

MANAGEMENT SYSTEMS AUDIT - 17/06/2003 02:59:25 PM**1. CORPORATE AND ENTERPRISE LEADERSHIP****1.1 SAFETY AND HEALTH POLICY**

Point	Standard	Guideline
1.1.1	There is a written policy statement which sets out the Safety and Health Policy of the organisation.	<p>Intent: To verify the existence of a policy statement.</p> <p>Personnel: N/A</p> <p>Method: Policy statement. A single copy of the statement displayed in a prominent position will be sufficient to confirm compliance with this standard.</p>
1.1.2	The Safety and Health policy statement is signed by the Chief Executive Officer.	<p>Intent: To verify demonstrable commitment on the part of the senior management of the organisation to the principles embodied in the S&H policy statement.</p> <p>Personnel: N/A.</p> <p>Method: Sight the policy statement for an Executive signature.</p>
1.1.3	The Safety and Health Policy Statement is dated with the date of issue.	<p>Intent: To verify that the S&H Policy Statement is current and that proper control of documentation is in place to ensure that changes in policy are communicated throughout the organisation.</p> <p>Personnel: N/A.</p> <p>Method: Sight the S&H Policy Statement. Where more than one copy is displayed, the auditor should check that the same (current) version is used.</p>
1.1.4	The Safety and Health Policy Statement states a date by which it must be reviewed.	<p>Intent: To verify that the S&H Policy Statement is held under regular review to enable continuous improvement to take place and ensure that the policy remains relevant to the current state of the organisation.</p> <p>Personnel: N/A.</p> <p>Method: S&H Policy Statement. Where more than one copy is displayed, the auditor should check that the current version is used.</p>

1.1.5	The Safety and Health Policy Statement is prominently displayed at numerous locations throughout the site.	<p>Intent: To verify that there is the opportunity for the S&H Policy Statement to be regularly viewed by a wide and representative section of employees in the organisation.</p> <p>Personnel: N/A</p> <p>Method: S&H Policy Statement. The essential criterion here is the display in prominent positions of sufficient copies of the policy for each employee of the organisation to view it once per day. Where the auditor forms the view that insufficient copies are displayed, this should be noted in the audit report as an opportunity for improvement.</p>
1.1.6	There is a Safety and Health Policy which states the organisation' s safety and health objectives.	<p>Intent: To verify that the S&H policy document clearly identifies the S&H objectives to be achieved by the organisation.</p> <p>Personnel: N/A.</p> <p>Method: There is a Policy document which expands on the general content of the Policy Statement. The document should contain (at least) the commitment to maintain a safe place and system of work.</p>
1.1.7	The Safety and Health Policy declares management' s commitment to provide the resources needed to achieve the stated safety and health objectives.	<p>Intent: To verify the strong commitment of senior management to the achievement of the standards embodied in the S&H Policy.</p> <p>Personnel: N/A.</p> <p>Method: Policy document. The document should firmly commit the senior management of the organisation to the principles embodied in the stated policy; words such as "will" and "shall" must be used in place of softer options (eg. may, should, where possible, etc).</p>
1.1.8	The Safety and Health Policy contains general statements of the roles and responsibilities of all employees of the organisation in implementing the policy.	<p>Intent: To verify that the different obligations and functions of employees and managers at all levels of the organisation have been included in the policy.</p> <p>Personnel: N/A</p> <p>Method: Policy document. The document should recognise that employees at different levels in the organisation have differing responsibilities in the overall safety performance of the organisation</p>
1.1.9	The Safety and Health Policy is written in plain English	<p>Intent: Self evident.</p> <p>Personnel: N/A.</p> <p>Method: Policy document. The document should be written in clear and simple language.</p>

1.1.10	The Policy document states a date by which it must be reviewed.	<p>Intent: To verify that the S&H policy is held under periodic review to enable continuous improvement to take place and ensure that the policy remains relevant to the current state of the organisation.</p> <p>Personnel: N/A.</p> <p>Method: Policy document. Where more than one copy has been issued, the auditor should check that the current version is used.</p>
1.1.11	The Policy document has been reviewed and re-issued in accordance with the relevant dates.	The Policy document has been reviewed and re-issued in accordance with the relevant dates.
1.1.12	The Safety and Health Policy is made known to personnel on site.	<p>Intent: To verify that the S&H policy is disseminated to a wide and representative section of employees in the organisation.</p> <p>Personnel: Senior managers, line managers, employees, training staff.</p> <p>Method: Training course handouts, job procedural manuals, rule books, pay-slip enclosures and other documents in circulation in the organisation. This standard should also be verified by establishing whether reference is made to the S&H policy during employee induction, tool-box meetings, training programs, safety meetings, reports to shareholders, etc.</p>

1.2 RESPONSIBILITY AND AUTHORITY

Point	Standard	Guideline
1.2.1	An up to date organisation chart is available.	<p>Intent: To verify the existence of a chart which reflects the current management hierarchy of the organisation.</p> <p>Personnel: Senior managers, line managers.</p> <p>Method: Organisation chart. A single chart is not necessary; compliance may be established by viewing a series of individual charts which reflect the overall management structure.</p>
1.2.2	A list of Statutory position holders is maintained on site; including all appointments made under s.44 of the MSIA.	<p>Intent: To verify the existence of a list of persons who hold statutory responsibilities with respect to the organisation.</p> <p>Personnel: Senior managers, line managers, statutory position holders.</p> <p>Method: Check the Mine Record Book. List or chart showing statutory position holders. Appointment documents.</p>

1.2.3	The Chief Executive Officer of the organisation is clearly identified on the organisational chart.	<p>Intent: To verify that the person carrying ultimate accountability for the S&H performance of the organisation is clearly identified.</p> <p>Personnel: Senior managers.</p> <p>Method: Organisation chart or equivalent document.; eg annual report or induction booklet, etc.</p>
1.2.4	The Safety and Health responsibilities of the Chief Executive Officer are documented.	<p>Intent: To verify that the opportunity exists for the accountability and direct line responsibilities for S&H matters of the most senior manager in the organisation to be clearly understood.</p> <p>Personnel: CEO, senior managers.</p> <p>Method: CEO' s duty statement or equivalent. Correspondence indicating or acknowledging the accountabilities and responsibilities of the CEO. Reports to shareholders. Direct or telephone contact with the CEO may be required to fully verify this standard.</p>
1.2.5	The Safety and Health responsibilities of each senior manager are clearly documented. Senior managers include the Registered Manager, and the department heads, eg Mine, Process Plant, Administration, Maintenance, etc.	<p>Intent: To verify that the accountabilities and responsibilities for S&H of each senior manager in the organisation is documented.</p> <p>Personnel: Senior managers.</p> <p>Method: Policy documents. Duty statements. Correspondence. Acknowledgements of statutory appointments. Full compliance with this standard requires at least that the manager concerned has been notified in writing by his immediate superior of the nature and extent of the S&H responsibilities which he is to undertake. A general "verbal briefing" or an "understanding" is not sufficient - there must be no opportunity for either the manager or his superior to renege on the accountability in the event of a problem or major accident.</p>
1.2.6	There is a written delegation of authority for each senior manager.	<p>Intent: To verify that, in appointing senior managers, their levels of authority to act independently, as well as their levels of responsibility are specified.</p> <p>Personnel: Senior managers.</p> <p>Method: Letters of appointment. Duty statements. Correspondence. Full compliance with this standard requires at least that the manager concerned has been notified in writing by his immediate superior of the nature and extent of his authority to take independent action in the absence of instructions from above. A general "verbal briefing" or an "understanding" is not sufficient - there must be no opportunity for either the manager to claim insufficient authority to act or for his superior to claim action without authority in the event of a problem or major accident.</p>

1.2.7	Senior managers accept their responsibilities, with regard to Safety and Health.	<p>Intent: To verify that senior managers are prepared to accept their levels of authority to act independently and their levels of responsibility with respect to S&H matters.</p> <p>Personnel: Senior managers.</p> <p>Method: Written response accepting the delegation of responsibility for S&H matters.</p>
1.2.8	Safety and Health is recognised as a line management responsibility.	<p>Intent: To verify that line managers and employees recognise that S&H is the responsibility of line managers and not that of the S&H professionals.</p> <p>Personnel: Senior managers, line managers, S&H professionals, employees.</p> <p>Method: Policy documents. Procedural manuals. Duty statements. Training manuals. Direct interview with senior managers, line managers, S&H professionals and employees.</p>
1.2.9	Safety and Health performance forms part of the performance appraisal for salary reviews of senior managers.	<p>Intent: To determine the commitment of the organisation to improvement in S&H by examining a particular indicator of commitment.</p> <p>Personnel: Senior managers.</p> <p>Method: Direct interview with senior managers. Performance appraisal and policy documents. Where managers are willing to make them available, their most recent performance review documents will act as definite confirmation of whether this standard is met.</p>
1.2.10	The authority of a Senior Manager to deal with Safety and Health matters is commensurate with the level of responsibility of that Manager.	<p>Intent: To verify that the S&H responsibilities of persons in the organisation are matched with a commensurate level of authority.</p> <p>Personnel: Senior managers, finance and accounting.</p> <p>Method: Duty statements. Correspondence. Purchase orders. Works orders. Requests to higher authority levels within the organisation. Such items as the authority to directly spend money both within and outside the organisation will be of particular importance here (e.g. the level of expenditure which would require the authorisation of the individual's superior or more senior officer - perhaps, even Board approval), but also of importance will be things such as the authority to instigate engineering design work, the authority to institute high-priority , works orders and the ability to delegate duties to subordinates while retaining accountability for completion.</p>

1.3 SAFETY AND HEALTH RESOURCES

Point	Standard	Guideline
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1.3.1	Capital, operating, and management costs of the Safety and Health program are identified.	<p>Intent: To verify that the S&H program is treated within the management system in the same fashion as other (commercially oriented) programs.</p> <p>Personnel: Senior managers, line managers, S&H professionals, finance and accounting personnel, employees.</p> <p>Method: Budget documents. Cost reports. The auditor should attempt to verify by viewing financial and other data .</p>
1.3.2	Capital, operating, and management costs of the Safety and Health program are measured.	<p>Intent: To verify that the S&H program is treated within the management system in the same fashion as other (commercially oriented) programs.</p> <p>Personnel: Senior managers, line managers, S&H professionals, finance and accounting personnel, employees.</p> <p>Method: Budget documents. Cost reports. The auditor should attempt to verify by viewing financial and other data that clear objectives for both the measurable desired achievement and costs associated with the S&H program are documented.</p>
1.3.3	A Safety and Health program budget is prepared and approved as part of the organisation' s normal budget process.	<p>Intent: To verify that the S&H program is treated within the management system in the same fashion as other (commercially oriented) programs.</p> <p>Personnel: Senior managers, line managers, S&H professionals, finance and accounting personnel, employees.</p> <p>Method: Budget documents. Cost reports. The auditor should attempt to verify by viewing financial and other data that clear objectives for both the measurable desired achievement and costs associated with the S&H program are documented.</p>
1.3.4	The Safety and Health program budget includes provision for human as well as financial resources.	<p>Intent: To verify that the S&H program is treated within the management system in the same fashion as other (commercially oriented) programs.</p> <p>Personnel: Senior managers, line managers, S&H professionals, finance and accounting personnel, employees.</p> <p>Method: Budget documents. Cost reports. HR/Staffing reports.. In particular, for the selected sample program elements, a comparison of the budgeted and actual human resources should be conducted.</p>

1.3.5	Safety and Health resources are regularly reviewed.	<p>Intent: To verify that the S&H resources are held under continuous (periodic) review to enable continuous improvement to take place and ensure that the resources allocated remain relevant to the current state of the organisation and sufficient for its S&H needs.</p> <p>Personnel: Senior managers, line managers, S&H professionals, finance and accounting personnel, employees.</p> <p>Method: Staff lists. Budget documents. Cost reports. S&H Project reports and organisation or operating-department S&H action plans (with particular emphasis on whether original objectives were achieved and whether resources were adequate).</p>
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1.4 EXECUTIVE SUPPORT

Point	Standard	Guideline
1.4.1	Senior executive management staff have communicated their wish to achieve the objectives set out in the Safety and Health Policy to line and support staff and the work force.	<p>Intent: To verify that the long-term S&H goals and shorter-term S&H objectives set by corporate management are communicated to every level of the organisation.</p> <p>Personnel: Senior managers (executive and site-based), line managers, S&H professionals, employees.</p> <p>Method: Executive briefings. Company magazines. Regular periodic reports. Reports to shareholders. Contents of notice boards. The auditor should examine a representative sample of documentation to form an assessment of whether and how well the senior management has communicated to all levels of the organisation a genuine desire to reach its goals and to achieve its short to medium term objectives.</p>
1.4.2	Senior executive management staff encourage and support safety improvement initiatives in the organisation.	<p>Intent: To verify that senior managers demonstrate commitment to S&H to all levels of management and employees.</p> <p>Personnel: Senior managers (executive and site-based), line managers.</p> <p>Method: Direct interviews with senior managers and line managers. Reports on S&H projects completed or in progress. The auditor should attempt to verify whether senior executive management staff demonstrate their personal commitment on-going development and implementation of S&H initiatives by their subordinates. In particular, the auditor should seek concrete evidence of particular initiatives which have been fostered by the senior management and assess the scope and efficacy of the support provided by senior managers.</p>

1.4.3	Senior executive management staff regularly allocate some time for discussing Safety with middle managers.	<p>Intent: To verify that senior managers demonstrate commitment to S&H to all levels of management and employees.</p> <p>Personnel: Senior managers (executive and site-based), line managers.</p> <p>Method: Direct interviews with senior managers, line managers and employees. The auditor should attempt to verify whether senior management staff regularly display behaviours which tend to reinforce their personal commitment to S&H in the minds of subordinates. In particular, the auditor should seek evidence of the frequency and duration and (above all) regularity of shop-floor visits by the senior management (executive and site-based) and assess the proportion of senior management time spent in talking to junior managers and employees about S&H. (Note: time spent chairing S&H committee meetings should be discounted here).</p>
1.4.4	Senior executive management staff regularly allocate some time for discussing Safety with front-line supervisors	<p>Intent: To verify that senior managers demonstrate commitment to S&H to all levels of management and employees.</p> <p>Personnel: Senior managers (executive and site-based), line managers, supervisors.</p> <p>Method: Direct interviews with senior managers, line managers and employees. The auditor should attempt to verify whether senior management staff regularly display behaviours which tend to reinforce their personal commitment to S&H in the minds of subordinates. In particular, the auditor should seek evidence of the frequency and duration and (above all) regularity of shop-floor visits by the senior management (executive and site-based) and assess the proportion of senior management time spent in talking to junior managers and employees about S&H. (Note: time spent chairing S&H committee meetings should be discounted here).</p>
1.4.5	Senior executive management staff regularly allocate some time for discussing Safety with the shop floor employees.	<p>Intent: To verify that senior managers demonstrate commitment to S&H to all levels of management and employees.</p> <p>Personnel: Senior managers (executive and site-based), line managers, employees.</p> <p>Method: Direct interviews with senior managers, line managers and employees. The auditor should attempt to verify whether senior management staff regularly display behaviours which tend to reinforce their personal commitment to S&H in the minds of subordinates. In particular, the auditor should seek evidence of the frequency and duration and (above all) regularity of shop-floor visits by the senior management (executive and site-based) and assess the proportion of senior management time spent in talking to junior managers and employees about S&H. (Note: time spent chairing S&H committee meetings should be discounted here).</p>

1.4.6	Senior executive management staff encourage the learning and application of industry best practice.	<p>Intent: To verify that senior managers demonstrate commitment to continuous improvement in S&H.</p> <p>Personnel: Senior managers (executive and site-based), line managers, employees.</p> <p>Method: Direct interviews with senior managers, line managers and employees. "Bench-marking" reports. Reports on visits to other operations. Spread of magazine and professional journal subscriptions. Availability of library material. In particular, the auditor should seek concrete evidence of particular practices which have been imported into the organisation and fostered by the senior executive management and assess the scope and efficacy of the support provided by senior executive managers for the learning process.</p>
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1.5 MANAGEMENT SUPPORT

Point	Standard	Guideline
1.5.1	Site management staff have communicated their wish to achieve the goals set out in the Safety and Health Policy to line and support staff and the work force.	<p>Intent: To verify that the long-term S&H goals and shorter-term S&H objectives set by corporate management are communicated to every level of the organisation.</p> <p>Personnel: Senior site-based managers, line managers, S&H professionals, employees.</p> <p>Method: Management briefings. Company magazines. Regular periodic reports. Contents of notice boards. Direct interviews with line managers and employees. The auditor should examine a representative sample of documentation to form an assessment of whether and how well the senior management has communicated to all levels of the organisation a genuine desire to reach its goals and to achieve its short to medium term objectives.</p>
1.5.2	Site management staff regularly allocate time for discussing Safety with front-line supervisory personnel and the work force.	<p>Intent: To verify that senior and line managers demonstrate commitment to S&H to all levels of supervision and employees.</p> <p>Personnel: Senior site-based managers, line managers, supervisors, employees.</p> <p>Method: Direct interviews with senior managers, line managers, supervisors and employees. The auditor should attempt to verify whether senior and line management staff regularly display behaviours which tend to reinforce their personal commitment to S&H in the minds of subordinates. In particular, the auditor should seek evidence of the frequency and duration and (above all) regularity of shop-floor visits by the senior site-based management and assess the proportion of senior management time spent in talking to junior managers, supervisors and employees about S&H. A similar assessment should be made of time spent by line managers and supervisors in communicating messages about S&H to the work force.</p>

1.5.3	Site management staff encourage employees to systematically improve work processes to enhance Safety and Health.	<p>Intent: To verify that a system exists for the work force to undertake the translation of ideals relating to improvements in S&H into concrete improvements in working processes and practices.</p> <p>Personnel: Line Managers, S&H professionals, S&H representatives, employees.</p> <p>Method: Safety Committee minutes. Specific S&H programs in discrete areas of the organisation. Suggestion schemes. Process or work-practice hazard analyses. Work force training and education programs. Reports on introduction of new equipment or processes. Direct interviews with line managers, S&H professionals, S&H representatives, employees. The auditor should assess the genuineness and effectiveness of any encouragement which is given to the members of the work force to influence S&H performance in their own workplaces. Examples of active encouragement and concrete achievement, rather than vague "motherhood" statements by managers are required in order to demonstrate compliance.</p>
1.5.4	Site management provides specialist technical skills and resources to enable employees to enhance Safety and Health in the workplace.	<p>Intent: To verify that site-based managers provide the necessary technical expertise and resources to enable proper and successful co-ordination of S&H efforts and initiatives within the organisation.</p> <p>Personnel: Line Managers, S&H professionals, S&H representatives, employees.</p> <p>Method: Direct interviews with line managers, S&H professionals, S&H representatives, employees. Training and education programs. Safety Committee minutes. Technical libraries. Inventory of measuring instruments. Internal S&H audits. Accident and incident reports. Technical reports. The auditor should assess the range and scope of facilities and technical expertise in S&H matters within the organisation or accessible through external consultants and contractors.</p>
1.5.5	Site management staff provide resources to allow the learning and application of industry best practice.	<p>Intent: To verify that site-based managers demonstrate commitment to continuous improvement in S&H.</p> <p>Personnel: Senior site-based managers and line managers.</p> <p>Method: Direct interviews with senior managers and line managers. "Bench-marking" reports. Reports on visits to other operations. Spread of magazine and professional journal subscriptions. Availability of library material. In particular, the auditor should seek concrete evidence of particular practices which have been imported into the organisation and fostered by site-based management and assess the scope and efficacy of the support (in the form of concrete resources - funding, travel, literature, encouragement etc.) provided by managers for the learning process.</p>

2. SAFETY PLANS TO ENSURE CONTINUOUS IMPROVEMENT

2.1 DEVELOPMENT

Point	Standard	Guideline
2.1.1	A plan is available to meet the stated objectives in the Safety and Health Policy	<p>Intent: To verify the existence of a realistic and achievable action plan for use as a means of stimulating and directing activity to reach the S & H goals and objectives set by senior management.</p> <p>Personnel : Senior manager, safety professionals etc</p> <p>Method: Verify by examining S&H Plan or equivalent document. Verify that Plan sets out measurable goals and objectives for each Department and management</p>
2.1.2	Key initiatives of the plan to meet the stated objectives in the Safety and Health Policy have been implemented.	<p>Intent: Actions have been initiated as laid down in the S&H Plan.</p> <p>Personnel : Senior manager, safety professionals etc</p> <p>Method: Check the portion of the S&H Plan which should have been implemented by the date of the audit. Ensure these actions have been taken. Planning for future actions has been initiated. Verify the results of the key actions taken by observations and interviews.</p>
2.1.3	The work force is aware of the existence of the plan.	<p>Intent: To ensure employees (including contractor employees) are aware of the S&H Plan and their role as individuals and as a group.</p> <p>Personnel : Line managers and employees.</p> <p>Method: Interview employees and supervisors to check if they are aware of key portions of the S&H Plan and their role.</p>
2.1.4	Representatives of the work force contributed to the plans development.	<p>Intent: The employees representatives were consulted in the formulation of the S&H Plan and there is a procedure to involve them in updating the plan.</p> <p>Personnel: Safety representatives and employees</p> <p>Method: Interview employees to find out - if they were involved in the process of development of the S&H Plan - if the employees felt comfortable with the procedure and were able to contribute positively.</p>

2.1.5	Performance standards for Safety and Health matters are defined and included in the plan.	<p>Intent: To ensure that the S&H Plan gives measurable safety and health outputs.</p> <p>Personnel: N/A</p> <p>Method: Review the S&H Plan to ensure that,</p> <ul style="list-style-type: none"> - the measurable goals for each Department of the organisation are clearly defined. - emphasis is given on measurable standards eg, reduction of noise levels and dust, designing safe layouts, developing safe procedures, JSA, training and retraining etc.
2.1.6	The plan incorporates both short-term (+/- 1 year) and longer-term (+/- 5 year) goals.	<p>Intent: As stated</p> <p>Personnel : N/A</p> <p>Method: Review S&H Plan to ensure that long term and short term goals are included. The definition of short term and long term will depend on the size, nature and life of the operation. It must be ensured that the timeframe is suitable and effective for the organisation. The S&H Plan for short duration should have enough details (including resources) for implementation.</p>
2.1.7	The plan includes procedures for its review and update.	<p>Intent: A S&H Plan relevant to the current operation is maintained.</p> <p>Personnel : N/A</p> <p>Method: Verify from the S&H Plan that there is provision for a review and update. Last review and update was done as stated in the S&H Plan (if applicable). A procedure for review process is stated.</p>
2.1.8	The plan review process requires that representatives of various work areas and managerial levels within the organisation contribute to the review.	<p>Intent: As required for the preparation of the S&H Plan, the review process involves various work areas and managerial levels (including employees representatives).</p> <p>Personnel : Managers and Safety Reps</p> <p>Method: Check procedure for review and update. Ensure it includes major departments and contractors (where applicable). Employees' representatives are involved in the process as per the laid down procedure.</p>

2.2 MANAGEMENT FUNCTION

Point	Standard	Guideline
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2.2.1	Management demonstrates commitment to the organisation's Safety and Health Plan.	<p>Intent: To verify the strong commitment of management to the achievement of the standards embodied in the S&H Policy.</p> <p>Personnel: Managers, supervisors and employees.</p> <p>Method: S&H Plan document. The document should firmly commit the management of the organisation to the principles embodied in the stated policy; words such as "will" and "shall" must be used in place of softer options (eg. may, should, where possible, etc). Employees must be aware of managements commitment to the plan.</p>
2.2.2	Internal Safety and Health audits are arranged and carried out.	<p>Intent: To verify that there is a process of internal Safety and Health audits and these are carried out as planned.</p> <p>Personnel : Senior managers and safety professionals.</p> <p>Method: Verify that there is a procedure for internal audits. Check records and reports of internal audits and ensure that these are carried out as scheduled.</p>
2.2.3	Service providers (including contractors) are required to supply Safety and Health performance data from previous external work.	<p>Intent: To verify that contractors and other service providers safety and health records are assessed before they are awarded contracts.</p> <p>Personnel : Senior managers and safety professionals.</p> <p>Method: Verify from records of contract awarding process that all applicants for a contract are required to provide their Safety and Health data. It may be in the form of performance and accident statistics, safe procedures, training, selection of persons and equipment etc.</p>
2.2.4	The same management criteria are used for both contractors and direct employee groups with respect to Safety and Health matters.	<p>Intent: As stated</p> <p>Personnel : Senior managers and safety professionals.</p> <p>Method: Verify from documents. Interviewing employees, supervisors and managers. Select a few topics to verify eg, hours of employment and types of rosters, induction and training, provision of personal protective equipment etc.</p>

2.2.5	Communication of information in relation to Safety and Health plan is carried out.	<p>Intent: Sufficient information is made available to employees so that the plan can be effectively implemented.</p> <p>Personnel: Managers and Safety Representatives.</p> <p>Method: The necessary information related to S&H plan is compiled and made available. Check document(s). General information is publicised through noticeboards, posters, sign posts, pay packet memos etc.</p>
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2.3 IMPLEMENTATION

Point	Standard	Guideline
2.3.1	Management staff receive adequate training and re-training which enables them to put the Safety and Health Plan into effect.	<p>Intent: To verify that the management staff is trained to implement the Safety and Health Plan.</p> <p>Personnel : Managers</p> <p>Method: - Verify by inspection of training records and interviews with Managers, supervisors and Safety and Health professionals.</p>
2.3.2	Persons responsible for accomplishing elements of the plan are trained to a standard to enable them to bring the plan into effect.	<p>Intent: To verify that the responsible persons are trained to implement the Safety and Health Plan.</p> <p>Personnel: Managers, Training Personnel and Safety Representatives.</p> <p>Method: - Verify by inspection of training records and interviews with persons responsible.</p>
2.3.3	Employees exhibit an understanding of the organisation's Safety and Health objectives	<p>Intent: As stated</p> <p>Personnel: Safety Representatives and employees.</p> <p>Method: Interview employees - to assess if they know and understand the key elements/objectives of the Safety and Health Plan.</p>

3. OCCUPATIONAL HEALTH PROGRAMS

3.1 POLICY AND ORGANISATIONAL MANAGEMENT

Point	Standard	Guideline
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3.1.1	There is a formal program to assess exposure to the recognised Occupational Health hazards.	<p>Intent: To verify the existence of a formal program.</p> <p>Personnel : Senior managers, line managers, safety & health professionals, employees.</p> <p>Method: Verify the existence of occupational health assessment reports. Examples are noise reports and hazardous substance risk assessments under Reg 7.8 and 7.27</p>
3.1.2	There is a formal program to monitor occupational health hazards that have been identified.	<p>Intent: To verify the existence of a formal monitoring program.</p> <p>Personnel : Senior managers, line managers, safety & health professionals, employees.</p> <p>Method: Monitoring programs. Examples are noise control policy including noise reports and dust monitoring schedules, detailing areas or operations to be monitored and sampling type. Health assessment or biological monitoring (eg lead, mercury, arsenic and thallium) where appropriate. Copies of the above reports should be presented in a timely fashion to the individuals concerned.</p>
3.1.3	There is a formal program to reduce exposures to the occupational health hazards being monitored.	<p>Intent: To verify the existence of a formal risk control program.</p> <p>Personnel : Senior managers, line managers, safety & health professionals, employees.</p> <p>Method: Risk control measures to reduce exposures have been implemented. For example, a noise control plan which contains noise control measures; or an assessment which lists measures used to eliminate or minimise exposure to hazardous substances.</p>
3.1.4	The exposure reduction program includes engineering solutions.	<p>Intent: To verify the exposure reduction program has applied the hierarchy of control measures. In particular engineering controls have been adopted where possible.</p> <p>Personnel: Senior managers, line managers, engineering professionals, safety & health professionals, employees.</p> <p>Method: Risk control measures implemented to reduce exposures have followed the hierarchal list of control measures and adopted engineering controls where appropriate. For hazardous substances the hierarchy is : Elimination, Substitution, Isolation, Engineering Controls, Safe Work Practices and Personal Protective Equipment. Each assessment should document how the hierarchy was applied to the hazard and which elements implemented.</p>

3.1.5	If engineering controls are deemed to be not feasible, formal justification is available.	<p>Intent: To ensure that engineering controls have been adopted where practicable.</p> <p>Personnel: Senior managers, line managers, engineering professionals, safety & health professionals.</p> <p>Method: Each assessment should document how the hierarchy of control measures was implemented. If engineering controls are feasible and have not been implemented, then reasoned justification should be documented. Failure to implement engineering controls is not justified where there is a recognised occupational health hazard and other control measures such as personal protective equipment are seen as a cheaper alternative.</p>
3.1.6	Engineering controls are monitored and maintained for continuing effectiveness.	<p>Intent: To ensure that where engineering controls, once implemented, are monitored and maintained (eg noise silencers, sample preparation exhaust hoods and laboratory fume cupboards).</p> <p>Personnel: Senior managers, line managers, engineering professionals, safety & health professionals, employees.</p> <p>Method: Inspection and maintenance records should be reviewed.</p>

4. SAFETY SUPPORT SERVICES

4.1 DESIGN

Point	Standard	Guideline
4.1.1	Suitably qualified persons or consultants are used for design and planning aspects of the operation.	<p>Intent: To verify that qualified persons are utilised in the planning and design phases of the operation</p> <p>Personnel: Senior managers, line planners, managers, engineers (all disciplines), surveyors, specialists and consultants.</p> <p>Method: Design control documents for the project, mine/pit, civil works, structures and processes. Correspondence and reports from consultants for mine planning, infrastructure or geotechnical aspects.</p>
4.1.2	Design and planning activities include the involvement of operations and maintenance personnel.	<p>Intent: To verify that maintenance specialists and operations personnel are consulted regarding new or replacement plant or equipment..</p> <p>Personnel: Managers, foremen, electrical and mechanical staff..</p> <p>Method: Capital works justification documents, distribution of consultants reports, minutes of meetings including Safety and Health representatives. Interviews .</p>

4.1.3	Design and planning activities include hazard and risk analysis procedures to identify where potential hazards can be engineered out.	<p>Intent: To verify that potential hazards are identified prior to purchase, excavation or construction, and that formal procedures exist to identify such hazards.</p> <p>Personnel: Managers, engineers, consultants, purchasing, safety administration and Safety and Health reps..</p> <p>Method: Sight contractor/consultant references and contract documents. Purchasing policy, tendering specifications and Safety Plan.e.g. Noise policy on new equipment. Mine designs to provide for adequate road widths and emergency escape routes etc. Seek documentary and written evidence that risk analysis and geotechnical reviews are conducted and recommendations implemented i.e. by mine design or safe monitoring.</p>
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4.2 CONSTRUCTION

Point	Standard	Guideline
4.2.1	An essential criterion for the selection and use of contractors is their ability to meet all specified safety and health requirements.	<p>Intent: To verify that the principal employer and other employers on site use specific safety and Health criteria when deciding upon use of contractors and that this is adequately documented .</p> <p>Personnel: Administration Supt, contract and contractor representatives. Safety officers for both employer and contractor. Random checks with contract employees to find out if dual standards are apparent</p> <p>Method: Contract documents (be aware of confidentiality of the contents, and do not discuss with other contractors). Tender documents, and tender submissions. Short or medium term contracts, for example painting, fencing or road grading should be sought out.</p>
4.2.2	Contractors' Safety and Health policies and procedures are assessed by the Principal Employer to ensure consistency with those of the Principal Employer.	<p>Intent: To verify that the Contractors' S&H policies and procedures are not in conflict with those of the Principal Employer.</p> <p>Personnel: Registered Manager, Admin Manager, safety and training officers.</p> <p>Method: Contract agreements, written procedures.</p>
4.2.3	Contractors employed in the enterprise are required to comply with the principal employer' s Safety and Health Policy.	<p>Intent: To verify that all contractors are subject to the safety and health policies of the Principal employer and that the policies are enforced.</p> <p>Personnel: Operating, maintenance and administration management. Staff responsible for Induction ; members of Safety and Health Committee</p> <p>Method: Contract and policy documents,</p>

4.2.4	Contractors' employees are inducted on site specific safety and health requirements.	<p>Intent: To verify that contractor employees have received a site induction.</p> <p>Personnel: Contractor employees, Staff responsible for induction.</p> <p>Method: Site induction records, induction course notes,</p>
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4.3 OPERATION

Point	Standard	Guideline
4.3.1	Employees are encouraged to accept responsibility for correcting unsafe acts and conditions	<p>Intent: To verify that there is no impediment to the correction of unsafe conditions, acts, etc..</p> <p>Personnel: Supervisors, Foreman, safety officers, maintenance staff, safety and health reps, and employees</p> <p>Method: Shift report forms from employees are used to report unsafe conditions in the workplace or equipment and information is passed to next shift (or maintenance). Employees are encouraged to discuss faulty equipment or problems with their equipment with maintenance employees at any time. Workers report when SWP or SOP cannot be followed</p>
4.3.2	Personal protective equipment is available to all employees at no cost.	<p>Intent: Self evident.</p> <p>Personnel: Supervisors, warehouse staff, employees and contractors, Safety Professionals.</p> <p>Method: Check warehouse records for supplies issued; speak to the S&H Representative</p>
4.3.3	Tendering documents specify the safety and health standards to be achieved.	<p>Intent: To verify the commitment of the principal employer to ensure that all contracts include S & H specifications</p> <p>Personnel: Admin Manager and safety Officers</p> <p>Method: Tender documents, contract docs (short, medium and long term).</p>
4.3.4	There is a system in place that ensures new plant / equipment is inspected prior to being placed into service.	<p>Intent: To verify that all new equipment and plant is safety checked prior to being put into use.</p> <p>Personnel: Mine Manager, Maintenance Superintendent, Maintenance planner,</p> <p>Method: Maintenance schedules, commissioning documents and records, policy for new equipment on-site, special maintenance check forms.</p>

4.3.5	There is a procedure that ensures action is taken when equipment or plant does not conform to the appropriate standard.	<p>Intent: To verify that defective or unsafe plant and equipment is reported and that a policy exists to deal with the deficiency</p> <p>Personnel: Mine Manager, Maintenance Superintendent, Maintenance planner,</p> <p>Method: Maintenance schedules, commissioning documents and records, policy for new equipment on-site, special maintenance check forms.</p>
4.3.6	Formal procedures are in place to identify, report and investigate substandard conditions or practices.	<p>Intent: To verify that formal procedures exist to review conditions or practices following the reporting or finding of deficiencies.</p> <p>Personnel: Safety staff, Safety and Health Reps, random employees, supervisors and foremen. Maintenance planner.</p> <p>Method: Defect and incident reporting systems; maintenance request forms.</p>

4.4 MAINTENANCE

Point	Standard	Guideline
4.4.1	There is a system for Preventative Maintenance.	<p>Intent: To verify that plant and equipment are subject to planned maintenance and that servicing is in accordance with manufacturers requirements. Ensure that servicing is effective and that plant and equipment is generally safe to operate.</p> <p>Personnel: Mine Manager and foreman, maintenance Supt and planner Equipment and plant operators.</p> <p>Method: Original equipment manufacturer's (OEM) maintenance recommendations. Maintenance schedules, minutes of operating and maintenance weekly meetings, major shutdown schedules for plant eg ball, rod or autogenous mill, conveyors etc. Check that equipment is designated for 250, or 500 hours services etc, and that hour metre readings are recorded by maintenance.</p>
4.4.2	There is a system for identifying critical components on equipment and plant.	<p>Intent: To verify that critical parts of plant and equipment have been identified</p> <p>Personnel: Mine Manager, Mill Supt, Maintenance Managers Maintenance planner.</p> <p>Method: Documentation on critical components and any condition monitoring conducted eg vibration, bearing temp monitoring and telemetry etc Inspection schedules .</p>

4.4.3	There is a procedure for formal reports of equipment or plant faults	<p>Intent: To verify that a procedure is in place to record defects of plant and that a formal means of presenting this information.</p> <p>Personnel: Mine Manager, Maintenance Manager, Foremen Maintenance fitters and plant operators.</p> <p>Method: Check maintenance files for equipment histories to confirm that breakdowns and reported faults are recorded. Check minutes of production meetings and reports to see that a system exists. View monthly reports for availability and utilisation charts or figures of major plant and equipment. Talk to the plant operators and maintenance fitters to find how defects are reported and addressed, see if paperwork for this is formalised.</p>
4.4.4	There is a system for the repair of reported equipment and plant faults.	<p>Intent: To verify that a procedure or system is in place to fix breakdowns of plant and that a breakdown reporting system is in operation.</p> <p>Personnel: Plant operators and maintenance crews, and the corresponding supervisors.</p> <p>Method: Communications both direct and by paperwork exist to advise maintenance of faults and breakdowns. Check maintenance records randomly to confirm that operators comments are noted and attended to.</p>

4.5 ACCIDENT/INCIDENT INVESTIGATION

Point	Standard	Guideline
4.5.1	Documented procedures are in place to identify and report injuries	<p>Intent: To verify that formal procedures exist to identify and report injuries</p> <p>Personnel: Induction and safety officer; first aid officer or nurse. Supervisors and employees (operations, maintenance and contractors).</p> <p>Method: First aid daily records, to confirm that major and minor injuries are reported. Check that induction of employees and contractors includes and emphasises in writing that accidents are reported immediately and minor injuries reported by end of shift. AXTAT information and accident record book</p>

4.5.2	Documented procedures are in place to identify and report occurrences.	<p>Intent: To verify that formal procedures exist to identify and report occurrences.</p> <p>Personnel: Induction and safety officer; first aid officer or nurse. Supervisors and employees (operations, maintenance and contractors).</p> <p>Method: Records, to confirm that occurrences and potential serious occurrences are reported. Check that induction of all employees and contractors includes that occurrences are reported. Ensure that date, shift, time and name of the person reporting each incident is recorded in writing. Record book can be checked for reportable occurrences.</p>
4.5.3	Documented procedures are in place to identify and report property damage.	<p>Intent: To verify that formal procedures exist to identify and report property damage.</p> <p>Personnel: Induction and safety officer. Supervisors and employees (operations, maintenance and contractors).</p> <p>Method: Maintenance or supervisor's daily records, to confirm that property damage is reported. Check that induction of employees and contractors includes reporting of property damage. Ensure that date, shift, time and name of the person reporting the property damage is recorded in writing.</p>
4.5.4	Formal procedures are in place to investigate accidents, occurrences and property damage.	<p>Intent: To verify that formal procedures exist to investigate accidents, occurrences and property damage.</p> <p>Personnel: Mine Manager, Maintenance Manager and Contractor senior representatives. Safety and Health reps, supervisors and employees .</p> <p>Method: Investigation reports and procedures.</p>
4.5.5	The investigation procedure requires the identification of contributing causes .	<p>Intent: To verify that formal investigation procedures exist for the identification of causes which contributed to the event.</p> <p>Personnel: Senior managers and safety practitioners.</p> <p>Method: Accident/incident reporting forms and procedures.</p>
4.5.6	The investigation identifies preventative action to prevent a re-occurrence.	<p>Intent: To verify that every investigation produces a result that identifies the hazards and effective means of reducing risk.</p> <p>Personnel: Senior managers and Safety Practitioners.</p> <p>Method: Investigation reports.</p>

4.5.7	Management, supervision and line employees are involved in the accident / incident investigation processes.	<p>Intent: To verify that the investigative process involves management, supervisors and employees.</p> <p>Personnel: Management, supervision and line employees. H & S Reps</p> <p>Method: Accident / incident investigation forms and reports. Correspondence to District Inspectors</p>
4.5.8	There is a system which ensures that corrective actions are implemented.	<p>Intent: To verify that a system is in place to ensure that recommended preventative action has been taken .</p> <p>Personnel: Senior managers and Safety Practitioners.</p> <p>Method: Reporting system. Also check toolbox or safety meeting minutes.</p>
4.5.9	There is a system which ensures that causes and corrective actions identified are made known to the workforce.	<p>Intent: To verify that the workforce are advised verbally or in writing of occurrences, accidents and damage reports and that corrective actions are included.</p> <p>Personnel: Senior managers, safety representatives and employees.</p> <p>Method: Information letters and briefs, notices, minutes of safety meetings</p>

5. RISK ASSESSMENT HAZARD ANALYSIS

5.1 PROCEDURES

Point	Standard	Guideline
5.1.1	A Hazard analysis for the enterprise has been conducted.	<p>Intent: To verify that a hazard analysis has been conducted.</p> <p>Personnel : Senior manager and Safety Practitioners.</p> <p>Method: Examine reports.</p>
5.1.2	A risk assessment for the hazards identified has been conducted	<p>Intent: To verify that a risk assessment has been conducted.</p> <p>Personnel : Senior manager and Safety Practitioners.</p> <p>Method: Examine reports</p>
5.1.3	A comprehensive register of hazards which may affect the enterprise has been compiled.	<p>Intent: To verify that a Hazard Register exists.</p> <p>Personnel : Senior manager and Safety Practitioners.</p> <p>Method: Examine hazard register.</p>

5.1.4	The consequences of each hazard in the hazard register have been assessed.	Intent: To verify that the consequences of each hazard has been assessed. Personnel : Senior manager and Safety Practitioners. Method: Examine hazard register.
5.1.5	The Hazard Register is updated in accordance with policy.	Intent: To verify that the Hazard Register is held under continuous review. Personnel : Senior manager and Safety Practitioners. Method: Examine hazard register and compare with recent accident reports.
5.1.6	The Hazard Register is updated whenever a planned change in mining activities takes place.	Intent: To verify that the Hazard Register is reviewed in the event of a change in mining activity. Personnel : Senior manager and Safety Practitioners. Method: Examine hazard register and compare with recent changes in the operation.
5.1.7	The Hazard Register is updated whenever an accident or occurrence takes place.	Intent: To verify that the Hazard Register is reviewed upon the event of an accident or occurrence. Personnel : Senior managers and Safety Practitioners. Method: Hazard Register and accident/occurrence reports.
5.1.8	A system is used for hazard analysis and risk assessment of any new purchases made and/or modifications to equipment.	Intent: To verify a system is in place to consider new purchases for hazard analysis and risk assessment. Personnel : Senior managers and Safety Practitioners. Method: Evidence should be produced demonstrating such a system is in place.
5.1.9	All the hazards identified have been prioritised for action.	Intent: To verify prioritisation of hazards. Personnel : Senior managers and Safety Practitioners Method Hazard Register

6. WORK PRACTICES

6.1 POLICY AND IMPLEMENTATION

Point	Standard	Guideline
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6.1.1	There is a policy requiring written work practices.	<p>Intent : To verify that there is a policy requiring the development of written work practices.</p> <p>Personnel : Senior managers and Safety Practitioners</p> <p>Method : Policy document</p>
6.1.2	The policy requires the involvement of line employees in determining written work practices.	<p>Intent : To verify that the development of written work practices involves the employees using them.</p> <p>Personnel : Senior managers, Safety Practitioners and employees.</p> <p>Method : Policy document review and interview employees.</p>
6.1.3	The Registered manager authorises written work practices.	<p>Intent : To verify that the registered manager authorises the written work practices.</p> <p>Personnel : Senior managers and Safety Practitioners</p> <p>Method : Select examples of different types of work practices,</p>
6.1.4	The work practices once approved are implemented.	<p>Intent : To verify that written work practices are actually used.</p> <p>Personnel : Senior managers Safety Practitioners and employees representatives.</p> <p>Method : Interview safety representatives/employees to determine their knowledge as to written work practices and as to their usage.</p>
6.1.5	The work practices once implemented are monitored	<p>Intent : To verify that the use of work practices are monitored.</p> <p>Personnel : Senior managers Safety Practitioners Safety Representatives.</p> <p>Method : Interview employees to determine if work practices are regularly checked. There may be task or inspection records.</p>
6.1.6	The work practices are reviewed in accordance with policy.	<p>Intent : To verify that written work practices are reviewed.</p> <p>Personnel : Senior managers Safety Practitioners Safety Representatives.</p> <p>Method : Policy document and samples of written work practices.</p>

7. PRE-EMPLOYMENT AND TRAINING ETC

7.1 PRE-EMPLOYMENT PROCESS

Point	Standard	Guideline
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7.1.1	There is a system for developing job description for employees.	<p>Intent: To verify that the job responsibilities for employees are defined.</p> <p>Personnel: Senior Management, line managers, employees.</p> <p>Method: Sight documents showing the job descriptions.</p>
7.1.2	The job description specifies the skills levels required for the job.	<p>Intent: To verify that job descriptions define the requisite skill level.</p> <p>Personnel: Senior management, line managers, employees.</p> <p>Method: Sight job description for the job categories. Verify that skill level are identified in the job description.</p>
7.1.3	The job description is reviewed periodically to ensure the specified skills are still relevant.	<p>Intent: To maintain an updated description for the job category.</p> <p>Personnel: Senior Management, line management, employees.</p> <p>Method: Confirm that a review of the job description does take place periodically. View policy documentation.</p>
7.1.4	There are selection criteria for each position.	<p>Intent: To verify that that selection criteria are defined for positions.</p> <p>Personnel: Senior Management, line manager, employees.</p> <p>Method: Confirm the selection criteria for a sample of position by sighting relevant documentation.</p>
7.1.5	The selection process ensures an employee has the necessary skills and meets the selection criteria for the position.	<p>Intent: To verify that there is a selection process in place to ensure suitable personnel are appointed.</p> <p>Personnel: Senior management, line managers, employees.</p> <p>Method: Confirm there is a selection process involving positions being advertised, assessments of competency undertaken and interviews being conducted.</p>

7.2 TRAINING

Point	Standard	Guideline
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7.2.1	There is an induction and training process at the enterprise.	<p>Intent: To verify that there is a induction and training process on site.</p> <p>Personnel: Senior management, line managers and employees.</p> <p>Method: Verify 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 taken place. Examine mine induction and training records to confirm the process occurs.</p>
7.2.2	The induction and training process involves all employees and contractors.	<p>Intent: To verify that all personnel working at the mine both contractors and employees have been inducted and trained.</p> <p>Personnel: Senior management, line managers, employees and contractors.</p> <p>Method: Confirm by questionnaire or interviews with a number of employees and contractors that they have been inducted and trained. Sight documentation to verify and confirm employees and contractors have been inducted.</p>
7.2.3	There is written training material prepared for the induction process.	<p>Intent: To verify that a standard documented induction process exists at the mine.</p> <p>Personnel: Senior management, line management, employees and contractors.</p> <p>Method: Confirm by sighting induction documents or attending the induction and observing the process.</p>
7.2.4	The written training material includes educational material on the Safety and Health policy and its implementation.	<p>Intent: To verify safety and health policy of the company is part of the induction process.</p> <p>Personnel: Senior management, line managers, employees and contractors.</p> <p>Method: Confirm by sighting written material used in the induction or attending the induction process. Interviews or questionnaire with personnel who have attended the induction process.</p>
7.2.5	A formal training program is available for employees.	<p>Intent: To verify that a training program is conducted at the mine.</p> <p>Personnel: Senior managers, training staff and employees.</p> <p>Method: Sight written documents to confirm their availability and implementation. Conduct interviews with safety representatives and employees.</p>

7.2.6	The Safety and Health responsibilities for employees are included in their training program.	<p>Intent: To verify that there are safety and health responsibilities included in the training programs of employees.</p> <p>Personnel: Training staff and employees.</p> <p>Method: Confirm by sighting training documents and verify with employee questionnaire . Responsibilities can include such things as using PPE provided reporting occurrences , involvement in safety groups etc.</p>
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7.3 COMMUNICATIONS

Point	Standard	Guideline
7.3.1	There is a formally defined method of communicating on Safety and Health matters.	<p>Intent: To verify management and the company have in place a formal system to communicate safety & health matters throughout the organisation.</p> <p>Personnel: Senior Managers, employees.</p> <p>Method: Confirm existence of formal method by interviews with managers and employees. Sight policy documents and procedures.</p>
7.3.2	There is a formally defined method of communicating on Safety and Health matters between the Manager and contractors.	<p>Intent: To verify management and contractors on site have in place a formal system to ensure safety and health matters are properly communicated.</p> <p>Personnel: Senior managers and contractors.</p> <p>Method: Confirm the existence of the formal system by interviewing managers and contractors. Sight documentation eg. Policy document, minutes of meetings etc.</p>
7.3.3	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>Intent: To verify that there is a proper communication path for workers to bring safety and health matters to the attention of management.</p> <p>Personnel: Senior management, line managers, employees and contractors.</p> <p>Method: Confirm the existence of proper communication channels by interviews with management supervisors and mine workers.</p>
7.3.4	Safety and Health meetings are held at corporate level.	<p>Intent: To verify there is a commitment from Corporate Management toward putting safety and health matters into practice.</p> <p>Personnel: Corporate Management, senior Management.</p> <p>Method: Confirm meetings occur by interviews with Senior Management and sighting minutes of the meetings.</p>

7.3.5	Safety and Health meetings are held in each operating section of the enterprise.	<p>Intent: To verify that safety and health meetings are held within each section or department of the mine.</p> <p>Personnel: Senior management, line managers employees and contractors.</p> <p>Method: Confirm by interviews or questionnaire that Safety & Health meetings are held in each section of the mine.</p> <p>Sight minutes of meetings.</p>
7.3.6	Matters raised at Safety and Health meetings are minuted and made known to the work force.	<p>Intent: To verify that safety issues discussed at meetings are recorded and made known to the workforce.</p> <p>Personnel: Senior Management, line managers, employees.</p> <p>Method: Confirm by interviews with members of the workforce that matters arising from safety and health meetings are made known to them.</p> <p>Sight copies of minutes of Safety and Health meetings & confirm minutes cover safety matters.</p>
7.3.7	An action list with definite responsibilities is raised as a result of concerns expressed at Safety and Health meetings.	<p>Intent: To verify that issues raised by employees are addressed in a timely manner.</p> <p>Personnel: Senior Managers, safety representatives, employees and contractors.</p> <p>Method: Confirm by sighting action list in the minutes of meeting. Interview safety representatives.</p>
7.3.8	Written communications are available at shift changes.	<p>Intent: To verify management has in place a system to ensure proper communication take place between personnel at shift changes.</p> <p>Personnel: Senior Management, line managers, employees and contractors .</p> <p>Method: Confirm existence of written communication at shift changes by sighting the documentation.</p> <p>Interview management and persons on shift changes to ensure written communications are in place.</p>
7.3.9	Communications are available between the mine and outside emergency services.	<p>Intent: To verify that the mine has developed communications with external emergency service providers .</p> <p>Personnel: Senior Managers.</p> <p>Method: Confirm by sighting policy and protocols.</p>

7.3.10	There is a communication system established between the working areas.	<p>Intent: To verify proper communications are available between working areas on surface and where applicable underground.</p> <p>Personnel: Senior Management, line managers, employees and contractors.</p> <p>Method: Inspect systems that are in place. Sight communication system between locations underground and the surface. e.g. telephones in refuge chambers. Interview management and employees to ensure system is present and adequate. Confirm there will be someone on surface to receive calls from underground especially on back shifts.</p>
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7.4 BEHAVIOUR AND CULTURE

Point	Standard	Guideline
7.4.1	Surveys are conducted to assess the attitude of Employees towards Occupational Safety & Health.	<p>Intent: To verify that attitude surveys are conducted.</p> <p>Personnel: Senior Managers, mine employees and contractors.</p> <p>Method: Sight surveys.</p>
7.4.2	Disciplinary procedures are in place for unacceptable behaviour and unsafe acts.	<p>Intent: To verify management and the company are committed to enforcing their safety and health policies and eliminating unsafe acts.</p> <p>Personnel: Senior Management, line managers, employees and contractors.</p> <p>Method: Confirm by interviews with management that disciplinary procedures are in place for unacceptable behaviour. Sight policy documents and disciplinary records.</p>
7.4.3	The disciplinary code is enforced by management.	<p>Intent: To verify Management is committed to enforcing their safety and health policies and do not tolerate unacceptable behaviour.</p> <p>Personnel: Senior Management, line managers, employees and contractors.</p> <p>Method: Confirm by interview with management and employees that disciplinary procedures are enforced. Confirm by sighting personnel records that such enforcement is occurring.</p>

8. EMPLOYEE INVOLVEMENT AND ACCOUNTABILITY

8.1 INVOLVEMENT

Point	Standard	Guideline
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8.1.1	A Safety and Health Representative is readily available to workers.	<p>Intent: To verify that management, the company and contractors have in place a health and safety representative available to workers to raise safety concerns with them.</p> <p>Personnel: Senior Managers, employees safety representatives, employees and contractors.</p> <p>Method: Verify by questionnaire or interview that employees have access to a safety rep.</p>
8.1.2	There is a Safety and Health Committee on site.	<p>Intent: To verify that Management and the company are committed in addressing and resolving health & safety matters on site.</p> <p>Personnel: Senior Managers, mine employees and contractors.</p> <p>Method: Sight minutes of a recent health and safety meeting (within last 3 months). Talk to representatives of committee to confirm the existence of committee.</p>
8.1.3	Employees and contractors are proportionally represented on Safety and Health Committees.	<p>Intent: To verify that contractors as well as mine employees are actively involved on Safety & Health Committees.</p> <p>Personnel: Senior Managers, employees and contractors.</p> <p>Method: Confirm contractors are present on the Safety & Health Committee .</p>
8.1.4	Employees, including contractors, conduct safety audits on site.	<p>Intent: To verify a commitment by the company and management that employees and contractors on site are given the opportunity to be part of safety audits.</p> <p>Personnel: Senior Managers, employees and contractors.</p> <p>Method: Confirm by questionnaire or interview that employees take part in safety audits on site. Sight completed audit documentation.</p>
8.1.5	A Safety Suggestion Box or similar system is available at the enterprise for the use of employees.	<p>Intent: To verify a commitment by management to allow mine workers to put forward their views on safety.</p> <p>Personnel: Senior Managers, employees & contractors.</p> <p>Method: Sight the Suggestion Box etc. Confirm from mine workers the Suggestion Bo x etc. is available for use.</p>

9. INFORMATION COLLECTION

9.1 MANAGEMENT STATUTORY RESPONSIBILITIES

Point	Standard	Guideline
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9.1.1	Management carries out its statutory responsibilities in respect of the reporting of contaminant sampling results.	Intent ; To verify that contaminant control measures are being monitored and the results forwarded. Personnel: Senior Managers, S & H professionals and employees. Method: CONTAM reporting documentation.
9.1.2	Management has caused a noise report to be compiled.	Intent : To verify control noise exposure has been assessed. Personnel: Senior Managers, S & H professionals. Method: Noise Report notification, noise control plan (current).
9.1.3	Management carries out its statutory responsibilities in respect of the recording of lost time injuries to workers.	Intent: To ensure accurate and timely reporting of lost time injuries as required by Reg. 3.42 of MSIA Regulations. Personnel: Senior Managers, OH & S Personnel. Method: Monthly Status Report Form files.
9.1.4	Management carries out its statutory responsibilities in respect of the recording and reporting of occurrences and potentially serious occurrences.	Intent: To ensure that recording and reporting of occurrences and potentially serious occurrences are recorded and reported in an accurate and timely manner as required in Section 78 and 79 of MSI Act and Regulations. Personnel: Senior Managers, OH & S Personnel. Method: Notice of Accident record files, Mine Record Book.
9.1.5	Management carried out its statutory responsibilities in respect of the registration, inspection and maintenance of Classified Plant.	Intent: To verify the existence of a classified machinery management system. Personnel: Senior Maintenance Managers. Method: Data Base/Record of Plant, inspections and maintenance schedules.
9.1.6	Management carried out its statutory responsibilities in respect of the licensing of its electrical installation.	Intent: To verify the appointment of the Electrical Supervisor and licensing of all electrical installations requiring such. Personnel: Electrical Supervisor, Electrical Engineer. Method: Electrical Record Book, High voltage installation submissions and Office of Energy communications.

9.2 MANAGEMENT DATA COLLECTION AND MAINTENANCE

Point	Standard	Guideline
9.2.1	Management maintains a database recording each employee' s medical history.	Intent: To ensure a recording system is in place for health assessment and health surveillance records Personnel: Senior Managers, OH & S Personnel. Method: Medical Records, Data base.

9.2.2	Management maintains a database recording each employee' s training history.	Intent: To ensure employers are maintaining training records for employees. Personnel: Senior Managers, Training Personnel. Method: Training records.
9.2.3	Management maintains a database recording each employee' s personal details	Intent: To maintain a record of each employees personal details. Personnel: Records Officer. Method: Personnel records files.
9.2.4	Management maintains a system for the reporting of dangerous situations or occurrences by employees.	Intent : To ensure that dangerous situations or occurrences are reported as per Section 11 of the MSI Act and recorded. Personnel: Senior Managers, OH & S Personnel. Method: Dangerous situation/occurrence record file.
9.2.5	Management maintains a recording system for medical treatment injuries.	Intent : To verify that a system of recording minor injuries is in place. Personnel: Medical Personnel, OH & S Personnel. Method: Medical Treatment records file.

10. KEY PERFORMANCE INDICATORS

10.1 MONITORING

Point	Standard	Guideline
10.1.1	The key performance indicators for Safety and Health items are defined for use by management.	Intent: To verify that the basic Key Performance Indicators (KPI) are identified and used by management. Personnel: All management, including administration, and safety officers. Method : Policy documents., The KPIs may include reactive and leading indicators such as Incidence rate, Duration rate, Frequency rate and Injury Index. Proactive indicators may include numbers of audits, attendance at meetings or courses etc.
10.1.2	Comprehensive records are maintained on site of key performance indicators relating to safety, health and hygiene of employees and contractors.	Intent: To verify that records are kept and are current, for KPIs relating to Safety and Health Personnel: Safety staff, or administration staff. Contractors admin. Method: Statistical data relating to KPI's.

10.1.3	Data collected is systematically reviewed.	<p>Intent: To verify that statistical data for KPIs is analysed to identify trends on a regular basis.</p> <p>Personnel: Management, safety staff, or administration staff. Contractors administrative staff.</p> <p>Method: Policy documents, review reports.</p>
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10.2 IMPROVEMENT

Point	Standard	Guideline
10.2.1	There is a formal procedure for taking remedial and or improvement action as a result of analysis and trends identified.	<p>Intent: To verify that a formal procedure exists to implement recommended changes and improvements for a safer workplace resulting from reviews of Key Performance Indicators.</p> <p>Personnel: Managers. H & S representatives and safety staff.</p> <p>Method: Policy document.</p>
10.2.2	There is an effective and regular means of communicating safety and health indicators and trends to all employees and contractors.	<p>Intent: To verify that effective communication exists to update all employees of current and trend data from KPIs</p> <p>Personnel: Supervisors and employees (including Contractors)</p> <p>Method: Notice boards, minutes from safety and S & H committee meetings. Newsletters and briefs.</p>