

SAFETY MANAGEMENT SYSTEM (SMS)

SELF-ASSESSMENT TOOL FOR NSW EXPLORERS



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1. Introduction

A Safety Management System (**SMS**) is the primary means of providing processes and methods to ensure everyone involved in operations works safely. An SMS is required for mining operations and some **exploration operations**. Organisations must ensure that if an SMS is required, no operations take place at any time without the creation and implementation of an SMS.

The SMS is the framework that brings together the policies, systems, procedures, and plans to follow a systematic approach to achieving, improving, and monitoring health and safety, and is the mine operator's responsibility to develop and implement. The size and complexity of the SMS will be associated with the complexity of the operations and the risks associated with those operations.

2. Does this Activity Require an SMS?

To determine if an SMS is required, follow the steps:

Step 1: Are the activities classified as mineral exploration under the [Work Health and Safety \(Mines and Petroleum Sites\) Act 2013 Part 5 \(1\)](#) as stated below:

Part 5 Definitions:

mineral exploration site means a place where activities are carried out for the purpose of exploring for minerals by mechanical means that disturb the ground.

Examples of activities that use mechanical methods and require an SMS include:

- Drilling and excavation that disturbs the ground
- Bulk sampling or test pits
- Earthworks and clearing for exploration purposes

✓ Yes – an SMS is required

✗ No – Proceed to Step 2.

Step 2: Are the activities exempt under the [Work Health and Safety \(Mines and Petroleum Sites\) Reg 2022 Cl 177](#) as follows:

The following low-intensity activities do not require an SMS:

- Geological mapping and airborne surveying
- Sampling and coring using hand-held equipment
- Geophysical (but not seismic) surveying and downhole logging
- Vehicle access without constructing tracks or roads

✅ Yes – If all activities fall within these exemptions, an SMS is **not** required.

Important note: If the activity is exempt from the implementation of an SMS, the activity will still require a documented safe system of work, it is simple that the express requirements set out for content of a SMS do not apply.

3 The SMS Self-Assessment Tool basis

This Tool has been created based on the requirements set out in the *Work Health and Safety (Mines and Petroleum Sites) Act 2013* and *Work Health and Safety (Mines and Petroleum Sites) Regulation 2022* of New South Wales. We recommend that you also review the *Code of Practice – NSW Code of Practise: Mine Safety Management Systems in Mines*.

4 How to use the SMS Self-Assessment Tool?

The tool has been designed as a self-assessment tool to assist organisations' in determining their level of compliance with current SMS legislative requirements.

Each section of the tool allows the user to answer yes or no to a question and comment on where the information of implementation (evidence) is found.

Where there is a requirement that may or may not be applicable to an organisation, the overarching requirement or specifics within the requirement can be marked as Not Applicable (NA). However, where the requirement is mandatory as part of legislation it cannot be marked as NA, and this will be reflected in the tool.

The Self-Assessment Tool can be utilised to:

- Obtain key elements of information on desirable safety and health management practices;
- Identify strengths and weaknesses in the SMS;
- Provide a measure for safety and health performance; and
- Support a cycle of continuous improvement.

Possible Internal Assessment

An internal assessment can be carried out using this tool to evaluate health and safety management, identify and implement any required improvements.

The assessment can be carried out by a competent person within the organisation this would include someone with Work Health Safety and Auditor qualifications and/or support from someone with these qualifications.

Please note this document has been designed as an overarching tool and, as such, not all sections may be relevant to your Organisation. Some sections may require further analysis, which we recommend that you obtain further advice on.

Note: This Audit Tool has been created to be read in conjunction with the *NSW Code of Practice – Safety Management Systems in mines, Work Health and Safety (Mines and Petroleum Sites) Act 2013* and *Work Health and Safety (Mines and Petroleum Sites) Regulation 2022*.

[NSW code of practice: safety management systems in mines](#)

[Work Health and Safety \(Mines and Petroleum Sites\) Act 2013 Part 5 \(1\)](#)

[NSW Environmental Planning Policy \(Resources and Energy\) 2021, part 2.13](#)

5 Definitions and Abbreviations

Acronym	Details
ALARP	<i>As Low As Reasonably Practicable</i> : A principle requiring risks to be minimized as much as reasonably possible, considering cost, time, and resources.
Code	<i>NSW Code of Practice – Safety Management systems in mines</i> : A guide for complying with safety management systems requirements in mining.
HMP	<i>Health Management Plan</i> : A plan for managing health risks such as dust, noise, and hazardous substances in mining.
JHA/SWMS	<i>Job Hazard Analysis / Safe Work Method Statement</i> : A document identifying hazards and controls for specific work tasks.
Mine Operator	The person or entity responsible for overall control and supervision of a mine or exploration site. This includes exploration managers, proprietors, lessees, or occupiers overseeing mining operations.
Mine Record	A legally required record maintained by the Mine Operator under Part 8 of the <i>Work Health and Safety (Mines and Petroleum Sites) Regulation 2022 (NSW)</i> , documenting safety matters.
SMS	<i>Mine Safety Management System</i> : A documented system that sets out how mining hazards and risks will be identified and effectively managed and which contains the content prescribed by the <i>Work Health and Safety (Mines and Petroleum Sites) Act 2013 (NSW)</i>
NA	<i>Not Applicable</i> : Used when a condition or requirement does not apply.
PCBU	<i>Person Conducting a Business or Undertaking</i> : Key duty holder under WHS Laws with responsibility for work health and safety matters. The duty holder picks up any type of organisation including for example, a company, sole trader, partners in a partnership. A PCBU is essentially the entity duty holder and there can be overlapping PCBUs.
PMH	<i>Principal Mining Hazard</i>: A hazard with the potential to cause multiple fatalities in a single Incident or a series of recurring incidents in relation to one or more of the following: • ground or strata failure, • inundation or inrush of a substance, • mine shafts and winding systems, • gas outbursts, • spontaneous combustion, • subsidence, • roads or other vehicle operating areas, • air quality or dust or other airborne contaminants, • fire or explosion, • a hazard otherwise identified by the mine operator.
PMHMP	<i>Principal Mining Hazard Management Plan</i> : A plan addressing and managing a Principal Mining Hazard .
SFARP	So far as reasonably practicable in relation to a duty to ensure health and safety, means that which is, or was at a particular time, reasonably able to be done in relation to ensuring health and safety, taking into account and weighing up all relevant matters including: • the likelihood of the hazard or the risk concerned occurring, and • the degree of harm that might result from the hazard or the risk, and • what the person concerned knows, or ought reasonably to know, about: ○ the hazard or the risk, and ○ ways of eliminating or minimising the risk, and • the availability and suitability of ways to eliminate or minimise the risk, and • after assessing the extent of the risk and the available ways of eliminating or minimising the risk, the cost associated with available ways of eliminating or minimising the risk, including whether the cost is grossly disproportionate to the risk.
SRS	<i>Safety Regulation System</i> : A system used by regulatory authorities to monitor and enforce safety compliance.

SSE	<i>Site Senior Executive</i> : The most senior person at a mine responsible for safety and implementation of the SMS .
TARP	<i>Triggered Action Response Plan</i> : A structured response plan for specific safety or operational events.
WHS	<i>Work Health and Safety</i> : The overall framework of laws and practices ensuring workplace safety.
WHS Mines Act	<i>Work Health and Safety (Mines and Petroleum Sites) Act 2013 (NSW)</i> : The additional legislation for WHS in the mining and petroleum industries. It is to be read in conjunction with the WHS Act 2011 (NSW)
WHS Mines Regulations	<i>Work Health and Safety (Mines and Petroleum Sites) Regulation 2022 (NSW)</i> : The specific regulations under the WHS Act applying to mines and petroleum sites.
WHS Regulations	<i>Work Health and Safety Regulation 2017 (NSW)</i> : General WHS regulations applicable across industries, including mining.

6 SMS Self-Assessment Tool

Some questions below have “Not Applicable (NA)” greyed out. These questions are based on mandatory requirements that must be implemented in the SMS and, therefore, cannot be marked as NA.

Item	Element Required	Evidence of Compliance		References
1	Scope and Purpose	YES	NO	Evidence
	Provide a description of the Scope of the Activity			<i>NSW Code of Practice: Safety Management Systems in Mines Section 2: Safety Management System</i> <i>NSW Code of Practice: Safety Management Systems in Mines Section 3: Developing a Safety Management System</i>
2	Operations	YES	NO	Evidence
	Does the SMS contains the following details:			<i>NSW Code of Practice: Safety Management Systems in Mines Section 1: Introduction</i>
	• Site location?			
	• The activities undertaken (e.g. exploration drilling, underground or open pit; any processing operations involved)?			
	• The nature and size of the operations (e.g. mineralogy, exploration, production, or number of workers)?			
	• Any details of camp facilities (if applicable)?			

Management and supervisory Structure		YES	NO	NA	Evidence	References
3	Does the SMS contain an organisational chart and/or outline the management structure? Note: The Operator must document the management and supervisory structure of those responsible for the health and safety of workers and others on site.					<i>WHS (Mines and Petroleum Sites) Regulation 2022 (NSW) Clause 14(1)(e) – Details of the management structure, including the responsibilities and accountabilities of supervisors.</i> <i>NSW Code of Practice: Safety Management Systems in Mines Section 2.6 Content of a safety management system</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022 (NSW) Part 6. Survey plans and mine plans.</i>
	Does the SMS identify PCBU and interested parties?					
	Does the SMS outlines the responsibilities of applicable stakeholders including the following? (mark yes if it is applicable but not included and NA if the role is not applicable):					
	• Exploration/mine Operator?					
	• Supervisors, Superintendents and Managers?					
	• Workers?					
	• Subcontractors and Visitors?					
	Ensure the SMS identifies the applicable statutory positions? Note: not all may be applicable to your operations and multiple statutory positions may be appointed – for example multiple statutory supervisors (mark yes if it is included in SMS, no if it is applicable but not included and NA if the role is not applicable):					
	• Statutory supervisor?					
	• Air quality officers?					
• Electrical supervisors?						
• High voltage operators?						
• Underground managers?						
• Underground supervisors?						
• Underground ventilation officers?						
• Authorised surveyors (underground operation)?						
• Winding engine drivers?						
• Quarry manager?						
• Statutory supervisor?						
• Air quality officers?						
Has the operator been notified of applicable statutory position holders?						
Has the operator been notified of any potential matters that may interfere with the individual's ability to perform the statutory function?						
Is there a process/procedure in place to advise the operator of any changes to applicable statutory position holders?						

4	Work Health and Safety Policy		YES	NO	Evidence	References
	Does the Organisation have a WHS Policy?					
	Is the WHS Policy signed by the Operator or Organisation CEO? Note: it is not a legislative requirement for the policy to be signed by the Operator or CEO, however, it does show a commitment in relation to intent. If the policy is not signed other evidence is required in relation to management commitment.					
	Is there established documented Objectives and Targets with respect to health and safety?					
	Are the objectives and targets, periodically reviewed and measured with the intent of continuous improvement?					
5	Consultation, representation, and participation		YES	NO	Evidence	References
	Does the Organisation have a documented method of consulting with key stakeholders?					
	Is the SMS accessible to workers and interested parties?					
	Is safety information distributed to all workers?					

6	Risk Management		YES	NO	Evidence	References
	Does the Organisation have a documented Risk Management/Assessment process/procedure that captures the required steps for the proactive WHS risk management process? Note: the risk management process involves the following: - identifying hazards; - assessing risks associated with those hazards (risk assessments); - managing risks (SFARP and in accordance with the hierarchy of controls); and - reviewing control measures to ensure they are working.					<i>NSW Code of Practice: Safety Management Systems in Mines Section 4.4 Controlling Risks</i> <i>General guidance on the duty to consult under the WHS Act can be found in the WHS Regulations Section 115</i> <i>General guidance on the WHS risk management can be found in the NSW Code of Practice – How to Manage Work Health and Safety Risks</i>
	Are risk assessments conducted for all identified hazards?					
	Is there a documented risk management system (i.e. risk register)?					
	Is the risk register reviewed at least annually with input from workers who perform the work? Note: the register should be a live document and consistently reviewed as changes occur.					
	Are risks evaluated to ensure they are controlled/mitigated to as low as reasonably possible (ALARP)? Note: An effective way to implement this is utilizing a risk matrix to assess risk and implementing controls aligned with the highest level of control practical, based on the hierarchy of controls					
	Has a Triggered Action Response Plan (TARP) been developed? Note: TARPs trigger early responses to worsening conditions, preventing delays in risk control and ensuring hazards don't become unmanageable.					
	Are the TARP triggers clearly communicated and documented?					
	Does the SMS ensure that risk management practices align with legislative requirements, industry best practices, and continuous improvement processes?					

7	Principal Mining Hazards	YES	NO	Evidence	References
	Have any Principal Mining Hazard (PMH) been identified at the Mining Operations? Note: a PMH is any activity, process, procedure, plant, structure, substance, situation relating to the carrying out of Mining Operations that has a reasonable potential to result in multiple fatalities. These may be in a single incident or a series of recurring incidents and expressly include: • ground or strata failure, • inundation or inrush of a substance, • mine shafts and winding systems, • gas outbursts, • spontaneous combustion, • subsidence, • roads or other vehicle operating areas, • air quality or dust or other airborne contaminants, • fire or explosion, • a hazard identified by the mine operator.				<i>WHS (Mines and Petroleum Sites) Regulation 2022 (NSW), Part 1 section 4 – Meaning of “principal hazard”</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022 (NSW), Section 27 – Identification of principal hazards and conduct of risk assessments</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022 (NSW), Section 28 – Requirement to prepare principal mining hazard management plans</i>
	Is there a principal control plan to cover health, mechanical and electrical hazards, explosives & well integrity?				<i>WHS(Mines and Petroleum Sites) Regulation 2022 (NSW) Section 30</i>
	Are PMH risks evaluated to ensure they are controlled/mitigated as low as reasonably possible (ALARP)?				
	Is there a schedule to review the extent of any PMH?				
	Has a Principal Mining Hazard Management Plan (PMHMP) been developed for each identified PMH?				
	Has the PMHMP been developed and reviewed in consultation with relevant workers and representatives and is there a documented process for how workers contribute to identification of principal hazards their control and review?				
	Are PMHMP revisions also captured as revisions in risk assessments?				

	Equipment and Electrical Safety	YES	NO	NA	Evidence	References
8	Does the organisation use electrical equipment? (if No move to item 9)					WHS (Mines and Petroleum Sites) Regulation 2022 (NSW) – Division 3, subdivision 1, section 34: Electrical Safety Electricity(Consumer Safety) Regulation 2015 (NSW).
	Does the Organisation have Equipment, Electrical & Isolation procedures?					
	Does the Organisation have a process/procedure to manage the testing and tagging of equipment?					
	Is there a process/procedure to manage Out of Service and Personal Danger Tags?					
	Is there a proactive process for ongoing maintenance of equipment? Note: An example of this may be a maintenance schedule and/or procedure.					
	Does the Organisation have a process/procedure to manage the return of plant and equipment back into service?					
	Site Workshop	YES	NO	NA	Evidence	References
9	Is there a Site Workshop, (if No move to item 10 if Yes are the following accounted for)?					Specific requirements must be complied with WHS Regulations Subdivision 1 Control of risk NSW Code of Practice: Safety Management Systems in Mines Section 4.4 Controlling Risks
	Is general housekeeping well implemented? Note: All items should be stored away and secured where applicable, and the workshop should be generally tidy.					
	Are all machine guards in place?					
	Is signage displayed and in good condition and readily understood by the workers?					
	Are fire equipment, first aid and spill kits available?					
	Is fire equipment mounted and off the ground and free from obstructions?					
	Is there a workplace inspection process/procedure in place?					
		Personal Protective Equipment	YES	NO	NA	
10	Are PPE site requirements are documented?					WHS Regulations Subdivision 1 Control of risk NSW Code of Practice: Safety Management Systems in Mines Section 4.4 Controlling Risks
	Are workers trained in the appropriate use of PPE?					
	Are PPE requirements are being adhered to in practice?					
	Is there an inspection process/procedure in place to ensure PPE is not expired and fit for purpose?					

	Driving Safety	YES	NO	NA	Evidence	References
11	Is there a documented procedure or process to monitor driving, specifically long-distance driving (i.e. a journey management plan)?					WHS Regulations 35 Managing risks to health and safety NSW Code of Practice: Safety Management Systems in Mines Section 4.4 Controlling Risks
	Are there systems in place to monitor driver safety (i.e. awareness of driving conditions, fitness for work / fatigue management driving at high-risk times of the day etc.)?					
	Is there a process/procedure in place to ensure workers hold the correct valid license for the equipment operated?					
	Is there a process/procedure in place to ensure competency for the equipment operated?					
	Is there a traffic management plan in place and does that plan provide for effective traffic management and reflect the approach adopted in practice in the operations?					
12	Working Remotely	YES	NO		Evidence	References
	Does the Organisation have a documented process/procedure on how to manage isolated (remote) workers?					NSW Code of Practice: Safety Management Systems in Mines Section 2.6.17 Communication

	Psychosocial Hazards		Evidence	References
	YES	NO		
13	Has the Organisation identified and assessed all potential psychosocial hazards in the workplace including expressly considering the relevance of each of the following: - high workload or job demands - such as unachievable task deadlines, expectations and responsibilities, unpredictable shift hours or work shift structures, workers performing multiple roles or rosters that do not allow adequate time for workers to recover - low workloads or job demands - highly repetitive and monotonous work - exposure to traumatic events - such as emergency responders to an incident, experiencing, witnessing or investigating a serious near miss, injury, or workplace death - role conflict or lack of role clarity – such as uncertainty around role tenures, tasks, and work schedule - low job control - unable to speak up about the work that is done or WHS issues - conflict or poor workplace relationships - frequent interpersonal conflict, harmful workplace behaviours - poor support from supervisors and managers - inadequate information, advice or help with work tasks, resolving issues or accessing necessary equipment and resources - poor co-worker support - inadequate information, advice and help to complete tasks - workplace violence - hazardous physical working environments - the environment evokes a physiological or stress response. For example, hot and or cold working environments and or exposure to biological and or chemical agents. - remote or isolated work - limited access to other people or reliable communication and or working alone - poor organisational change consultation - poor consultation, insufficient information on the impacts of changes within the workplace on WHS and or performance - bullying – repeated and unreasonable behaviour directed towards a worker or a group of workers - harassment including sexual harassment - single or repeated incidents or forms of harassment.			NSW Code of Practice: Managing Psychosocial Hazards at Work
	Has the organisation carried out and documented a risk assessment for all relevant psychosocial hazards and consulted with workers as part of the risk assessment process?			

	Does the Organisation have a policy or policies in place that address the following:					
	• Sexual harassment. • Harassment. • Bullying. • Discrimination. • Coercion.					
	Does the Organisation have documented policies/ procedures/ processes on how to manage psychosocial hazards?					
	Do workers have accessible and confidential channels to report psychosocial hazards?					
	Does the organisation regularly engage with workers to assess their mental well-being and workplace satisfaction?					
14	Mandatory Monitoring Controls	YES	NO	NA	Evidence	References
	<i>Is monitoring carried out on the following operations (Note: not all may be applicable to your operations):</i>					<i>WHS (Mines and Petroleum Sites) Regulation 2022 (NSW) Part 10.2, Division 3, Subdivision 2 – Air quality and monitoring. WHS Regulations 35 Managing risks to health and safety NSW Code of Practice: Safety Management Systems in Mines Section 4.4 Controlling Risks</i>
	• Potential for inrush of any substance?					
	• Mine Shafts and winding systems?					
	• Fire and uncontrolled explosions ?					
	• Ground Movement?					
	• Plant and Equipment?					
	Are operational mining risks included in the Organisation risk register?					
	Does the organisation have a hazardous substance procedure?					
	Does the organisation provide training for workers on hazardous substances?					
	Does the organisation complete risk assessments on hazardous substance prior to use?					
	Does the organisation have Safety Data Sheets (in English) for each hazardous substance?					
	Do procedures for hazardous substances include health monitoring?					

	Plant and Vehicles	YES	NO	NA	Evidence	References
15	Do the operations require the use of plant? (if No move to item 16)					<i>WHS (Mines and Petroleum Sites) Regulation 2022, Part 3.1, Division 2, Clause 22 – Management of risks to health and safety.</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Clause 208 – Guarding and insulation from heat and cold.</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Clause 128 – Mine record to be kept.</i> <i>Work Health and Safety Regulation 2017, Clause 177 – Registration of plant designs and items of plant.</i>
	Does the Organisation have a process/procedure for the operation of general plant?					
	Are plant risk assessments conducted before use?					
	Are pre-start inspections undertaken on plant and equipment?					
	Is training provided to workers prior to them operating the plant/ equipment?					
	Are workers assessed for competency prior to operating the plant/ equipment?					
	Is there a process for ensuring that all workers have appropriate licences and competencies and copies of all licences and certifications are kept by the organisation?					
	Is there a documented schedule for plant/ equipment maintenance?					
	Is all earth moving/ underground machinery fitted with Roll over protection (ROP) / Falling object protection (FOP) as applicable?					
	Is there an effective isolation and lockout/tagout procedure in place for plant and equipment maintenance and repairs?					
16	Are guarding and protective systems in place and functioning correctly to prevent entanglement, impact, or other hazards associated with moving parts?					
	Radiation Management Plan	YES	NO	NA	Evidence	References
	Does the concentration of naturally occurring radionuclides exceed the criteria outlined in the WHS Mine Regulations? (if No move to item 17)					<i>WHS (Mines and Petroleum Sites) Regulation 2022, Schedule 2 Principal control plans.</i>
	Does the concentration of naturally occurring radionuclides exceed the criteria outlined in the WHS Mine Regulations?					
	Has a radiation management plan been written?					
Are there radiation performance standards and auditing processes in place to measure and ensure the effectiveness of radiation hazard controls?						
	Does the operator provide suitable and adequate information, training, and instruction to all workers regarding radiation hazards and associated control measures?					

	Underground Ventilation Control Plan	YES	NO	NA	Evidence	References
17	Do the operations involve work where underground ventilation is required? (if No move to item 18)					<i>Work Health and Safety (Mines and Petroleum Sites) Regulation 2022 - Clause 62: Ventilation Systems</i> <i>Work Health and Safety (Mines and Petroleum Sites) Regulation 2022 – Clause 74: Ventilation Control Plan</i>
	Has an Underground Ventilation Control Plan (UVCP) been developed?					
	Does the UVCP contain details on:					
	the design, planning and operation of the ventilation system?					
	arrangements and procedures for inspecting, monitoring, maintaining, and testing the ventilation system?					
	the standards applied relating to the placement, operation, maintenance, and monitoring of fans?					
18	factors that may affect the quantity and quality of air required for ventilation during normal operation and emergencies?					
	Mandatory Health Monitoring and Health Management Plan	YES	NO	NA	Evidence	References
	Has a risk assessment been completed that considers health monitoring requirements?					<i>WHS (Mines and Petroleum Sites) Regulation 2022, Clause 26 – Duty to prepare and implement health management plan.</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Part 3.2, Division 2 – General working environment.</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Part 7.1, Division 6 – Health monitoring.</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Part 7.2, Division 4 – Health monitoring.</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Part 8.5, Division 1 – Health monitoring.</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Part 10.3, Division 2 – Health monitoring.</i> <i>Work Health and Safety Regulation 2017, Chapter 8 – Asbestos.</i> <i>NSW Code of Practice: Safety Management Systems in Mines Section 2.6.12 Health monitoring</i>
	Does the Organisation undertake noise monitoring as per the WHS Mines Regulations?					
	Does the Organisation undertake health monitoring as per the WHS Mines Regulations?					
	Are workers who are exposed to specific occupational hazards (e.g., dust, noise, radiation, vibration, chemicals) undergoing regular health monitoring as required by the regulation?					
	Has a Health Management Plan (HMP) been developed?					
	Has the HMP been implemented?					
	Is there evidence of workers receiving information and training about the purpose, process, and outcomes of health monitoring, including their rights and responsibilities?					
Are health monitoring records maintained securely and provided to workers, relevant authorities, and medical practitioners as required by legislation?						

Emergency Management		YES	NO	Evidence	References
19	Does the organisation have an emergency plan that contains all mandatory requirements? Note: refer to Work Health and Safety (Mines and Petroleum Sites) Regulation 2014 – Clause 88) for a detailed list of the requirements to be included in the Plan.				<i>WHS (Mines and Petroleum Sites) Regulation 2022, Part 10.2, Division 5 – Emergency management.</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Part 10.2, Clause 88 - Duty to prepare emergency plan</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Schedule 22 – Matters to be included in emergency plan for a mine.</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Clause 96 – Testing of emergency plan.</i>
	Is the emergency plan readily accessible to all workers, including contractors and visitors?				
	Does the Organisation have all required emergency and/or medical equipment?				
	Does the Organisation have suitably qualified people to respond to an emergency?				
	Has the emergency plan been implemented?				
	Has the emergency plan been tested in the last 12 months?				
	Is the emergency management system regularly reviewed and updated based on lessons learned from drills, incidents, or regulatory changes?				
Incident and Injury Management, Fitness for Work		YES	NO	Evidence	References
20	Does the Organisation have an Incident Management and Reporting process/procedure?				<i>Work Health and Safety (Mines and Petroleum Sites) Regulation 2022, Clause 640 – Fatigue.</i> <i>Work Health and Safety (Mines and Petroleum Sites) Regulation 2022, Clause 622(1)(m) – Specific control measures—principal mining hazards</i> <i>WHS Act Part 3 – Consultation, representation, and participation.</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Regulation 5 – Additional criteria for notifiable incidents.</i> <i>Work Health and Safety (Mines and Petroleum Sites) Regulation 2022, Regulation 66 - Incident investigation</i> <i>WHS (Mines and Petroleum Sites) Act 2022, Section 40 – Incident reporting requirements</i> <i>WHS Act 2011 (NSW), Part 10, Division 3 – Non-disturbance notices.</i>
	Does the Incident Management and Reporting process/procedure address notifiable and reportable incidents, specifically outlined in the NSW Resources Regulator's Notification of Incident and Injury Guide?				
	Does the mine have a documented procedure for investigating incidents and injuries, ensuring timely and thorough analysis to prevent recurrence?				
	Does the Organisation have a fatigue management process/procedure in place?				
	Has the Organisation listed all items relevant to their organisation (fatigue hazards, control measures risk assessment, travel, management of fatigue rosters etc)?				
	Does the Organisation have a drug and alcohol management process/procedure?				
	Does the Organisation have a process/procedure to control smoking in the workplace?				
	Does the Organisation undertake pre- employment health assessments or health assessment reviews?				

	Contractor Management			Evidence	References
	YES	NO	NA		
21	Are contractors working on site or will they potentially be working on site? (if No move to item 22) Note: If a contractor is working within the operations, or is likely to work at the operations, the Operator must include in the SMS control measures that will be used to control risks to health and safety associated with the contractor's work.				<i>WHS (Mines and Petroleum Sites) Regulation 2022, Schedule 15 Dictionary</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Subdivision 3 Provision of information</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, 14 Management of risks to health and safety.</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, 18 Duty to establish and implement safety management system</i> <i>WHS (Mines and Petroleum Sites) Regulation 2022, Subdivision 3 Provision of information</i>
	Are contractors' safety systems assessed for their competency and safety performance before engagement? Note: An Operator must assess whether the contractor has resources and capabilities to implement the relevant parts of the SMS or its own health and safety management plan.				
	Is there a documented process/procedure on how information is provided to and received from contractors?				
	Is there a documented process/procedure detailing what safety conditions a contractor will operate under (i.e. the SMS or the contractor's health and safety management plan?)				
	Does the process/procedure clearly define how the contractor's work will be overseen and coordinated?				
	Does the Organisation have a formal process for monitoring and reviewing contractor performance on-site?				
	Training, Induction and Communication			Evidence	References
	YES	NO	NA		
22	Does the Organisation have an induction process/procedure?				<i>WHS (Mines and Petroleum Sites) Regulation 2022, 108 Duty to provide induction for workers.</i>
	Is there a process/procedure for how information is communicated to and from site?				
	Is there a process/procedure to record hand-over information between shifts for both workers and supervisors?				
	Are there processes in place to ensure that communication of safety information is reaching all relevant workers, including temporary and subcontracted staff?				
	Is there a training matrix and is it up to date?				
	Does the Organisation have a verification of competency program?				
	Are workers only allowed to operate plant and equipment after being deemed competent?				
	Are relevant elements of the SMS clearly communicated to workers?				

Resource allocation for SMS		YES	NO	Evidence	References
23	Has the operator documented the allocation of adequate resources—financial, human, and time—to implement, maintain, and improve the SMS? Note: This includes ensuring that personnel possess the necessary skills, authority, and time to perform their duties effectively				WHS (Mines and Petroleum Sites) Regulation 2022, Clause 15 Review of control measures
Document and Records Management		YES	NO	Evidence	References
24	Does the Organisation have a document control process/procedure and document register?				WHS (Mines and Petroleum Sites) Regulation 2022, Clause 14 Management of risks to health and safety
	Are documents kept in line with legislative/ recommended retention periods?				WHS (Mines and Petroleum Sites) Regulation 2022, Clause 18 Duty to establish and implement safety management system
	Are operational records updated and available to nominated persons including inspectors, members of the health and safety committee, or a health and safety representative for workers?				
SMS Performance Management and Review		YES	NO	Evidence	References
25	Are performance indicators established to monitor the effectiveness of safety measures?				WHS (Mines and Petroleum Sites) Regulation 2022, Clause 15 Review of control measures
	Is there a documented process for regularly reviewing and updating the SMS and its various components? Note: Minimum requirement for review is every 3 years.				NSW Code of Practice: Safety Management Systems in Mines, Section 1.1.2- Maintain, audit and review the SMS
Change Management		YES	NO	Evidence	References
26	Is there a change management process/procedure in place for changes that effect safety? Note: Ensure the change management process incorporates varying levels of control to effectively manage both minor changes and the introduction of new major hazards or significant operational changes.				NSW Code of Practice Safety Management Systems in Mines, Section 4.5.2 Managing Change
	Are the changes effectively communicated to workers and stakeholders?				
Audits		YES	NO	Evidence	References
27	Does the organisation have an audit schedule?				WHS (Mines and Petroleum Sites) Regulation 2022, Clause 15 Review of control measures.
	Does the organisation have performance standards for measuring the effectiveness of the SMS?				NSW Code of Practice: Safety Management Systems in Mines, Section 1.1.2- Maintain, audit and review the SMS
	Are audits being carried out in line with the audit schedule?				NSW Code of Practice: Safety Management Systems in Mines, Section 5 Performance Measures Reviews and Audits
	Are audits findings communicated to all stake holders?				
	Are audit actions tracked to closure?				
	Is there a process to ensure that the close out of audit actions are effectively implemented in practice (i.e. not only closed out from a documented perspective)?				