# Management systems for small mines audit Site: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

# Date conducted:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| 1 Management systems |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 1.1 | There is a current written policy statement that sets out the Safety and Health Policy of the organisation. |  |  | | 1.2 | Contractors employed at the site are required to comply with the principal employer's Safety and Health Policy. |  |  | | 1.3 | Management have provided the applicable statutory mine record books required. |  |  | | 1.4 | A current site organisation chart is available. |  |  | | 1.5 | Management have established documented permit systems for certain categories of work. |  |  | | 1.6 | The principal employer has developed and implemented a Safety and Health Plan for the site and each work group. |  |  | | 1.7 | Management have established a system of employee input with regard to safety and health. |  |  | | 1.8 | Safety and health meetings are held. |  |  | | 1.9 | Personal protective clothing and equipment (PPE) is provided to all employees at no cost. |  |  | | 1.10 | Means of internal and external communications are available on site. |  |  | |
| 2 Induction, procedures, training and supervision |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 2.1 | There is a safety induction process for the site. |  |  | | 2.2 | Safe systems of work have been developed and implemented by each employer. |  |  | | 2.3 | Management issues clear on the job safety instructions prior to any work being commenced at the site |  |  | | 2.4 | Personnel are trained and assessed as competent to perform allocated tasks. |  |  | | 2.5 | Management maintains a file record of each employee's training history. |  |  | | 2.6 | Management have appointed competent personnel to supervise employees. |  |  | |
| 3 Statutory compliance |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 3.1 | Management carries out its statutory responsibilities in respect to the inspection of workplaces. |  |  | | 3.2 | The Registered Manager ensures that appointed persons perform all duties imposed on them in writing under the Act. |  |  | | 3.3 | Management has complied with the primary statutory responsibilities in respect of the installation, operation and licensing of its electrical installation. |  |  | | 3.4 | Management carries out its statutory responsibilities in respect of the registration, inspection and maintenance of Classified Plant. |  |  | |
| 4 Accident/incident reporting and investigation |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 4.1 | Management have established an immediate hazard/occurrence/accident reporting, control and rectification process. |  |  | | 4.2 | Management carries out its statutory responsibilities in respect of the recording and reporting of serious accidents and potentially serious accidents. |  |  | | 4.3 | Management carries out its statutory responsibilities in respect of the recording and reporting of injuries to workers and the total hours worked by employees and the number of employees. |  |  | | 4.4 | Management carries out its statutory responsibilities in respect of the recording and reporting of occurrences and potentially serious occurrences. |  |  | | 4.5 | Formal procedures are in place to investigate accidents, occurrences and property damage. |  |  | |
| 5 Occupational health |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 5.1 | Occupational health hazards have been identified. |  |  | | 5.2 | Control measures are in place to reduce occupational health hazards identified. |  |  | | 5.3 | The control measures implemented to reduce occupational health hazards are effective. |  |  | | 5.4 | Employees have been educated in the occupational health hazards identified. |  |  | | 5.5 | The exposure level of employees to occupational health hazards has been evaluated. |  |  | | 5.6 | Management has caused a noise report to be compiled. |  |  | | 5.7 | Where necessary, employees wear appropriate personal protective equipment to reduce exposure to occupational health hazards identified. |  |  | |
| 6 Behaviour and culture |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 6.1 | Disciplinary procedures are in place for unacceptable behaviour and unsafe acts. |  |  | | 6.2 | The disciplinary procedure is enforced by management. |  |  | |
| 7 Mobile plant |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 7.1 | A competent person is appointed to supervise maintenance. |  |  | | 7.2 | There is a system of maintenance for mobile plant. |  |  | | 7.3 | Records are kept for maintenance of mobile plant. |  |  | | 7.4 | There is a system to make checks and approve the arrival of all company and contractors’ mobile plant. |  |  | | 7.5 | There is a document to show that operator pre-start checks are carried out for mobile plant. |  |  | | 7.6 | There is a procedure to report operational faults on mobile plant. |  |  | | 7.7 | The faults are rectified in an acceptable timeframe. |  |  | | 7.8 | Operational mobile plant are provided with a functioning two way radio communication. |  |  | | 7.9 | ROPS, where necessary, is provided and maintained. |  |  | | 7.10 | FOPS, where necessary, is provided and maintained. |  |  | | 7.11 | Mobile plant operators are trained and assessed for competency. |  |  | | 7.12 | The access road into the mine is segregated from mobile off-highway earthmoving equipment operations. |  |  | | 7.13 | Access roads, haul roads and benches are maintained in safe condition. |  |  | |
| 8 Fixed plant |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 8.1 | Fixed plant drives and moving parts are suitably guarded. |  |  | | 8.2 | Fixed plant are provided with safe access including walkways, platforms. |  |  | | 8.3 | Fixed plant and buildings, so far as is practicable, are provided with alternative means of egress. |  |  | | 8.4 | The walkways and platforms provide access to major items for both operation and maintenance. |  |  | | 8.5 | Handrails and guard rails are provided for elevated walkways and platforms. |  |  | | 8.6 | Items of fixed plant have a primary isolator. |  |  | | 8.7 | The applicable items of fixed plant have a local isolator. |  |  | | 8.8 | The isolation switches are labelled. |  |  | | 8.9 | The isolation switches have provision for securing an isolation device. |  |  | | 8.10 | The hazards associated with the manual cleaning of fixed plant have been identified. |  |  | | 8.11 | The procedure for the manual cleaning of fixed plant requires that, where a hazard exists, the plant directly involved is stopped, isolated and tagged. |  |  | |
| 9 Workshop |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 9.1 | A workshop facility is provided for the maintenance of fixed and mobile plant. |  |  | | 9.2 | The facility is appropriate for the types of tasks undertaken. |  |  | | 9.3 | The workshop has adequate facilities for the stable jacking of mobile equipment. |  |  | | 9.4 | Proper material handling and support equipment is provided for the tasks undertaken. |  |  | | 9.5 | Adequate lighting is available for work to be carried out safely at the workshop. |  |  | | 9.6 | The workshop facility is maintained in a tidy condition. |  |  | | 9.7 | Signs are provided to warn of possible eye, hearing and other safety hazards. |  |  | | 9.8 | Fire control equipment is available at the workshop. |  |  | | 9.9 | Machinery is maintained on a regular basis. |  |  | | 9.10 | Gas cylinders are restrained. |  |  | | 9.11 | Gas hoses and gauges are free from damage. |  |  | | 9.12 | Flash back arrestors are adequately sized and fitted to portable and mobile oxy-fuel gas systems for welding, cutting and heating metal. |  |  | | 9.13 | Electrical tools and equipment at the workshop are periodically checked and tagged. |  |  | | 9.14 | Electrical welding machines are maintained in a safe condition. |  |  | |
| 10 Isolation and tagging |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 10.1 | OUT OF SERVICE tags are used to warn against the use of plant which is unsafe to be used or which may be damaged if it is used. |  |  | | 10.2 | DANGER tags are used to prohibit the use of plant on which an employee is undertaking work. |  |  | | 10.3 | Each employee removes his own DANGER tag after completing the work and prior to leaving the worksite at the end of the shift. |  |  | | 10.4 | OUT OF SERVICE tags are attached prior to removing DANGER tags when work on plant is not completed. |  |  | | 10.5 | The effectiveness of devices used to isolate plant is proved prior to attaching DANGER or OUT OF SERVICE tags. |  |  | |
| 11 Emergency plan |
| |  |  |  |  | | --- | --- | --- | --- | | **Point** | **Standard** | **Standard met** | **Comments** | | 11.1 | The operation has prepared an emergency plan. |  |  | | 11.2 | The emergency plan is known by the site personnel. |  |  | | 11.3 | The emergency plan includes a means of employee and visitor control. |  |  | | 11.4 | The emergency plan identifies the types of incidents which may affect the site. |  |  | | 11.5 | On-site first aid services and facilities are available at the site. |  |  | | 11.6 | On-site fire fighting resources, include trained personnel are available. |  |  | | 11.7 | Muster points are installed at the site. |  |  | | 11.8 | Underground sites have established a mine rescue capability including SCBA, fire fighting resources and trained personnel. |  |  | |