

**NSW Department of Primary Industries**

**Mine Safety Operations Branch**

## **Audit Checklist**

**Coal Operation Contractor Management Plans  
Desktop Assessment Program 2008**

**COA-015**

**May 2008**

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## Desktop Assessment Worksheet

### INSTRUCTIONS FOR USE

This Worksheet is designed for use in DPIs Contractor Management Desktop Assessment Program 2008.

#### Column 1 – Assessment Criteria

The Criteria are drawn from the Contractor Management Compliance Audit Checklist. The Checklist includes an Evidence Guide for all criteria. Part (a) of the Evidence Guide for each criterion indicates coal operation documents which may be relevant to the desktop assessment of compliance with that criterion.

#### Column 2 - Assessment

The numerical assessment score should be recorded in Column 2. The Assessment Scoring scale for all assessment criteria is as follows:-

<b>1</b>	<b>Not applicable</b>	audit criterion refers to a hazards/issue not present at the coal operation
<b>2</b>	<b>Does not comply</b>	no evidence that HSMS documentation and work activities address the audit criterion
<b>3</b>	<b>Partly complies</b>	audit criterion not addressed in all relevant areas and at all relevant times
<b>4</b>	<b>Fully complies</b>	audit criterion fully addressed in all relevant areas and at all relevant times

#### Column 3 – Relevant Coal Operation Documents

The title and identifying references (document number and/or date of issue) of all documents cited during the desktop assessment of each criteria should be recorded in this column.

#### Column 4 – Comments

Comments regarding the extent and nature of compliance and non-compliance with assessment criteria should be recorded in this column. This may include;

- Areas/issues in which the documents reviewed indicate full or partial non-compliance with the assessment criteria.
- Areas/issues for which relevant documents were not available at the desktop assessment field visit, and/or do not appear to be created or stored by the coal operation;
- Any other comments indicating the justification for the assessment score.

#### Assessment Database

All information recorded on this Worksheet during the desktop assessment should be entered into the Assessment Database.

## Contractor Management Desktop Assessment Worksheet

ASSESSMENT CRITERIA	ASSESSMENT SCORE	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p><b>1. Contractor Management Plan</b></p> <p>There is a Contractor Management Plan which provides for:-</p> <ul style="list-style-type: none"> <li>- the identification of types of contractors to which the Contractor Management Plan applies; and</li> <li>- assessment of proposed contractor's health &amp; safety arrangements (including safety management, competence of people, and fitness for purpose of plant) prior to engagement, and</li> <li>- site induction of contractors, sub-contractors and their employees; and</li> <li>- monitoring of contractor compliance with site health and safety requirements and relevant legislative requirements.</li> </ul>			

<p><b>2. Consultation on Contractor Management Plan</b></p> <p>The operator's Contractor Management Plan was developed in consultation with relevant workers.</p>			
<p><b>3. Pre-engagement assessment of contractors</b></p> <p>The operator assesses the health &amp; safety management arrangements of proposed contractors before they are engaged; including;</p> <ul style="list-style-type: none"> <li>- health &amp; safety management arrangements; and</li> <li>- competence of contractor employees and sub-contractors; and</li> <li>- suitability of equipment, materials and substances.</li> </ul>			

<p><b>4. Pre-commencement consultation with contractors</b></p> <p>Before relevant contractors commence work, they are consulted to ensure they are familiar with the operator's Contractor Management Plan, and parts of the operator's HSMS relevant to the contractors' work.</p>			
<p><b>5. Contractor Safe Work Method Statements</b></p> <p>Before relevant contractors commence work, they have provided the Operator with a copy of the Safe Work Method Statement for the contractors' work, which;-</p> <ul style="list-style-type: none"> <li>- describes how work is to be carried out, and</li> <li>- identifies the work activities assessed as having safety and health risks, and</li> <li>- identifies the safety and health risks, and</li> <li>- describes the risk control measures that will be applied to the work activities</li> </ul>			

<p><b>6. Contractor's OHS Management Plan</b></p> <p>Before relevant contractor's commences work, the Operator has obtained a copy of the contractors site-specific OHS Management Plan, which includes;-</p> <ul style="list-style-type: none"> <li>- the names, positions and specific OHS responsibilities of persons in relation to the contractor's work, and</li> <li>- the arrangements for managing OHS incidents, including the means of informing the Operator in a timely fashion, and</li> <li>- any work specific safety rules that apply to the contractor's work and arrangements for ensuring that all persons involved in the work are informed of the rules, and</li> <li>- safe work method statements for all work activities assessed as having safety or health risks.</li> </ul> <p><u>Note:</u> "relevant contractors" include;-</p> <ul style="list-style-type: none"> <li>- contractors undertaking high risk activities as defined in CMHS Act clause 49,</li> <li>- blast contractors at an open cut coal operation.</li> </ul>			
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<p><b>7. Site induction of contractors</b></p> <p>Before relevant contractors commence work, the Operator conducts site-specific induction training/briefings for the contractor, and all sub-contractors and employees.</p>			
<p><b>8. Monitoring of Contractors</b></p> <p>The Operator monitors the work activities of contractors to ensure their work activities are carried out in accordance with;</p> <ul style="list-style-type: none"> <li>- the contractors' Safe Work Method Statement(s); and</li> <li>- parts of the Operator's HSMS relevant to the contractors' work activities; and</li> <li>- relevant OHS and CMHS Act &amp; Regulation provisions.</li> </ul>			