|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Mine name:**  NSW mining and extractives industry |  | | | | | | | | | | |
| **Mine contact:** |  | | | | | | | | | | |
| **Auditors:** |  | | | | | | **Date:** | |  | | |
| **Objective, Scope and Criteria:**  (e.g. ‘To determine the extent of compliance with the Health Control Plan’) | |  | | | | | | | | | |
| **Mine details** | | | **Circle the correct answer or one that best represents the MINE** | | | | | | | | |
| Mine type: | | | Coal | Metal | | Non-Metal | | Quarry | | | Other |
| Sub-mine type: | | | Open Cut | | Underground | | | | | Processing Plant | |
| Number of workers (incl. full time contractors): | | | <10 | 10-50 | | 50-100 | | >100 | | | >1000 |
| Does your mine have a HCP (can be an integrated system)? | | | NO  Clause 26 (3) WHS (mines and Petroleum) Act 2014 requires Health Control Plan | | BASIC | | | | | ADVANCED | |
|  | | | | | | | | | | | |

## Consultation

How do you include health hazards in worker consultation processes?

Note: Clauses 121 and 122 of the Work Health and Safety (Mines and Petroleum Sites) Regulation 2014 (WHS (M&PS) Regs 2014) outlines the consultation requirements and workers’ safety role.

Clause 10 outlines the role of worker consultation in the ‘Review of control measures’.

|  |  |  |
| --- | --- | --- |
| **Criteria** | **DESCRIBE** | **ACTIONS Required** |
| How do you involve workers’ WHS representatives (HSR/SHR) in the process including any request for review of control measures? |  |  |
| If there is a WHS committee how are health issues raised? (For those mines with less than 20 employees, briefly describe how workers are consulted on health issues) |  |  |

## Risk identification

Clause 34 of the Work Health and Safety Regulation 2017 (WHS Regs 2017) requires an operator to identify all reasonable foreseeable hazards that could give rise to risks to health and safety.

How did you identify what health hazards are present on your site? Describe how information sources listed below were utilised to identify health risks?

**Note:** Refer to ‘Health hazard identification tool’

| **Criteria** | **yes/no** | **Describe use** | **Actions required** |
| --- | --- | --- | --- |
| Considered health related events and exposures that could realistically occur. |  |  |  |
| Discussed with workers or their WHS representatives any health concerns. |  |  |  |
| Conducted a ‘walk-through’ and observed the work environment. |  |  |  |
| Examined available information on hazardous substances (MSDS) and equipment manuals. |  |  |  |
| Referred to literature on mining health hazards. |  |  |  |
| Conducted & evaluated base line worker or work area exposure monitoring results. |  |  |  |

## Risk assessment

Clause 9 of the WHS (M&PS) Regs 2014 requires that risk assessments be conducted, with regard to the likelihood and consequences, by a person who is competent to conduct the particular risk assessment having regard to the nature of the hazard.

Which of the resources listed below did you use when undertaking health risk assessment and how did they contribute?

|  |  |  |
| --- | --- | --- |
| Criteria | yes/no | Describe use |
| Information from health incident and claims. |  |  |
| Involvement of workers who are exposed to the hazard and/or worker WHS representatives (if workers are represented by HSR or SHR). |  |  |
| Relevant standards, codes of practice, safety alerts |  |  |
| Topic experts for specific hazards when needed. |  |  |
| Assessment tools specific to the type of hazard that guide realistic consideration of the likelihood and consequences of the hazard affecting the health of a worker. |  |  |

## Risk assessment (continued)

Indicate which hazards are present at the site and rank in order of priority based on consequences, exposure levels, numbers of workers exposed etc.?

Describe how you prioritised the health hazards on your site? What criteria did you use?

**Note:** Refer to risk assessment tool and health hazard resources.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| HAZARD | YES/NO | RANK | CRITERIA USED TO PRIORITISE | ACTIONS REQUIRED |
| Dust (silica/coal) |  |  |  |  |
| Diesel exhaust emissions |  |  |  |  |
| Noise |  |  |  |  |
| Fatigue |  |  |  |  |
| Vibration causing musculoskeletal conditions |  |  |  |  |
| Ergonomic stressors causing musculoskeletal conditions |  |  |  |  |
| Hazardous substances exposure causing dermatitis |  |  |  |  |
| Heat stress |  |  |  |  |
| Work related stress/bullying |  |  |  |  |
| Ultraviolet and ionising radiation |  |  |  |  |
| Other airborne contaminants (chemical, fibre) |  |  |  |  |
| Other hazards specific to the mine e.g. chemical, biological hazards |  |  |  |  |
| Other fitness for work issues e.g. drugs and alcohol, workforce wide health issues) |  |  |  | See section on fitness for work |

## Risk control: Selecting controls and identifying the critical control

Clauses 34 & 35 of the WHS Regs 2017 requires that risks be eliminated or minimised using the hierarchy of controls. In addition, Schedule 2 of the WHS (M&PS) Regs 2014 requires that the Health Control Plan (HCP) include control measures for eliminating or minimising the exposure of workers to health hazards.

Describe how controls were selected and for the top priority hazards (Top 3)? Given the consequences, are there sufficient higher order controls in place?

**Note:** Use ‘Controlling health hazards tool’ and the health control diagram found in the instructions to this tool ‘Health Control Plan (HCP) evaluation’ to help answer the questions below.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | Priority 1 | Priority 2 | Priority 3 | Actions required |
| How has the use of the hierarchy of controls been demonstrated? i.e. if a lower order control was selected was this justified (Controlling health hazards tool). |  |  |  |  |
| What percentage of these controls are administrative (rely on workers to follow procedure) compared to engineering controls. |  |  |  |  |
| Does/do these control(s) meet the definition of a control i.e. does it act directly on the hazard. (see diagram on back of Controlling health hazards instruction and Controlling health hazards fact sheet). |  |  |  |  |
| Identify which control is most critical to preventing workers’ exposure to the hazard (Controlling health hazard fact sheet). |  |  |  |  |

## Risk control: Implementing controls with consideration to human and organisational factors

Human and organisational factors (HOFs) may support or erode the effectiveness of controls. The factors listed below are often identified as controls but as they don’t act directly on the release of hazards (except design) they are not considered to be controls. However, they form an important role in supporting controls.

What role do the following factors (HOF) play in the implementation strategy for your controls for identified priority health hazards?

| Criteria | Priority 1 | Priority 2 | Priority 3 | Actions required |
| --- | --- | --- | --- | --- |
| Work design/equipment design support/erode controls? (e.g. PPE, plant design). |  |  |  |  |
| Maintenance scheduling & timely access to maintenance. |  |  |  |  |
| Training of workers/ supervisors regarding the impacts of the health hazard & their responsibilities towards controls. |  |  |  |  |
| The quality, content, format & availability of procedures support control effectiveness? |  |  |  |  |
| Communication between departments/shifts impact on control effectiveness. |  |  |  |  |
| Supervision & accountability for responsibilities. |  |  |  |  |
| Other (specify) |  |  |  |  |

## Risk control: considering human and organisational factors when maintaining controls

Indicate if any of the following factors impact on your site’s ability to maintain effective control of your priority health hazards and how this has occurred? How do you take these factors into consideration when implementing a control plan?

| Criteria | Priority 1 | Priority 2 | Priority 3 | Actions required |
| --- | --- | --- | --- | --- |
| Risk management arrangements (understanding & decisions when identifying, assessing & controlling) |  |  |  |  |
| Worker participation & involvement |  |  |  |  |
| Fatigue & fatigue management |  |  |  |  |
| Availability of resources (equipment, personnel) |  |  |  |  |
| Maintenance, testing & inspection |  |  |  |  |
| Procurement - e.g. quality of PPE, fit for purpose equipment |  |  |  |  |
| Training |  |  |  |  |
| Staff turnover |  |  |  |  |
| Supervision practices |  |  |  |  |
| Team member/supervisor example behaviour |  |  |  |  |
| Individual technical or non-technical factors (knowledge or motivation regarding health hazards) |  |  |  |  |
| Production goals |  |  |  |  |
| Management commitment (providing resources, time, training, etc) |  |  |  |  |
| Task demands (time pressures, workload) |  |  |  |  |
| Workplace design & work environment |  |  |  |  |

## Risk control: Evaluating effectiveness

Clause 15 of the WHS (M&PS) Regs 2014 requires performance indicators to be in place to monitor all aspects of the safety management system. Clauses 10 & 11 of the WHS (M&PS) Regs 2014 require control measures to be reviewed in certain circumstances.

Which of the indicators listed below are used to monitor, evaluate and review how well priority hazards are controlled?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | Priority 1 | Priority 2 | Priority 3 | Actions required |
| The number of workers compensation claims for illnesses associated with health hazards. |  |  |  |  |
| The number of workers presenting for treatment of apparently work-related illness related to health hazards. |  |  |  |  |
| The health monitoring/exposure monitoring results. |  |  |  |  |
| Leading indicators identified by the site. |  |  |  |  |
| Other (specify). |  |  |  |  |
| For priority health hazards describe your process for undertaking a review of control measures as required by the WHS (M&PS) Regs 2014:  Audit  following an incident  when changes have occurred in the work environment  when workers report health concerns  when new information becomes available. |  |  |  |  |

## Fitness for work

Schedule 2 of the WHS (M&PS) Regs 2014 requires arrangements are in place to ensure workers are fit carry out the work without putting themselves or others at risk.

Of the fitness for work issues listed below which apply at your site? How are they managed - risk management approach applied or information and education?

**Note:** Refer to fact sheet “Fitness for work’.

| **Hazard** | **Yes/no** | **Describe** | **Actions required** |
| --- | --- | --- | --- |
| Fatigue |  |  |  |
| Drugs & alcohol |  |  |  |
| Extremes of temperature |  |  |  |
| Moisture content of air |  |  |  |
| Mental health |  |  |  |
| General health |  |  |  |
| Does the mine have an EAP program & if so what does the EAP program include: |  |  |  |
| Access for the worker's immediate family. |  |  |  |
| Provision for confidential counselling and related services for health problems not directly related to work. |  |  |  |

## Control supports: competent workers

Clause 39 of WHS Regs 2017 that workers are provided with information, training and instruction which is suitable and adequate having regard to the risks associated with the work being carried out.

|  |  |  |
| --- | --- | --- |
| **Criteria** | **Describe** | **Actions required** |
| What information do workers receive about the priority health hazards – the potential health impacts and the control measures? |  |  |
| How the priority health hazards are addressed in the worker/contractor induction training? |  |  |
| How well/frequently are workers trained in fitting and care of personal protective equipment? |  |  |
| If the implementation of controls relies on workers to perform an action - standing position in relation to dust or noise - how is competence & compliance ensured? |  |  |
| How are supervisors trained in applying and monitoring controls (appropriate to their level and type of supervision)? |  |  |
| What information or training do workers receive about changes in the workplace that modify exposure to health hazards e.g. new plant, new chemical? |  |  |

## Worker exposure monitoring

Schedule 2 of the WHS (M&PS) Regs 2014 stipulates that the HCP must monitor the existence of health hazards at the mine and the exposure of workers to those hazards. Which of the hazards listed below have an exposure monitoring program?

**Note:** Refer to ‘Health hazard identification fact sheet’ for information on identifying similar exposure groups and the ‘Exposure monitoring’.

| **Hazard** | **Yes/no** | **Describe** | **Actions required** |
| --- | --- | --- | --- |
| Coal dust |  |  |  |
| Silica |  |  |  |
| Diesel exhaust emissions including particulate matter |  |  |  |
| Other airborne substances e.g. asbestos |  |  |  |
| Isocyanates |  |  |  |
| Lead (or other heavy metals) |  |  |  |
| Ionising radiation |  |  |  |
| Other chemicals (see Schedule 14 WHS Regs 2017) |  |  |  |
| Noise |  |  |  |
| Vibration |  |  |  |
| Heat |  |  |  |

|  |  |  |
| --- | --- | --- |
| **Criteria** | **Describe** | **Action required** |
| How have you identified at risk workers to be included in the exposure monitoring?  If you have a SEGs program (similar exposure groups) for priority health hazards how well developed / implemented is this program? |  |  |
| What do you do with exposure monitoring results – who receives them, how are they discussed, how are they used to ensure that controls are effective? |  |  |
| How are the results communicated to workers in the exposure group and to other workers more broadly? |  |  |

## Health monitoring or assessment

Schedule 2 of the WHS (M&PS) Regs 2014 stipulates that the health control plan must provide arrangements for monitoring the health of workers at the mine.

For which of the hazards listed below is health monitoring carried out? Describe the program in place (frequency etc.)

How is the health monitoring program structured? How the need for health monitoring is determined?

| **Hazard** | **Pre-employment** | **Periodic** | **Post-employment** | **Action required** |
| --- | --- | --- | --- | --- |
| Crystalline Silica. |  |  |  |  |
| Coal Dust. |  |  |  |  |
| Noise (audiometry) |  |  |  |  |
| Lead or other heavy metals (blood levels) |  |  |  |  |
| Asbestos. |  |  |  |  |
| Other (specify). |  |  |  |  |
| For priority health hazards is the health monitoring conducted in accordance with legislative requirements? |  |  |  |  |
| For other health hazards has proper consideration been given to all exposures where workers are exposed to risks and where a valid monitoring technique is available (See ‘health monitoring fact sheet’) |  |  |  |  |

## Evaluating and reviewing the health control plan

Clause 15 of the WHS (M&PS) Regs 2014 requires that there is a system for auditing the effectiveness of the safety management system against the performance standards, including the methods, frequency and results of the audit process, including steps to be taken to continually improve.

This may include performance standards for evaluating controls as well as standards relating the implementation of the HCP.

|  |  |  |  |
| --- | --- | --- | --- |
| **Criteria** | **Yes/no** | **Describe** | **Actions required** |
| Is the HCP evaluated and reviewed (not controls) & what method is used? e.g. audit of implementation, survey of worker knowledge & understanding, etc. |  |  |  |
| Is the health control plan audited internally for effectiveness and continuous improvement? How is continuous improvement demonstrated? |  |  |  |
| Are controls reviewed regularly & how effective is the evaluation and review of controls against performance standards (refer to evaluating controls? What evidence supports this e.g. reduction in exposure levels? |  |  |  |
| How consistent & effective is the review of control measures as required under clauses 10 & 11 of the WHS (M&PS) Regs 2014. |  |  |  |

## Injury and illness management

Which of the following features are included in your RTW & injury management program?

|  |  |  |  |
| --- | --- | --- | --- |
| **Criteria** | **Yes/no** | **Describe arrangements** | **Actions required** |
| An identified trained RTWC. (For those mines with less than 20 employees, briefly describe process) |  |  |  |
| Provisions of suitable duties for a person returning to work after a work-related injury or illness? |  |  |  |
| The provision of medical and ancillary services to enable an ill/injured worker to return to their previous level of functioning as soon as possible. |  |  |  |

## Reporting health monitoring results

Clauses 374-377 of the WHS Regs 2017 require that health monitoring reports are obtained from the medical officer and provided to the worker, regulator and other relevant business undertakings at the site (PCBUs).

|  |  |  |  |
| --- | --- | --- | --- |
| **Criteria** | **Yes/no** | **Comments** | **Actions required** |
| Are adverse health monitoring results reported to the relevant authority? |  |  |  |
| Are these reported to the worker, worker representatives and relevant business undertakings at the site? |  |  |  |
| Does an adverse result lead to a review of control measures? |  |  |  |
| Are any instances of high-risk work (e.g. lead, asbestos or carcinogenic exposure) notified to the relevant authority? |  |  |  |

## Records management

Clause 378 of the WHS Regs 2017 requires that health monitoring reports are kept as a confidential record. In addition, Schedule 2 of the WHS (M&PS) Regs 2014 requires the management of worker health records.

Do the records kept as part of the Health Control Plan meet the standards listed below?

| **Criteria** | **Yes/no** | **Comments** | **Actions required** |
| --- | --- | --- | --- |
| Are they stored in a secure place and in accordance with the Privacy Act? |  |  |  |
| Are they retained for at least the length of time specified under relevant legislation? |  |  |  |
| Is information on work related disease and injury recorded using Australian Standard AS 1885.1 as a basis? |  |  |  |
| Is the information used for evaluation and review of the HCP? |  |  |  |
| Are analyses performed to identify trends? |  |  |  |
| Are there systems in place that allow ongoing analysis and improvements? |  |  |  |
| Are there systems in place that allow ongoing auditing to verify the adequacy and effective security of the records? |  |  |  |