Mine Safety Regulatory Reform

*Incident Prevention Strategy*
Today’s outline

- Overview of the IPS
- Targeted assessments and interventions
- Primary contact inspector
- Centralised reporting
- Communications
- Future developments
Setting our regulatory scene

Our mission

Mine Safety will be a leader by enabling, supporting and focusing the mining and petroleum industries on preventing workplace death, injury, illness and disease
Why was the IPS required?

- Significant mining disaster 1996 at Gretley
- 1997 Mine Safety Review
- The Wran Review 2004
- The Macken Board of Inquiry 2007
- MSAC Fatality Review 2013/14
Recommendation 1:
MSAC should consider how information on the implementation of risk controls for significant risks could be routinely collected, analysed and used to support a data led incident prevention strategy.

Recommendation 2:
Drawing on the discipline of human factors, including human and organisational factors expertise, identify the reasons which make it more likely risk controls will be successfully and reliably implemented.

Recommendation 3:
Consider if the regulator should explicitly focus on critical controls for significant risks as part of an incident prevention strategy.
IPS - What will it do?

- We are shifting our main focus to a proactive program of work
- Spine of proactive deployment – TAPs / TIPs and planned inspections
- Risk-based focus / resources where required
- Deployment based on evidence / data
- Regulatory strategy incorporates human factors
- Inspectors not allocated to specific mines
- Centralised incident reporting from 4 July 2016
Example of risk ranking

<table>
<thead>
<tr>
<th>Principle Mining Hazard</th>
<th>Probability</th>
<th>Exposure</th>
<th>Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ground or strata failure</td>
<td>B</td>
<td>3</td>
<td>9</td>
</tr>
<tr>
<td>Inundation or inrush of any substance</td>
<td>B</td>
<td>2</td>
<td>5</td>
</tr>
<tr>
<td>Roads or other vehicle operating areas</td>
<td>C</td>
<td>4</td>
<td>18</td>
</tr>
<tr>
<td>Air quality or dust or other airborne contaminants</td>
<td>E</td>
<td>5</td>
<td>25</td>
</tr>
<tr>
<td>Subsidence</td>
<td>B</td>
<td>2</td>
<td>5</td>
</tr>
<tr>
<td>Fire or explosion</td>
<td>D</td>
<td>5</td>
<td>24</td>
</tr>
<tr>
<td>Explosives</td>
<td>D</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>Gas outbursts</td>
<td>B</td>
<td>2</td>
<td>5</td>
</tr>
<tr>
<td>Explosive CP</td>
<td>D</td>
<td>5</td>
<td>24</td>
</tr>
</tbody>
</table>

*NSW Department of Industry*
IPS - What does it mean for industry?

A regulator who is:

• Accountable
• transparent
• consistent
• timely in decisions made and actions taken
• communicates to industry
• distribute best practice and learnings from regulatory activities
Has enforcement decision making changed?

We have changed our tools that are used to triage incidents

Our expectation is our work is moving from responding to incidents to becoming more proactive – ahead of the curve

We will be monitoring all data through our analysts to identify emerging trends

There is no shift in prosecution policy
Targeted assessments and interventions
### Inspection tools

<table>
<thead>
<tr>
<th>Tool</th>
<th>Activity</th>
<th>Trigger</th>
<th>Initiation</th>
<th>Actioned by</th>
<th>Timeframe</th>
<th>Focus</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Targeted Assessment</strong></td>
<td>Proactive</td>
<td>Risk profiling of site/sector</td>
<td>Chief Inspector in consultation with Senior Leadership Team</td>
<td>Multi-disciplined team</td>
<td>Schedule developed over multiple years</td>
<td>Based on legislative compliance &amp; referencing Principal Hazard Management Plans and Principal Control Plans</td>
</tr>
<tr>
<td><strong>Targeted Intervention</strong></td>
<td>Responsive</td>
<td>Data/Event driven</td>
<td></td>
<td>Multi-disciplined team</td>
<td>Short timeframe based on response to event</td>
<td></td>
</tr>
<tr>
<td><strong>Planned Inspection</strong></td>
<td>Proactive</td>
<td>Risk Profiling of site</td>
<td>Area Manager &amp; Area Inspectors</td>
<td>Inspector(s)</td>
<td>Schedule developed in advance for a number of months (100 day plan)</td>
<td></td>
</tr>
<tr>
<td><strong>Campaign</strong></td>
<td>Proactive</td>
<td>Risk Profile of Sector or Event driven</td>
<td>Senior Leadership Team</td>
<td>Inspector(s) and / or Specialist(s)</td>
<td>Schedule developed based on size of campaign may be multiple years</td>
<td>Specific to campaign</td>
</tr>
<tr>
<td><strong>Compliance Audit</strong></td>
<td>Proactive</td>
<td>Risk Profile of site or sector</td>
<td></td>
<td>Inspector(s)</td>
<td>May be scheduled over a period of time for multiple sites or focused on a single site.</td>
<td>Based on legislative compliance</td>
</tr>
<tr>
<td><strong>Incident Investigation</strong></td>
<td>Reactive</td>
<td>Event driven</td>
<td>Triage Protocol</td>
<td>Inspector(s)</td>
<td>At the time of incident</td>
<td>Specific to incident detail</td>
</tr>
</tbody>
</table>
Regulatory approach to CCM

Focus on critical controls:

- Have mines identified their hazards?
- Have they identified all their *critical controls* – both preventative and mitigating controls?
- Who is the ‘owner’ of these controls?
- Do they know how ‘healthy’ the control is?
- How do they know? (Few controls are perfect!)
- Do they carry out ‘active monitoring’?
- Are the results reported in the same way as important production data?
- Are risk control systems regularly reviewed?
Safety management systems

Targeted assessment:

• All mines have SMS based upon the principal mining hazards
Targeted assessment

What does it look like?

• Inch wide, mile deep assessment of a mine’s safety management systems
• Focus on the control measures associated with eliminating / mitigating critical risk areas
• It will be based on the law and principal hazard management plans
• Team approach lead by inspectors from the 3 disciplines - mining, mechanical and electrical engineering
Targeted assessment

Outcomes:

• Quality assurance of a mine’s approach to controlling risk
• Engagement with the workforce and the operator
• Engagement with senior leadership (GM and CEO level) for the organisation
• Sharing of learnings from targeted assessments with industry (common failings / industry good practice)
Primary contact inspector

- Primary and Secondary Contact Inspectors
- point of contact
- all significant operations
- good knowledge of the site, personnel
- planning for TAP/TIP processes, planned inspections, holistic view
- investigations at times – as tasked
- assess High Risk Activity (HRA) notifications
Centralised incident reporting
Centralised incident reporting

Central number to call:

1300 814 609
Centralised incident reporting

What it is not …
Centralised incident reporting

Key features of 1300 814 609:

• operates 24/7
• calls will be answered by an inspector
• separate rosters for coal and metex
• inspectors rostered to respond in their respective areas
• back-up arrangements so notifications don’t fall through the cracks
A new way forward
Communication

• Industry will have visibility of Mine Safety’s regulatory approach

• We will tell you **what** we’re going to focus on, and **when**

• We will communicate learnings and findings from our assessments and interventions
Future developments

• Online notification of incidents
• Lower administrative burden for industry and Mine Safety
• Better capture of information
ANY QUESTIONS?