Safety management kit  
for small-scale mines, quarries and  
extractive industry operations

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How to use the kit

This kit is intended to facilitate a structured approach to managing risk. The kit contains general advice as well as templates to assist in developing your own system and plan.

Templates include forms for you to use.

Do not be too ambitious – you will continue to develop and refine your plan as you go along. The important thing is to start, knowing that you will have help along the way, and you will get better with experience. It can be added to, as you refine your system and plan, with or without external help. There is room in this folder to hold more guidance related to your system and plan.

## What is this kit about?

This kit is a guide to assist in the preparation of a safety management system for your mine, quarry or extractive industry operation.

Australian mining/quarrying/extractive industry and general industry health and safety legislation requires (either specifically or in spirit) employers to have in place a means to:

* identify all hazards in their mine that may be dangerous
* assess the risks from these hazards or dangers
* implement ways to remove or control risks
* deal with incidents or emergencies
* consult and communicate with people working at the site on health and safety matters.

This *Safety management kit* has been designed to help you prepare a basic safety system so you can begin the journey to legislative compliance.

The kit has two main processes to prepare your safety management system. Risk management and document control. Risk management is a way that will help you to save your people from harm – and it will also meet your duty under mining health and safety legislation to ensure your operation is safe.

The term safety management system (SMS) is used in this kit. It includes all the activities that help to manage health and safety risks. It includes actions to prevent injuries or illness from incidents, as well as ‘plans’ or ‘procedures’ that help to reduce the impact of injury or illness if an incident occurs.

Using the kit will make the job of creating a safe and healthy mine/quarry/extractive industry operation easier to understand and easier to achieve.

## Who is this for?

This kit has been developed specifically for operators of small-scale mines and quarries. It recognises that finding and organising the resources for preparing a SMS can be difficult for a small-scale operation.

### You can use this kit if you:

* have identified or want to identify hazards or dangers that may injure people working at your site and you want to manage these hazards and prevent incidents
* have started working and you need to prepare a safety management system
* have a safety management system but it is not working well or you want to do better
* have some health and safety procedures in place but they are no longer useful because of changes at the site, such as less or more people, different equipment and machinery, or you are mining or processing in a different way
* did not involve people who work at your site when you put safety management systems in place
* now know that the mining/quarrying/extractive industry is using safety management systems to manage health and safety at all operations.

## What is the *Safety management kit*?

### Overview

The kit has two essential parts that form the basis of the SMS. These parts allow you to learn what is required and put in place activities at your site. They are:

**Part 1:** Instructions and information about programs that make up a safety management system.

**Part 2:** A fillable SMS template. This part includes information and activities that will form part of, or your whole SMS, depending on the size of your operation.

### What is the result?

When you and the workers have completed the activities in this kit you should have a SMS that is suited to your operation and addresses the hazards you face.

The completed SMS is an active document. It will help you to combine health and safety with all other work at your site. It may safeguard the operation from dangers and comply with health and safety legislation.

You do not need occupational health and safety expertise to utilise this kit, however, this kit does recognise that you have ‘experts’, that is, people at your site that may have worked for many years in the mining/quarrying/extractive industry.

Consultation and communication is the key to using this kit. Workers must be involved in the preparation of the programs that make up the safety management system. Good leadership is required on your part to achieve success and to get things happening and to keep things moving.

### Part 1: Reference material and information

This part of the kit has information that may help to prepare a safety management system. It identifies what is expected, that is, our industry standards, in the programs that make up the system. The purpose of the reference material and information is to get you started. It gives you a base from which you may seek more information from other sources.

The first part starts the process of preparing a SMS in a systematic way by:

1. supplying information that explains responsibilities and roles of people who work at your operation.
2. suggesting a set of health and safety responsibilities that help establish a risk management approach by identifying hazards, assessing what the outcomes may be from these hazards and controlling the risks associated with these hazards.

To get the best result, read the information supplied. You may wish to read each reference section before preparing the accompanying program in the SMS template.

### Part 2: Safety management system template

This will assist in preparing your own SMS. This part of the kit requires you and your workers to progress through the programs and complete information as you go.

The purpose is to produce a safer operation, not to prepare a set of documents that sit in a cupboard in an office. It should be understood that the completion of the SMS template would provide a set of rules and procedures for managing health and safety at your site. However, it is not until you actually put it into practice that you will start to see the benefits.

A website link has been supplied that includes the template and forms used. The website link also contains the general workplace inspection checklist. You may wish to use these forms at your site or create your own (the forms can be adjusted for your operation). If you do not have a computer you can photocopy the forms that you need.

The SMS template is divided into programs to help you prepare your safety management system. Each program includes:

1. Instructions and information that will assist in preparing the program and procedures that give effect to the program. The information is further divided into sections that explain what is required and what you need to do.
2. Templates (fillable Word forms or printable to be handwritten out). This is the do-it-yourself section of each program. You prepare each program with people who work at your site by filling in the blank ( ) spaces and forms with agreed information.

Use a site diary to support risk management and document control.



Spotlight: xxx

Hint: When you have completed each program, you can create a separate folder to keep all your documents together.

## Further information

The NSW Resources Regulator: [www.resourcesandenergy.nsw.gov.au/regulation](file:///C:\Users\shieldn\Downloads\www.resourcesandenergy.nsw.gov.au\regulation)

SafeWork NSW: [www.safework.nsw.gov.au](file:///C:\Users\shieldn\Downloads\www.safework.nsw.gov.au)

# Risk management and document control



# Definitions

|  |  |
| --- | --- |
| Word | Meaning |
| consequence | The outcome of an event, being a loss, injury or disadvantage. |
| consultation | To seek the views of the people who work at the site and to have regard for their views for resolving health and safety matters. |
| contractor | A person who is not an employee of the mine, who works at the mine. |
| controls | An action taken that eliminates or minimises the adverse risk. |
| control plan | A document that sets out the means by which the mine operator will manage the risks associated with a particular hazard. |
| drill | A process of testing training that relates to emergency events that is repeated from time to time. |
| explosives control plan | Sets out the means by which the mine operator will manage risks associated with explosives at the mine. |
| electrical engineering control plan | EECP. Sets out the means by which the mine operator will manage risks associated with electricity and electrical plant at the mine. |
| emergency  (emergency event, emergencies) | An event that is unplanned at a site. It is a situation that is not controlled and there is a threat to life or the health and safety of people at or outside the operation. |
| employee  (For the purposes of this kit) | A person who works at the site. May include, but not limited to employees, workers, contractors, sub contractors and consultants. |
| equipment | Refer to machinery |
| hazard | A source of potential harm or situation with potential to cause loss. |
| health control plan | HCP. Sets out the means by which the mine operator will manage the risks to health associated with mining operations. |
| hierarchy of controls | A graded order or priority of controls relating to the management of risk – from the most effective to the least effective control. |
| inspection | To look or examine carefully for faults or defects. |
| incident | Any unplanned event that results in, or has the potential to cause injury or illness, damage or loss. |
| induction | A session or training that relates general health and safety information to working at the site. It will include advice on particular hazards at the operation and instruction relating to health and safety rules. |
| job safety analysis | JSA. An orderly way of breaking a job into logical steps and identifying the hazards, assessing the risk and putting in place controls for the risk. |
| likelihood | Used as a description of probability of the hazard occurring. |
| long term | A prolonged period of time. In risk control terms means a permanent control. |
| machinery | Any device or item of plant, whether fixed or mobile (however powered) that is used to do work at the site or for the treatment of any product of the operation. |
| mechanical engineering control plan | MECP. Sets out the means by which the mine operator will manage risks associated with mechanical plant and structures at the mine. |
| mine | Any above ground or below ground site where exploration, extraction, quarrying or treatment activities are undertaken. |
| mine operator | The mine operator is the mine holder unless the mine holder has appointed another person to be the mine operator. (Generally, a company, however can be an individual). Must have the skills, knowledge, experience and resources to exercise the functions of the mine operator. |
| mobile plant | Machinery that can be moved readily – such as haul trucks, loaders, graders, dozers, excavators, drills and crushing plants that are not fixed or used in a permanent capacity. |
| monitor | To check, supervise, observe or record the progress of an activity or procedure on a regular basis in order to ensure it is being carried out. |
| mine safety management system, see also safety management system (SMS) | MSMS. A system that manages work health and safety of people who work at a mine/quarry/extractive industry operation. MSMS is a term that is widely used in NSW. |
| near miss | An event that has the potential to cause injury or illness if circumstances, such as the interval of time of the event, were different. |
| objectives | Goals or targets that are to be achieved. |
| principal hazard | An activity, process, procedure, plant, structure, substance, situation or other circumstance relating to the carrying out of mining operations that have a reasonable potential to result in multiple fatalities, (in a single incident or a series of recurring incidents) |
| principal hazard management plan | PHMP. A plan that provides for the management of all aspects of risk control in relation to the principal hazard. |
| plans | Plans are documents contained within the SMS e.g Contractor health & safety management plan. |
| policy | Statement by a site (or company) of its commitment, intentions and principles in relation to its overall health and safety performance. |
| personal protective equipment | PPE. Safety apparel, protective devices and equipment that protect the health and safety of workers. |
| pre-start | A safety checklist that is undertaken before first use of machinery for that day or shift. |
| probability | The likelihood of a specific event or outcome. |
| procedure | A set of instructions, rules or a step-by-step description of what’s to be done and by whom. |
| quarry manager | Person who supervises the mining operations at the mine and is a person who is qualified to be a quarry manager and holds a current practicing certificate. This is a term widely used in NSW. |
| program | Grouping of various activities that will manage a particular function or hazard at a mine. These groupings of the site’s activities are called programs. |
| review | Checking to see that what you set out to achieve has happened and what needs to be done if there are any gaps. |
| risk | The chance of something happening that will have an impact on the health and safety aims of the mine. Risk is measured in terms of consequence and likelihood. |
| risk assessment | The overall process of analysing and evaluating risk. |
| risk control | Refer to controls |
| risk management | The culture, processes and structures that are directed towards the effective management of potential injury, illness, damage or loss. |
| risk rating | The level or risk assigned following risk assessment (e.g. high, medium, low) |
| return to work | return to work |
| safety data sheet | Material safety data sheet |
| serious injury | An injury that is defined in the relevant legislation. |
| short term | A period of time that is not prolonged. In risk control terms means a temporary control or a control that is actioned to prevent a potential accident. |
| site | A place of work where mining and associated activities are carried out. |
| safety management system | SMS. The system for the site to improve its safety and health performance. |
| supervisor | A person who has the responsibility for persons who work at the site or part of the operation that oversees the activities undertaken – includes people who act in such a position. |
| safe work limit | SWL. Applies to lifting equipment and machinery and is the maximum load that should be applied to the equipment. |
| safe work procedure  safe work method statement | SWP/ SWMS Is a written instruction that sets out how an activity is to be undertaken at a mine. It can be used for training or observing activities for monitoring or review. Also known as:   * safe work method statement and JSA * standard operating procedure * work method statement. |
| system  (also safety management system) | A design, method or system for managing health and safety. Systems describe how the site health and safety targets will be achieved, including time-scales and people responsible for implementing the WHS policy. |
| WHS | Work health and safety |
| yearly  safety plan | A schedule of health and safety activities that are to be undertaken for the year. |
| worker | As defined in section 7 *Work Health & Safety Act 2011* (employee, contractor, subcontractor, outworker, apprentice, trainee etc) |

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 |  | |

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**

|  |  |  |  |
| --- | --- | --- | --- |
| 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** |