant operators and maintainers to determine how defects are reported and addressed – compare to existing documentation.</p>
10.4	There is a system for prioritising and completing the repair of reported equipment and plant faults.	<p><b>Intent:</b></p> <p>To ensure that a system is in place to repair plant faults / defects and that a breakdown reporting system is in operation.</p> <p><b>Personnel:</b></p> <p>Plant operators and maintenance crews, and the corresponding supervisors.</p> <p><b>Method:</b></p> <p>Confirm the communication route from fault identification through to repair scheduling and completion.</p> <p>Check a sample of equipment pre-start books for recurring faults and / or priority faults on equipment still being operated.</p> <p>Check a selection of maintenance records to confirm that operator's comments are noted and attended to.</p>
10.5	There is a system in place to conduct risk assessments prior to repairs being undertaken.	<p><b>Intent:</b></p> <p>To ensure that a system is in place to risk assess equipment repair activities and implement controls ahead of conducting those activities.</p> <p><b>Personnel:</b></p> <p>Plant operators and maintenance crews, and the corresponding supervisors.</p> <p><b>Method:</b></p> <p>Review 'work packs' / task allocation documentation for some form of risk assessment pro forma.</p> <p>Interview personnel involved with repair work to determine the process between being allocated a task and completing the task.</p>

# 11 Risk register and associated management plans

## Risk register and associated management plans

Point	Standard	Guideline
11.1	A hazard analysis for the site/operation has been conducted.	<p><b>Intent:</b> To ensure an adequate hazard analysis for the site has been conducted and a site hazard/risk register created with involvement of all relevant personnel.</p> <p><b>Personnel:</b> Registered manager, department managers and safety practitioners.</p> <p><b>Method:</b> Access site hazard / risk register(s).</p>
11.2	The hazard / risk register has considered all aspects of the operation.	<p><b>Intent:</b> To ensure that all areas of the operation have been considered with regard to risk potential, inclusive of airstrips, villages, rehabilitation and exploration areas as applicable.</p> <p><b>Personnel:</b> Senior management and safety practitioners.</p> <p><b>Method:</b> Review extent of coverage of the site hazard / risk register(s) against known areas of the operation.</p>
11.3	The method of hazard analysis used for site risks aligns with the method specified in the SMP and associated risk management documents.	<p><b>Intent:</b> To ensure that the hazard analysis methodology specified in the planning documentation is the method being utilised.</p> <p><b>Personnel:</b> Senior management and safety practitioners.</p> <p><b>Method:</b> Review hazard analysis methodology against that provided in the safety management plan.</p>

11.4	The site's 'Principal Hazards' have been identified and a management plan created to address the principal hazards.	<p><b>Intent:</b></p> <p>To ensure that priority hazards for control (extreme or high risk) have been identified and suitable management plans developed.</p> <p>To ensure that the management plans and included control descriptions are adequate to the level of risk assigned to the principal hazards.</p> <p><b>Personnel:</b></p> <p>Senior management and safety practitioners.</p> <p><b>Method:</b></p> <p>Review hazard / risk register(s) for principal hazard identification.</p> <p>Source management plans for the specified principal hazards.</p>
11.5	Accountability for site hazards has been delegated to appropriate management representatives / specialists.	<p><b>Intent:</b></p> <p>To ensure that risk ownership has been appropriately assigned.</p> <p><b>Personnel:</b></p> <p>Senior management and safety practitioners.</p> <p><b>Method:</b></p> <p>Review hazard / risk register(s) to determine whether risk ownership is identified within.</p> <p>If not listed against hazards within the hazard / risk register(s), interview senior managers and safety personnel to determine if risk ownership is assigned, and how.</p> <p>Once risk owners are identified, interview these people to confirm their level of knowledge with regard to accountabilities associated with management of the relevant hazards.</p>
11.6	The likelihood and consequence for each hazard in the hazard register has been assessed.	<p><b>Intent:</b></p> <p>To ensure that the likelihood of a hazard resulting in an event, and the potential consequences have been appropriately considered for each hazard.</p> <p><b>Personnel:</b></p> <p>Senior management and safety practitioners.</p> <p><b>Method:</b></p> <p>Review hazard / risk register(s).</p> <p>For a sample of hazards, evaluate whether the described consequence and likelihood is reasonably valid.</p>

11.7	The hazard register is updated in accordance with document control requirements.	<p><b>Intent:</b></p> <p>To ensure that the hazard register conforms to document control requirements and undergoes periodic review.</p> <p><b>Personnel:</b></p> <p>Document controller, senior management and safety personnel.</p> <p><b>Method:</b></p> <p>Review hazard register documentation to confirm whether it is easily identifiable as to when the site risks were last reviewed, by whom, when the next review is scheduled, and what actions / further controls resulted from the last review.</p> <p>Check that the hazard register conforms to site document control requirements.</p>
11.8	The hazard register is updated whenever a planned change in operational / mining activities takes place.	<p><b>Intent:</b></p> <p>To ensure that the hazard register is maintained as a 'live' document and operational changes prompt review.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel.</p> <p><b>Method:</b></p> <p>Determine when operational / mining activity changes have occurred, such as significant reductions or increases in workforce numbers.</p> <p>Compare these change dates with periods of hazard register review and information amendments within the register.</p> <p>Determine if there is any correlation that would represent hazard register review based on changes.</p>
11.9	Relevant elements of the hazard register are reviewed and if necessary updated, whenever an accident or incident takes place.	<p><b>Intent:</b></p> <p>To ensure that the hazard register is maintained as a 'live' document and incidents or serious potential events prompt review.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel</p> <p><b>Method:</b></p> <p>Review when significant incidents or serious potential events have occurred – database review or interview.</p> <p>Compare these event dates with periods of hazard register review and information amendments within the register.</p> <p>Consider if there is any correlation that would represent hazard register review based on incident events.</p>

11.10	Control priorities for identified hazards are appropriate to the assigned risk level (using the hierarchy of controls).	<p><b>Intent:</b></p> <p>To ensure control priorities are assigned to clearly reflect their position on the hierarchy of controls, enabling quick identification of the level of effectiveness of controls listed against each ranked risk.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>Determine the ease of assessing control effectiveness as assigned against each hazard within the register(s). Review the list of controls against the factors listed that may contribute to an event occurring and determine whether all contributing factors have been addressed.</p>
11.11	The controls assigned to each hazard are clearly defined as existing or future controls.	<p><b>Intent:</b></p> <p>To ensure that it can be easily ascertained as to whether listed controls are implemented or are yet to be implemented. For those to be implemented, ensure there is an action plan in place.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>Review control lists within the hazard register(s) to determine whether control implementation status is clearly described.</p>
11.12	Controls for 'principal hazards' are clearly aimed 'above the line' (engineering or above) in the hierarchy of controls.	<p><b>Intent:</b></p> <p>To ensure that those hazards identified as having an unacceptable level of risk have been targeted with controls that don't rely on human interaction e.g. hard controls.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>Identify whether sufficient elimination, substitution or engineering controls have been applied to principal hazards to reduce risk to as low as reasonably practicable.</p>

11.13	Controls for identified hazards include information as to the monitoring and review of current / existing controls.	<p><b>Intent:</b></p> <p>To ensure that controls implemented for risk reduction are being monitored and reviewed for effectiveness at regular intervals.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>Identify whether there is a section within the hazard register(s) that specifies what actions are being taken to promote the sustainability and effectiveness of implemented controls.</p> <p>Determine if control review within the register aligns with control review requirements specified in the safety management plan.</p>
11.14	An Emergency Management Plan (EMP) / Emergency Response Plan (ERP) has been developed for the operation.	<p><b>Intent:</b></p> <p>To verify that an EMP/ERP has been developed that covers the extent of the operation.</p> <p><b>Personnel:</b></p> <p>Senior management and safety / emergency response personnel</p> <p><b>Method:</b></p> <p>Source the current version of the EMP/ERP. Determine whether it adequately covers the size, nature, location and complexity of the current operation.</p> <p>Refer to MSIR r. 4.30(1)</p>
11.15	The EMP/ERP lists all potential / foreseeable emergency situations.	<p><b>Intent:</b></p> <p>To verify that all foreseeable emergencies are defined and addressed for the operation.</p> <p><b>Personnel:</b></p> <p>Senior management and safety / emergency response personnel</p> <p><b>Method:</b></p> <p>Review the EMP/ERP and determine whether emergencies are listed and described for each area of the operation that can be considered reasonably foreseeable.</p> <p>Review the response procedures associated with each of the foreseeable emergencies for adequacy to the risk.</p> <p>Interview emergency response personnel to determine their level of knowledge of the EMP/ERP; and confirm the site capability to address the foreseeable emergencies as described in the EMP/ERP.</p> <p>Refer to MSIR r. 4.30(2)</p>

11.16	The specified emergency situations align with emergency situations identified in the hazard / risk register.	<p><b>Intent:</b></p> <p>To verify that there is a clear link between the risks identified in the site registers and those deemed foreseeable emergencies in the EMP/ERP.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>Review those hazards in the register(s) for identification of emergency situations / emergency response requirements and compare against those specified in the EMP/ERP.</p> <p>Check for references in the register(s) to the EMP/ERP and vice versa.</p> <p>Refer to MSIR r. 4.30(2)</p>
11.17	The EMP/ERP is site specific.	<p><b>Intent:</b></p> <p>To ensure that the EMP/ERP provides sufficient site-specific guidance information to support appropriate emergency notification and response.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>Review the EMP/ERP for sufficiency to supply accurate, site-specific information regarding evacuations; muster points; emergency response (ER) systems and procedures; training for ER and non-ER personnel; drills, exercises, scenarios and their frequencies; roles and responsibilities; escalation and involvement; and post-emergency strategies.</p>
11.18	The EMP/ERP is complied with across the operation.	<p><b>Intent:</b></p> <p>To ensure that what is specified in the EMP/ERP is applied across the operation.</p> <p><b>Personnel:</b></p> <p>Senior management, safety / emergency response personnel, and employees</p> <p><b>Method:</b></p> <p>Interview a sample of personnel to determine their level of knowledge regarding the EMP/ERP contents as relevant to their level in the organisation, i.e. location of evacuation points, how to raise the alarm in the event of an emergency, frequency of drills and training scenarios, what roles and responsibilities are allocated to whom in the response, etc.</p>

11.19	Emergency response resources available at site are adequate to the defined emergency response procedures.	<p><b>Intent:</b></p> <p>To ensure that the site is able to respond to emergencies as specified in the EMP/ERP and associated procedures.</p> <p><b>Personnel:</b></p> <p>Safety / emergency response personnel and training personnel.</p> <p><b>Method:</b></p> <p>Confirm available physical resources – infrastructure, vehicles, PPE and rescue equipment.  Confirm human resource capability – sufficient numbers and competency to equip a response team for most emergencies.  Check training record for ER team members to verify ER competencies.  Check training records / debrief documentation for frequency of conduct of drills / scenarios and the outcomes from these.</p>
11.20	The EMP/ERP and associated procedures have been updated in accordance with document control requirements.	<p><b>Intent:</b></p> <p>To verify that the EMP/ERP is reviewed and maintained as per document control requirements.</p> <p><b>Personnel:</b></p> <p>Document controller and safety / emergency response personnel.</p> <p><b>Method:</b></p> <p>Review the EMP/ERP to determine consistency of version numbers and naming conventions throughout the document.  Check revision history for frequency of review and determine whether review is happening as prescribed by document control requirements and whenever changes in mining operations, equipment, systems or procedures occur at the mine.  Refer to MSIR r. 4.30(3)</p>
11.21	A Traffic Management Plan (TMP) has been developed for the operation.	<p><b>Intent:</b></p> <p>To ensure that hazards associated with vehicle / mobile equipment operation have been adequately risk assessed and addressed.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel.</p> <p><b>Method:</b></p> <p>Source the site traffic management plan/s.</p>



11.22	The TMP has been updated and re-issued in accordance with document control requirements.	<p><b>Intent:</b></p> <p>To ensure that the TMP is reviewed and maintained as per document control requirements.</p> <p><b>Personnel:</b></p> <p>Document controller and safety personnel.</p> <p><b>Method:</b></p> <p>Review the TMP to determine consistency of version numbers and naming conventions throughout the document.</p> <p>Check revision history for frequency of review and determine whether review is happening as proscribed by document control requirements and whenever changes in mining operations, equipment, systems or procedures occur at the mine.</p>
11.23	The TMP has been reviewed and updated following traffic incidents.	<p><b>Intent:</b></p> <p>To ensure that traffic incidents prompt review of existing controls associated with traffic management.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel</p> <p><b>Method:</b></p> <p>Compare TMP revisions against vehicle incident dates to determine if there is a correlation between the two, or confirm revision information reflects incident response.</p>
11.24	A Fatigue Management Plan has been developed for the operation.	<p><b>Intent:</b></p> <p>To ensure that hazards associated with fatigue have been risk assessed and addressed. This should include fatigue related to working hours and commuting to/from work.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel.</p> <p><b>Method:</b></p> <p>Source the fatigue management plan or related documents, and review.</p>

11.25	Work rosters have been risk assessed in relation to fatigue.	<p><b>Intent:</b></p> <p>To ensure that rosters have been appropriately risk assessed with regard to hours of work, shift rotation, travel time to and from work, and DIDO / FIFO arrangements.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel.</p> <p><b>Method:</b></p> <p>Review the hazard register for reference to work rosters.</p> <p>Confirm whether consideration has been given to both on-site and off-site travel and the impacts these may have on fatigue / well-being.</p> <p>Confirm whether the controls associated with the work roster risk assessment are aimed at reducing risk to 'as low as reasonably practicable'.</p>
11.26	If/where appropriate, management plans have been developed for geotechnical considerations (including ground control, rock fall, tailings storage facilities, reservoirs, etc.).	<p><b>Intent:</b></p> <p>To ensure that geotechnical hazards have been considered, risk assessed and addressed where appropriate.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel</p> <p><b>Method:</b></p> <p>Source the management plans or similar documents, and review.</p>
11.27	If/where appropriate, management plans have been developed for underground operations (including ventilation management, inrush, fires, emergency egress, thermal stress, etc.).	<p><b>Intent:</b></p> <p>To ensure that hazards associated with underground operations have been considered, risk assessed and addressed where appropriate.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel</p> <p><b>Method:</b></p> <p>Source the management plans or similar documents, and review.</p>
11.28	If/where appropriate, management plans have been developed for explosives (including storage, transport and use).	<p><b>Intent:</b></p> <p>To ensure that hazards associated with explosives have been considered, risk assessed and addressed where appropriate.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel</p> <p><b>Method:</b></p> <p>Source the management plans or similar documents, and review.</p>

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.).	<p><b>Intent:</b></p> <p>To ensure that hazards associated with infrastructure have been considered, risk assessed and addressed where appropriate.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel</p> <p><b>Method:</b></p> <p>Source the management plans or similar documents, and review.</p>
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.).	<p><b>Intent:</b></p> <p>To ensure that hazards associated with processing operations have been considered, risk assessed and addressed where appropriate.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel</p> <p><b>Method:</b></p> <p>Source the management plans or similar documents, and review.</p>
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.).	<p><b>Intent:</b></p> <p>To ensure that hazards associated with mobile plant and equipment have been considered, risk assessed and addressed where appropriate.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel</p> <p><b>Method:</b></p> <p>Source the management plans or similar documents, and review.</p>
11.32	If/where appropriate, management plans have been developed for electrical safety (including maintenance, isolation, stored energy, electrocution, explosion, lightening, etc.).	<p><b>Intent:</b></p> <p>To ensure that electrical hazards have been considered, risk assessed and addressed where appropriate.</p> <p><b>Personnel:</b></p> <p>Senior management and safety personnel</p> <p><b>Method:</b></p> <p>Source the management plans or similar documents, and review.</p>

11.33

Other relevant management plans have been considered and where appropriate have been developed for the operation.

**Intent:**

To ensure that hazards associated with other principal hazards have been considered, risk assessed and addressed where appropriate.

**Personnel:**

Senior management and safety personnel

**Method:**

Source the management plans or similar documents, and review.

For instance, management plans may be relevant for:

- Travel to and from site (by aircraft, road and boat), manual handling, infectious diseases, health risks, thermal stress, etc.
- Natural disasters including bush fires, seismic events, landslides, etc.
- Construction activities.
- Major shutdown activities.
- Exploration activities, including lone and isolated workers, exposure to gasses, thermal stress, flora and fauna incidents, etc.

## 12 Occupational health and hygiene

### Occupational health and hygiene

Point	Standard	Guideline
12.1	A survey (or similar) of the workplace has been conducted for the purposes of identifying all occupational health and hygiene hazards.	<p><b>Intent:</b> To verify that occupational health and hygiene hazards are identified and exposure prevention and management strategies are developed and implemented.</p> <p><b>Personnel:</b> Registered manager, and occupational health and safety personnel.</p> <p><b>Method:</b> Review documentation associated with the risk-based hygiene management plan or similar to confirm whether a survey has been conducted to lend validity to occupational health hazard identification. The use of only historical contaminant data to support this standard is insufficient. All known and reasonably foreseeable occupational exposures are to be clearly defined. Refer to MSIA s. 9(1) and MSIR Part 7</p>
12.2	A site based risk assessment of occupational health and hygiene hazards has been conducted.	<p><b>Intent:</b> To verify that exposure risk has been adequately considered and appropriately ranked.</p> <p><b>Personnel:</b> Registered manager, and occupational health and safety personnel.</p> <p><b>Method:</b> Review health risk assessment (HRA) documentation. Identify what criteria / parameters have been used to gauge exposure risk. Confirm that all occupational health and hygiene hazards identified from survey are included in the HRA; all potentially exposed roles are specified; and risk ranking is appropriate to exposure criteria outlined. Refer to MSIA s. 9(1) and MSIR Part 7</p>

12.3	A health and hygiene management plan (HHMP) has been developed.	<p><b>Intent:</b></p> <p>To verify that a system of managing occupational health and hygiene hazards has been developed based on risk.</p> <p><b>Personnel:</b></p> <p>Registered manager, and occupational health and safety personnel.</p> <p><b>Method:</b></p> <p>Review available documentation for connectivity to the initial survey and HRA.</p> <p>Confirm that the plan adequately defines methodologies for prevention and / or control of exposures to occupational health and hygiene hazards.</p> <p>Confirm that the control measures provided are appropriate to the level of risk assigned to each occupational health and hygiene hazard and consider the hierarchy of controls.</p> <p>Confirm that control measures align with relevant legislation, codes of practice and standards.</p> <p>Refer to MSIA s. 9(1) and MSIR Part 7</p>
12.4	A health and hygiene management plan (HHMP) has been implemented.	<p><b>Intent:</b></p> <p>To verify that what is stated in the management plan reflects what is actually occurring at the operation.</p> <p><b>Personnel:</b></p> <p>Registered manager, occupational health and safety personnel, and employee groups identified as having actual or potential exposure risk.</p> <p><b>Method:</b></p> <p>Review sampling data; review biological monitoring and health surveillance data; check control implementation in-field as described in the management plan; and check progress against noise action plans and other identified future actions.</p> <p>Refer to MSIA s. 9(1) and MSIR Part 7 and rr. 9.11, 9.12</p>
12.5	Implemented controls are monitored and maintained for continuing effectiveness.	<p><b>Intent:</b></p> <p>To ensure that controls identified in the management plan as necessary to prevent or reduce exposures are maintained at optimal effectiveness.</p> <p><b>Personnel:</b></p> <p>Registered manager, and occupational health and safety personnel.</p> <p><b>Method:</b></p> <p>Review management plan documentation for control monitoring and reassessment activities.</p> <p>Confirm that identified activities are being adhered to, including the use of preventative maintenance schedules, pre-start checks, ventilation management techniques, etc.</p>

12.6	Employees and contractors have access to their own health surveillance and sampling results.	<p><b>Intent:</b></p> <p>To ensure that individuals who participate in any sampling, testing, assessment or monitoring of their exposure to occupational health and hygiene hazards are advised of the outcome.</p> <p><b>Personnel:</b></p> <p>Employees and contractors, ventilation officer.</p> <p><b>Method:</b></p> <p>Review results documentation. Interview employees who have participated in health surveillance programs to determine whether they have received results information.</p>
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## 13 Document control

### Document control

Point	Standard	Guideline
13.1	An approved document control procedure is implemented.	<p><b>Intent:</b> To ensure that a formal system is implemented for the development, authorisation and periodic review of documents relevant to the SMS.</p> <p><b>Personnel:</b> Senior management, document controller and occupational health and safety personnel.</p> <p><b>Method:</b> Review document control procedure/s for adequacy to define processes associated with document development, authorisation and review. Source SMS documents and compare against criteria, formatting, version control, naming conventions, etc. specified in the document control procedure/s. Check SMS-related documents have been developed, reviewed, and approved by appropriately competent and responsible persons as per the document control procedure(s).</p>
13.2	Current approved documents associated with the SMS are available and accessible to the workforce.	<p><b>Intent:</b> To ensure that current versions of all documents associated with the SMS can be easily accessed by those persons covered by those documents.</p> <p><b>Personnel:</b> Senior management, document controller, occupational health and safety personnel and employees.</p> <p><b>Method:</b> Review from document control / safety personnel what the accessibility is to SMS documentation. Interview employees to confirm their level of understanding of how to access documents such as safety and health policy; risk management procedures; JHA templates and personal risk assessment forms; hot work and confined space permits, etc.</p>



13.3	There is clear linkage / alignment between safety management system documentation.	<p><b>Intent:</b></p> <p>To ensure that SMS documents are being developed as part of a framework as opposed to ad-hoc, reactive methods.</p> <p><b>Personnel:</b></p> <p>Senior management, document controller and occupational health and safety personnel.</p> <p><b>Method:</b></p> <p>Review a sample of SMS-related documents from each level of the document hierarchy and confirm whether these are referenced to parent and / or child documents.</p> <p>Source the SMS document framework and compare existing documentation against what is provided there.</p>
13.4	All obsolete documents and data are promptly removed to prevent unintended use.	<p><b>Intent:</b></p> <p>To ensure that only current documents are available and accessible to employees.</p> <p><b>Personnel:</b></p> <p>Senior management, document controller, occupational health and safety personnel and employees.</p> <p><b>Method:</b></p> <p>Review the document database(s) / source locations to confirm whether preceding versions of current documents can be accessed.</p> <p>Interview employees to determine whether they maintain redundant copies of documents either electronically or in hard-copy; and determine their level of understanding of document control generally.</p>
13.5	All obsolete documents and data being archived for legal or knowledge preservation purposes are suitably identified.	<p><b>Intent:</b></p> <p>To ensure that archived documents required to be maintained for legal purposes are easily identifiable.</p> <p><b>Personnel:</b></p> <p>Senior management, document controller and occupational health and safety personnel.</p> <p><b>Method:</b></p> <p>Source archive documentation maintained on site, either electronically or in hard-copy, and review for compliance with document control identification procedures.</p>

13.6	There is a documented system for creating and authorising written work procedures.	<p><b>Intent:</b></p> <p>To ensure that the creation and authorisation of written procedures occurs in accordance with the SMS framework, a risk-based approach and document control requirements.</p> <p><b>Personnel:</b></p> <p>Senior management, document controller and line managers / supervisors and employees</p> <p><b>Method:</b></p> <p>Interview a cross-section of the workforce to determine level of knowledge and understanding of how procedures are developed, why they are developed, who gets involved in their development, and what happens once they are developed.</p>
13.7	Relevant employees are involved in determining and creating written work procedures.	<p><b>Intent:</b></p> <p>To ensure that documents associated with procedure development require involvement by personnel who will be impacted by the procedures.</p> <p><b>Personnel:</b></p> <p>Document controller and safety personnel.</p> <p><b>Method:</b></p> <p>Review a sample of SMS documents that relate to procedure development to confirm participation requirements.</p> <p>Interview employees to determine their level of involvement in procedure development and review.</p>
13.8	Written work procedures are authorised as per document control requirements.	<p><b>Intent:</b></p> <p>To ensure that procedures are only authorised for implementation by appropriately competent and responsible persons.</p> <p><b>Personnel:</b></p> <p>N/A</p> <p><b>Method:</b></p> <p>Source and review a sample of procedures and identify the authoriser for each. Check against document control procedures and the organisational structure to verify suitability to authorise.</p>
13.9	There is a documented process for implementation of written work procedures once approved.	<p><b>Intent:</b></p> <p>To ensure that the process of document development and implementation follows through to roll-out and communication of the document.</p> <p><b>Personnel:</b></p> <p>Document controller.</p> <p><b>Method:</b></p> <p>Review relevant document control procedures to confirm whether implementation and communication is effectively covered.</p>

13.10	Implementation of work procedures occurs as per the documented process.	<p><b>Intent:</b> To ensure that the documented process for procedure roll-out is actually being enforced.</p> <p><b>Personnel:</b> Senior managers, line supervisors and employees.</p> <p><b>Method:</b> Interview a cross-section of the workforce to elicit how procedures are communicated to them following authorisation.</p>
13.11	The written work practices are reviewed in accordance with document control practices.	<p><b>Intent:</b> To ensure that frequencies and methods of review as specified in the document control procedure/s are being adhered to.</p> <p><b>Personnel:</b> Document controller</p> <p><b>Method:</b> Review a sample of documents to confirm revision periods, version control management practices, and accessibility to previous review comments / changes.</p>
13.12	A confidential database recording each employee's medical history is maintained.	<p><b>Intent:</b> To ensure that all records pertaining to a person's health are maintained confidentially and access is restricted.</p> <p><b>Personnel:</b> Registered manager, HR personnel, medical personnel</p> <p><b>Method:</b> Interview relevant personnel to determine what records are maintained, how they are maintained, and who has access to those records both for editing and review.</p>
13.13	A database for employee personal details is maintained.	<p><b>Intent:</b> To ensure that employee personal details are maintained appropriately.</p> <p><b>Personnel:</b> Registered manager, HR personnel, department managers</p> <p><b>Method:</b> Interview relevant personnel to determine what details are maintained, how they are maintained, and who has access to those details for editing and review.</p>

## 14 Safety and health – representatives, meetings, initiatives, committees

Safety and health – representatives, meetings, initiatives, committees

Point	Standard	Guideline
14.1	A safety and health representative is available to workers.	<p><b>Intent:</b> To ensure that a safety and health representative (SHRep) is available to workers.</p> <p><b>Personnel:</b> Senior Managers, SHReps, employees and contractors.</p> <p><b>Method:</b> Ensure by questionnaire or interview that employees have access to a SHRep.</p>
14.2	All elected safety and health representatives have completed the required training within twelve months of their election.	<p><b>Intent:</b> To verify that management has supported the attendance of SHReps at the required introductory course as soon as possible after election and no later than 12 months after election.</p> <p><b>Personnel:</b> Senior Managers, SHReps, training personnel</p> <p><b>Method:</b> Interview SHReps to confirm when their training occurred in relation to their election as SHRep. Check training records to confirm training was conducted as stated. Refer to MSIR 2.6</p>

14.3	SHReps conduct all required duties.	<p><b>Intent:</b></p> <p>To verify that SHReps are allocated time to perform all required functions.</p> <p><b>Personnel:</b></p> <p>Senior management and SHReps.</p> <p><b>Method:</b></p> <p>Through interview and review of relevant documentation confirm the following is addressed by the role of SHRep:</p> <ul style="list-style-type: none"> <li>• Inspecting the mine, or part of the mine, at least every 30 days;</li> <li>• Participating in investigations;</li> <li>• Keeping informed as to safety and health information;</li> <li>• Reporting of hazards identified;</li> <li>• Referring matters to the safety and health committee;</li> <li>• Consulting and cooperating on all matters relating to safety and health of persons at the mine; and,</li> <li>• Liaising with personnel regarding safety and health matters.</li> </ul> <p>Where these functions are not being fulfilled, determine the reasons why and report on this. Refer to MSIA s. 53</p>
14.4	There is a Safety and Health Committee on site that meets regularly.	<p><b>Intent:</b></p> <p>To verify that management and the organisation are committed to addressing and resolving health and safety matters on site. To verify that management understand their obligations to establish a committee.</p> <p><b>Personnel:</b></p> <p>Senior Managers, SHReps and mine employees and contractors.</p> <p><b>Method:</b></p> <p>Source minutes of recent committee meetings. Interview representatives of committee. Refer to MSIA s. 65</p>

14.5	Employees and contractors are proportionally represented on Safety and Health Committees.	<p><b>Intent:</b></p> <p>To verify that contractors as well as mine employees are actively involved on safety and health committees and that management representation does not exceed employee representation.</p> <p><b>Personnel:</b></p> <p>Senior Managers, SHReps, employees and contractors.</p> <p><b>Method:</b></p> <p>Review committee meeting minutes for past two years and map attendance by employee and contractor representatives, and management representatives. Refer to MSIA s. 67B(3)</p>
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.	<p><b>Intent:</b></p> <p>To ensure that there is a proper communication path for workers to bring safety and health matters to the attention of management.</p> <p><b>Personnel:</b></p> <p>Senior management, line managers, employees and contractors.</p> <p><b>Method:</b></p> <p>Confirm the existence of appropriate communication channels by interviews with management, supervisors, employees and contractors.</p>
14.7	There is a formally defined method of communicating on safety and health matters.	<p><b>Intent:</b></p> <p>To ensure management and the organisation have in place a formal system to communicate safety and health matters throughout the organisation.</p> <p><b>Personnel:</b></p> <p>Senior Managers, employees.</p> <p><b>Method:</b></p> <p>Confirm existence of formal method by interviews with managers and employees. Sight policy documents and procedures.</p>
14.8	There is a defined and utilised communication path for safety initiatives / improvement suggestions, and for management feedback.	<p><b>Intent:</b></p> <p>To ensure management and the organisation have in place a formal system for employees to suggest and receive feedback on safety and health improvements.</p> <p><b>Personnel:</b></p> <p>Senior Managers, employees.</p> <p><b>Method:</b></p> <p>Confirm existence of formal methods via interviews with managers and employees. Sight relevant documentation evidencing safety improvement suggestion and feedback.</p>

14.9	Safety and health meetings are held in each operating section of the site / operation.	<p><b>Intent:</b> To ensure that safety and health meetings are held within each section or department of the mine.</p> <p><b>Personnel:</b> Senior management, line managers, employees and contractors.</p> <p><b>Method:</b> Confirm by interviews or questionnaire that safety and health meetings are held in each section of the mine. Sighting minutes of meetings.</p>
14.10	Matters raised at safety and health meetings are minuted and made known to the workforce.	<p><b>Intent:</b> To ensure that safety issues discussed at meetings are recorded and communicated to the workforce.</p> <p><b>Personnel:</b> Senior Management, line managers, employees and contractors.</p> <p><b>Method:</b> Confirm by interviews with members of the workforce that matters arising from safety and health meetings are made known to them. Sighting copies of minutes of safety and health meetings and confirm minutes cover safety matters.</p>
14.11	An action list with assigned responsibilities is raised as a result of concerns expressed at safety and health meetings.	<p><b>Intent:</b> To verify that issues raised by the workforce are addressed in a timely manner.</p> <p><b>Personnel:</b> Senior Managers, SHReps, employees and contractors.</p> <p><b>Method:</b> Confirm by sighting action lists. Interview SHReps. Refer to MSIA s. 63</p>

## 15 Incident and occurrence reporting and investigation

Accidents, incidents, occurrences and injuries need to be notified and recorded as per the requirements of the MSIA ss. 76, 77, 78 and 79, and the MSIR r. 6.26.

Point	Standard	Guideline
15.1	Documented procedures have been developed and implemented for accident / incident / occurrence / injury reporting and investigation.	<p><b>Intent:</b></p> <p>To verify that formal procedures exist and are enforced for the reporting and investigation of accidents, incidents, occurrences and injuries.</p> <p><b>Personnel:</b></p> <p>Registered manager, and safety and health personnel.</p> <p><b>Method:</b></p> <p>Source relevant procedures and review for adequacy. Check requirements of these procedures against supporting documentation such as first aid / treatment records; induction information; incident databases; SRS; investigation reports, etc. Refer to MSIA ss. 76, 77, 78 and 79, and MSIR r. 6.36</p>
15.2	Management, supervision, safety and health representatives and relevant employees are involved in the accident / incident investigation processes.	<p><b>Intent:</b></p> <p>To ensure that the investigative process involves management, supervisors, SHReps and employees.</p> <p><b>Personnel:</b></p> <p>Management, supervision, SHReps and line employees.</p> <p><b>Method:</b></p> <p>Interview a cross-section of the workforce to determine their previous involvement in investigations. Confirm with SHReps that they are notified of incidents in their work areas and participate in investigations. Access incident and investigation reports to identify involved personnel and confirm appropriateness of investigation teams.</p>
15.3	There is a system which ensures that corrective actions are implemented to the required standard.	<p><b>Intent:</b></p> <p>To ensure that a system is in place to ensure that recommended preventative action has been taken.</p> <p><b>Personnel:</b></p> <p>Senior managers and safety personnel.</p> <p><b>Method:</b></p> <p>Review corrective actions register to determine whether there is a check in place that ensures actions cannot be closed out without verification of implementation. Where this check does not exist at a system level, verify via in-field observation that a sample of corrective actions have been implemented.</p>



15.4	There is a system which ensures that contributory factors, root causes and corrective actions are identified and made known to the workforce.	<p><b>Intent:</b></p> <p>To ensure that the workforce is advised verbally and / or in writing of investigation findings, associated actions and the implementation status of these.</p> <p><b>Personnel:</b></p> <p>Senior managers, SHReps and employees.</p> <p><b>Method:</b></p> <p>Interview members of the workforce to determine how this information is communicated / disseminated. Compare the documented methods with what is indicated to be actual methods.</p>
15.5	There is a system in place to ensure the monitoring of implemented actions.	<p><b>Intent:</b></p> <p>To ensure that actions implemented from investigations are maintained at optimal effectiveness.</p> <p><b>Personnel:</b></p> <p>Registered manager, safety personnel and SHReps.</p> <p><b>Method:</b></p> <p>Review corrective action register for potential identification of monitoring and reassessment activities. Confirm that identified activities are being adhered to, whether via preventative maintenance schedules, pre-start checks, inspections etc.</p>
15.6	Procedures have been developed and implemented for injury management and follow-up.	<p><b>Intent:</b></p> <p>To ensure that formal processes are in place to effectively manage injuries from minor / first aid through to disabling.</p> <p><b>Personnel:</b></p> <p>Registered manager, senior managers, safety personnel, HR personnel and employees.</p> <p><b>Method:</b></p> <p>Source and review injury management procedures. Determine whether they are clearly linked to the SMS. Confirm procedures cover all potential injury classifications and that what is stated in the procedure for initial and follow-up treatment can actually occur as described.</p> <p>Interview a cross-section of the workforce to determine site knowledge of injury reporting and management processes.</p> <p>Determine whether persons in injury management roles have received sufficient training to perform effectively in those roles.</p>

15.7	Procedures for injury reporting and management provide clear definitions for injury classifications.	<p><b>Intent:</b></p> <p>To ensure that procedures provide for clear instruction on injury classification so as to prevent misclassification.</p> <p><b>Personnel:</b></p> <p>Registered manager, senior managers and safety personnel.</p> <p><b>Method:</b></p> <p>Review injury management procedures and determine adequacy and clarity of classification definitions. Any ambiguity or confusion arising from presented information is to be reported on.</p>
15.8	Injury management procedures include return to work (RTW) planning.	<p><b>Intent:</b></p> <p>To ensure that injuries are appropriately managed so as to return persons to work, and to pre-disability duties, in a timely and effective manner that reduces the potential for further harm.</p> <p><b>Personnel:</b></p> <p>Registered manager, senior managers, safety personnel, HR personnel and employees.</p> <p><b>Method:</b></p> <p>Clarify who holds what role within the organisation as it relates to injury management and return to work – separate out workers compensation management from injury management.</p> <p>Review RTW programs that are in progress and / or that have been completed, and interview relevant injured parties re their experience with the RTW program.</p> <p>Confirm from RTW documentation what external providers are involved in the process, i.e. what rehabilitation and medical providers are actively involved in on-site and off-site rehabilitation.</p>

## 16 Auditing, monitoring and review

### Auditing, monitoring and review

Point	Standard	Guideline
16.1	An internal audit program has been established for periodic assessment of the SMS elements.	<p><b>Intent:</b> To ensure that the SMS remains a 'live' and valuable system.</p> <p><b>Personnel:</b> Registered manager and safety personnel.</p> <p><b>Method:</b> Confirm whether an internal audit program exists for periodic assessment of the SMS elements.</p>
16.2	Internal audits are conducted as per the planned schedule.	<p><b>Intent:</b> To ensure that SMS elements are being reviewed and assessed at a reasonable frequency to support currency and validity.</p> <p><b>Personnel:</b> Registered manager and safety personnel.</p> <p><b>Method:</b> Review the internal audit schedule / register. Confirm via reports and interview whether internal audits are being conducted in accordance with the schedule.</p>
16.3	The findings of SMS audits are communicated to senior management and the system is reviewed for continuing suitability, adequacy and effectiveness.	<p><b>Intent:</b> To ensure that outcomes and recommendations from internal audits are being communicated to those persons in the organisation able to effect the required change.</p> <p><b>Personnel:</b> Registered manager, senior managers and safety personnel.</p> <p><b>Method:</b> Review audit reports from recently completed internal audits for adequacy – both of the audit template and the completed report. Interview senior managers to determine whether they are periodically appraised of internal audit outcomes. Confirm whether actions arising from the internal audit communications have been addressed.</p>

16.4	Findings of previous SMS audits are reviewed as part of current audit programs.	<p><b>Intent:</b> To ensure that issues, defects and recommendations from previous audits are considered in the conduct of future audits.</p> <p><b>Personnel:</b> Registered manager and safety personnel.</p> <p><b>Method:</b> Review prior audit documentation. Confirm whether issues, defects and recommendations have been addressed, or remain outstanding for upcoming audits. Where internal audit of SMS elements has revealed deficiencies not yet addressed, determine why this is the case and report.</p>
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## 17 Safety culture and behaviour

### Safety culture and behaviour

Point	Standard	Guideline
17.1	Surveys are conducted to assess the attitude of employees towards safety and health.	<p><b>Intent:</b> To ensure that attitude surveys or similar suitable mechanisms are periodically conducted to assess safety culture and behaviours.</p> <p><b>Personnel:</b> Senior Managers, mine employees and contractors.</p> <p><b>Method:</b> Review surveys. Where there is several years' worth of surveys available, compare results to determine upward or downward trend. If only one years' worth of results is available, obtain a baseline and identify those areas of greatest concern to the workforce.</p>
17.2	Disciplinary procedures are in place for unacceptable behaviour and unsafe acts.	<p><b>Intent:</b> To ensure management are committed to enforcing their safety and health policies and eliminating unsafe acts.</p> <p><b>Personnel:</b> Senior management, line managers, employees and contractors.</p> <p><b>Method:</b> Confirm by interviews with management that disciplinary procedures are in place for unacceptable behaviour. Sight policy documents and disciplinary records.</p>

17.3	Disciplinary procedures for unsafe acts are consistently enforced by management.	<p><b>Intent:</b></p> <p>To ensure management is committed to enforcing their safety and health policies and do not tolerate unacceptable behaviour.</p> <p><b>Personnel:</b></p> <p>Senior management, line managers, employees and contractors.</p> <p><b>Method:</b></p> <p>Confirm by interview with management and employees that disciplinary procedures are consistently enforced. Confirm by sighting personnel records that such enforcement is occurring.</p>
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