Form | WHS (MINES AND PETROLEUM SITES) LEGISLATION

# Safety management system assessment

August 2021

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| Mine | |  | | --- | |  | |
| Mine operator | |  | | --- | |  | |
| Assessor’s name | |  | | --- | |  | |
| Participants | |  | | --- | |  | |
| xxx | |  | | --- | |  | |
| xxx | |  | | --- | |  | |
| Assessment period | |  |  |  | | --- | --- | --- | |  | to |  | |

# What is a safety management system (SMS)?

A Safety Management System (SMS) previously known as a mine safety management plan is a system that helps you manage the health and safety of workers at your mine. It includes the activities that are required by WHS laws and is to assist you to manage health and safety risks and ensures that hazards at the mine are dealt with in a systematic way, rather than in response to an accident or incident.

If you have a mine safety management plan, it does need to have a title change as it is now called a safety management system. This has been an agreed name for mines within Australia by most states in Australia under the agreed harmonisation of legislation. The NSW WHS laws now require it to be called by this name.

The safety management system helps to protect your mine, workers, contractors, visitors and customers and your personal liability as an owner, employer, mine operator, manager or supervisor. It enables you to demonstrate your due diligence in maintaining duty of care requirements of *Work Health & Safety (Mines and Petroleum Sites) Regulation 2014* and can, when implemented, reduce the impact and costs associated with work-related injury and illness.

## Do I need to use the SMS assessment?

You may have previously prepared a mine safety management plan as it was called under the previous legislation. This is now called a safety management system.

Would you like to see how well you are progressing, how much more needs to be prepared or what is missing in view of the new WHS laws? This safety management system assessment can help to identify gaps or deficiencies in your preparation and what other programs or procedures you may require.

## How do I use it?

This assessment asks questions about typical programs and procedures you may have in your existing or new safety management system. If a schedule is mentioned in these audit questions it refers to schedules at the end of the WHS Regulation 2011 or WHS (Mines and Petroleum Sites) Regulation 2014.

Do not worry if your SMS does not have the same number or name of a program, find where this question fits best relative to your SMS and continue.

The assessment is easy to us/ Follow these steps.

1. This is not a test but a guide to assess where the preparation of your SMS has reached.
2. Pick a definition that says how you have done with each of the questions (top of each page) and give it a rating from the range (1-5) that you consider matches the definition selected.
3. When you have answered all questions, add up your ratings. Compare your result with the SMS ratings table at the end of the assessment.
4. Please note that NSW Resources Regulator may use this document to assess the implementation of your safety management system. Please rate the following questions in terms of where you think you are in regard to preparing the policies, programs, procedures and plans that make up your SMS. That is, what you feel you have achieved with each of the questions. Remember to consult with your workforce when preparing your SMS.

**Just Starting Progressing Done**

**---------------------------------------------------------------------------------**

**Rating:** 1 2 3 4 5 N/A

**Question**

**Rating**

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| Overall SMS development | | | |
| 1 | Have you established a timetable or schedule for preparing the SMS? | Yes No N/A | Comment: |
| 2 | Have you decided on which program or programs you will start? | Yes No N/A | Comment: |
| 3 | Have you decided who will do what? | Yes No N/A | Comment: |
| 4 | Have you identified additional information you may require when preparing the SMS | Yes No N/A | Comment: |

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| Policy and annual safety planning | | | |
| 1 | Has a health and safety policy been written for this mine? | Yes No N/A | Comment: |
| 2 | Has your worker’s representative and the mine’s most senior manager both signed the policy? | Yes No N/A | Comment: |
| 3 | Does the policy set out broad aims to be achieved in relation to the safe operation of the mine and for the health and safety of all persons who attend the mine? | Yes No N/A | Comment: |
| 4 | Have you prepared an annual safety plan that outlines your safety targets for the year? | Yes No N/A | Comment: |

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| Responsibilities and management structure | | | |
| 1 | Has a management structure been prepared? | Yes No N/A | Comment: |
| 2 | Does the SMS describe the management structure arrangements for filling temporary and permanent vacancies and people filling action positions? | Yes No N/A | Comment: |
| 3 | Does the management structure include responsibilities and competency requirements for each position? | Yes No N/A | Comment: |
| 4 | Does the management structure include statutory management positions, where applicable? (quarry manager, electrical tradesperson or electrical engineer) and include names of each person? | Yes No N/A | Comment: |

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| Mine record and document control | | | |
| 1 | Does the SMS state the procedures for records management at the mine? | Yes No N/A | Comment: |
| 2 | Is there a list of records that require keeping and managing such as the SMS, principal hazard management plan, principal control plans, emergency plan etc? | Yes No N/A | Comment: |
| 3 | Is the requirement for a mine record book included in the SMS, along with what it contains? | Yes No N/A | Comment: |
| 4 | Are all documents issued subject to a document control system (name, approver, date)? | Yes No N/A | Comment: |

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| Consultation | | | |
| 1 | During development, implementation and review of the SMS were workers consulted? | Yes No N/A | Comment: |
| 2 | Does the SMS include a safety role for workers so they can contribute to discussions and identification of hazards (including risk assessments) and control measures? | Yes No N/A | Comment: |
| 3 | Are there arrangements in the SMS for consulting workers when preparing various control plans (PHMP, mechanical, electrical, explosives, health)? | Yes No N/A | Comment: |
| 4 | Are there arrangements in place to hold regular safety meetings and toolbox talks at the start of each shift? | Yes No N/A | Comment: |

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| Risk management | | | |
| 1 | Does the SMS describe the arrangements for managing risks at the mine? | Yes No N/A | Comment: |
| 2 | Does the SMS include information about the identification of hazards? | Yes No N/A | Comment: |
| 3 | Does the SMS include information about risk assessments as used in SWMS and control plans? | Yes No N/A | Comment: |
| 4 | Does the SMS include information about training to ensure each person is competent to conduct risk assessments such as in safe work method statements and informal risk assessments? | Yes No N/A | Comment: |

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| Workplace inspections and hazard reporting | | | |
| 1 | Does the SMS include arrangements for workplace inspections of all working areas? (who, what, when, how?) | Yes No N/A | Comment: |
| 2 | Has a schedule of inspections been determined and recorded and are they being performed? | Yes No N/A | Comment: |
| 3 | Do checklists exist for the completion of the inspections to ensure consistency? | Yes No N/A | Comment: |
| 4 | Have the workers completing workplace inspections been trained and deemed competent to do so? | Yes No N/A | Comment: |
| 5 | If at any time a hazard or risk is identified that needs to be controlled, is there a system to report the hazard and the risk to the manager/supervisor so that the risk can be controlled? | Yes No N/A | Comment: |

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| Safe work method statements | | | |
| 1 | Does the SMS include safe work method statements (SWMS) for all high and medium risk activities? | Yes No N/A | Comment: |
| 2 | Were the SWMS developed in consultation with workers and have they been trained in the SWMS? | Yes No N/A | Comment: |
| 3 | Where an activity changes or the workplace is altered, is there a process to review the task for additional hazards, (informal risk assessment)? | Yes No N/A | Comment: |
| 4 | Does the SMS contain a high-risk permit system that manages hazards associated high risk activities (confined space, hot work and working at height)? | Yes No N/A | Comment: |
| 5 | Are SWMS reviewed on a regular basis to ensure that the controls remain effective? | Yes No N/A | Comment: |

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| Emergency plan | | | |
| 1 | Does the SMS include an emergency plan? | Yes No N/A | Comment: |
| 2 | Are all aspects of emergency response included in the emergency plan? (internal and external) | Yes No N/A | Comment: |
| 3 | Have all potential incident types been considered in the emergency plan? | Yes No N/A | Comment: |
| 4 | Have all workers and contractors been trained in the use of the emergency plan? | Yes No N/A | Comment: |
| 5 | Is the emergency plan regularly tested? | Yes No N/A | Comment: |

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| Mechanical engineering control plan | | | |
| 1 | Does the SMS include a mechanical engineering control plan? | Yes No N/A | Comment: |
| 2 | Does the mechanical engineering control plan set out the means by which to manage risks associated with the life cycle of mechanical aspects of plant and structures? | Yes No N/A | Comment: |
| 3 | Are risk management principles used in this plan when controlling risks with mechanical aspects of plant and structures? | Yes No N/A | Comment: |
| 4 | Does the mechanical engineering control plan include pre-start inspections for plant & equipment? | Yes No N/A | Comment: |
| 5 | Does the mechanical engineering control plan include a description of how maintenance activities will be planned and recorded for each piece of plant and equipment? | Yes No N/A | Comment: |

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| Electrical engineering control plan | | | |
| 1 | Does the SMS include an electrical engineering control plan? | Yes No N/A | Comment: |
| 2 | Does the electrical engineering control plan set out the means by which to manage risks associated with electricity at the mine using risk management principles? | Yes No N/A | Comment: |
| 3 | Has an electrical tradesperson been nominated to supervise the installation, commissioning, maintenance and repair of electrical plant and installations at the mine? *(Note if High Voltage (>1000 V) or greater than 1000kW of connected power is used on site an electrical engineer must be nominated)*. | Yes No N/A | Comment: |
| 4 | Is earth-leakage protection and RCDs included in the electrical engineering control plan control measures? | Yes No N/A | Comment: |
| 5 | Does the electrical engineering control plan include a description of how maintenance activities will be planned and recorded for each piece of plant & equipment? | Yes No N/A | Comment: |

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| Accident and incident reporting | | | |
| 1 | Does the SMS include procedures for the initial reporting of all types of incidents and injuries on site? | Yes No N/A | Comment: |
| 2 | Does the SMS include procedures to respond and investigate notifiable and non-notifiable incidents? | Yes No N/A | Comment: |
| 3 | Does the SMS state or refer to a document that states what incidents are notifiable to the regulator? | Yes No N/A | Comment: |
| 4 | Does the response for notifiable incidents include preserving the scene of the incident? | Yes No N/A | Comment: |
| 5 | Are there arrangements stated in the SMS regarding investigation of cause and circumstances following an incident to prevent any recurrence? | Yes No N/A | Comment: |

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| Contractor health and safety management | | | |
| 1 | Does the SMS describe the arrangements regarding control measures associated with contractor’s work at the mine? | Yes No N/A | Comment: |
| 2 | If a contractor health and safety management plan is provided by a contractor for review does the SMS describe this review process? | Yes No N/A | Comment: |
| 3 | Does the SMS include a description of how a contractor’s health and safety management plan will be assessed to be consistent with the sites SMS and how written confirmation will be supplied? | Yes No N/A | Comment: |
| 4 | Does the SMS describe how contractor’s equipment, systems of work and worker competencies will be controlled? | Yes No N/A | Comment: |
| 5 | Does the SMS describe arrangements for monitoring and evaluating compliance by the contractor with the SMS and the contractor health and safety management plan (if any)? | Yes No N/A | Comment: |

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| Training | | | |
| 1 | Does the SMS have arrangements set down for the identification of training requirements and the planning of training for workers? | Yes No N/A | Comment: |
| 2 | Is there induction training (in the form of information, training and instruction) before a worker commence work at the mine? | Yes No N/A | Comment: |
| 3 | Does the information, training and instruction include all hazards associated with the work to be carried out by each worker and the control measures that are to be in place? | Yes No N/A | Comment: |
| 4 | Are training records kept (while a worker works at the mine) and made available on request? | Yes No N/A | Comment: |
| 5 | Does the SMS have arrangements set down for the identification of training requirements and the planning of training for workers? | Yes No N/A | Comment: |

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| Hazardous chemicals and dangerous goods | | | |
| 1 | Does the SMS describe the arrangements for the identification and management (including storage) of hazardous chemicals and dangerous goods? | Yes No N/A | Comment: |
| 2 | Has a register of hazardous chemicals used, handled and stored at the workplace been prepared and is kept at the workplace? | Yes No N/A | Comment: |
| 3 | Are safety data sheets available for workers who may use hazardous chemicals and is this mentioned in the SMS (e.g. solvents or other hazardous chemicals that may be used)? | Yes No N/A | Comment: |
| 4 | Where required, has a manifest of all hazardous chemicals and dangerous goods kept on site been prepared and placarding established? | Yes No N/A | Comment: |
| 5 | Are all hazardous chemicals correctly labelled when stored? | Yes No N/A | Comment: |
| 6 | Is the hierarchy of controls considered when hazardous chemicals and dangerous goods are being considered for use (purchase) on site? | Yes No N/A | Comment: |

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| Registers | | | |
| 1 | Does the SMS detail arrangements for the use of registers in managing information relating to the testing and compliance of certain pieces of equipment and plant? | Yes No N/A | Comment: |
| 2 | Are registers used to keep a record of items that require regular inspections? (lifting chains, electrical testing and tagging, RCD testing, fire extinguishers etc)? | Yes No N/A | Comment: |

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| Explosives control plan | | | |
| 1 | If explosives are used at the mine, does the SMS include a reference to an explosives control plan? | Yes No N/A | Comment: |
| 2 | Does the explosives control plans include an assessment of risks associated with the use, storage and handling of explosives and explosive precursors? | Yes No N/A | Comment: |
| 3 | Are all risks associated with explosives and explosive precursors managed and compliant with the *Explosives Act 2003*, the Australian Standard 2187 and Schedule 2 (Clause 4) of WHS (Mines) Regulation 2014? | Yes No N/A | Comment: |
| 4 | Where a contractor has been engaged to perform blasting activities, have they supplied a blast management plan that has it been reviewed and confirmed to be consistent with the site SMS? | Yes No N/A | Comment: |
| 5 | Are records maintained of each blast in accordance with the requirements of AS2187? | Yes No N/A | Comment: |

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| Traffic management | | | |
| 1 | Does the SMS include arrangements to detail how traffic is managed? *(This may include a set of traffic rules and a plan of traffic flow)* | Yes No N/A | Comment: |
| 2 | Does the SMS include control measures for vehicular movement, such as interaction between light vehicles, mining trucks & earthmoving equipment, pedestrians and any public vehicles that may enter the site? | Yes No N/A | Comment: |
| 3 | Does the SMS include control measures for vehicular movement, such as safety berms along steep embankments, operating speeds that match the road conditions and how that can change and the change is rearranged and supervised? | Yes No N/A | Comment: |
| 4 | Does the traffic management plan include a set of rules (often called a code of conduct) to manage the activities associated with the engagement of transport drivers? | Yes No N/A | Comment: |
| 5 | Does the SMS include arrangements to detail how traffic is managed? *(This may include a set of traffic rules and a plan of traffic flow)* | Yes No N/A | Comment: |

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| Principal management hazard plan | | | |
| 1 | Does the SMS include information regarding identifying principal hazards? | Yes No N/A | Comment: |
| 2 | If a principal hazard is identified on site does the SMS include information regarding risk assessments for the principal hazard that are comprehensive and systematic? | Yes No N/A | Comment: |
| 3 | Does each principal hazard management plan describe all the control measures to be implemented for that principal hazard? | Yes No N/A | Comment: |
| 4 | Have subject matter experts been used to ensure that all hazards associated with each principal hazard have been identified? | Yes No N/A | Comment: |
| 5 | Does each principal hazard management plan describe the arrangements in place for providing information, training and instruction for each principal hazard? | Yes No N/A | Comment: |

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| Mine planning | | | |
| 1 | Does the SMS include a risk assessment that determines whether a mine survey plan for the mine site is necessary or not? *(e.g. a mine survey plan is prepared by a registered mine surveyor as opposed to a mine plan being prepared by a competent person)* | Yes No N/A | Comment: |
| 2 | Does the SMS refer to a mine plan that shows existing workings, proposed workings, other disused workings and the location of the boundary and the boundary of any adjacent mine? | Yes No N/A | Comment: |
| 3 | Does the mine plan include locations and gradients of all proposed haul roads and access tracks? | Yes No N/A | Comment: |
| 4 | Does the mine plan include details of various dumps, stockpiles, waste dams and methodology on how they will be located and constructed? | Yes No N/A | Comment: |
| 5 | Does the SMS state how often the mine plan is reviewed? | Yes No N/A | Comment: |

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| Audit and review | | | |
| 1 | Does the SMS state how often the SMS is reviewed and audited (including method & frequency)? | Yes No N/A | Comment: |
| 2 | Does the SMS include detail of how identified control measures will be reviewed to ensure that they remain effective? | Yes No N/A | Comment: |
| 3 | Does the SMS include a goal of seeking continual improvement (how things can be done better, reviewing safety alerts, seeking input from Inspectors and others, etc)? | Yes No N/A | Comment: |

**Total**􀀀

You can now determine how well you have prepared your safety management system. Add up all your ratings for each question and compare your total with the range in the SMS ratings table below. Even if your total is in the lower ranges you are on the way to having a good safety management system. Just by completing this assessment you can see where you need further preparation and continued improvement. It is important that you have an action plan to complete the parts of your SMS that require further work.

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| --- | --- | --- | --- |
| **Total:** | **1 - 190** | **191 – 340** | **341 - 490** |
| **Rating:** | **Some procedures**  **No SMS** | **Part prepared**  **SMS** | **Prepared SMS** |