

NSW Department of Primary Industries

Mine Safety Operations Branch

Audit Checklist

**Coal Operation Health and Safety Management System
Desktop Assessment Program 2008**

COA-016

May 2008

DISCLAIMER

The compilation of information contained in this document relies upon material and data derived from a number of third party sources and is intended as a guide only in devising risk and safety management systems for the working of mines and is not designed to replace or be used instead of an appropriately designed safety management plan for each individual mine. Users should rely on their own advice, skills and experience in applying risk and safety management systems in individual workplaces.

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Coal Operation HSMS Desktop Assessment Worksheet

INSTRUCTIONS FOR USE

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

Column 1 – Assessment Criteria

The Criteria are drawn from the HSMS Desktop Assessment Checklist.

Column 2 - Assessment

The assessment score should be recorded in Column 2. The Assessment scoring scale is as follows:-

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

Coal Operation HSMS Desktop Assessment Worksheet

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
A. GENERAL REQUIREMENTS			
<p>A.1 Nomination of Operator to DPI The operator of the coal operator has been formally nominated to DPI.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - CMHS Act ss 17-19 (nomination of operator) - CMHS Regulation cl 7-12 (nomination of operator) - CHMS Act ss 215-218 (service of documents) 		<p><i>Blank space for inspector to record title & date of documents sighted</i></p>	<p><i>Blank space for inspector to record comments.</i></p> <p><i>These comments may include matters which may be included in the Feedback Report.</i></p>
<p>A.2 Provision of HSMS summary to DPI An outline of the coal operations HSMS, and subsequent amendments, have been submitted to DPI and Industry Check Inspector.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - CMHS Act ss 20-31 and CMHS Regulation cl 22-27 (provision of HSMS information to DPI & industry check inspector) 			
1. POLICY			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>1.1 Health & Safety Policy There is an OHS policy statement which;-</p> <ul style="list-style-type: none"> - indicates overall OHS objectives and a commitment to improving OHS performance; - has developed in consultation with employees; - has been endorsed by management; - is communicated to all employees and contractors. <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804::2001, section 4.1.4 			
2. PLANNING			
<p>2.1 Legal Requirements There are procedures for;</p> <ul style="list-style-type: none"> - identifying and maintaining information about OHS-related legal requirements, and - communicating this information to relevant employees. <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.2.3 			

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<p>2.2 General Risk Management Procedures There are documented procedures for identifying OHS hazards and assessing and controlling risks, including methods, competencies and resources appropriate to nature of OHS hazards and risks arising at the coal operations.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001 section 4.2.2(Planning identification of hazards,etc) - CMHS Act s 23(2) (HSMS content) - CMHS Act s35 (identification of major hazards) - OHS Regulation cl 9-16 (general risk management requirements) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>2.3 Contractor Management Plan There is a Contractor Management Plan including procedures for selecting and monitoring contractors undertaking mining work activities to ensure they comply with OHS requirements.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - CMHS Act s39-43 (contractor management plans) - CMHS Regulation cl 40-42 (scope of contractor provisions, additional content of contractor management plans & duties relating to contractors) - AS4804:2001, section 4.3.4.7 (Purchasing Goods and Services) 			

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<p>2.4 Purchase of Plant, Materials & Substances There are procedures for ensuring that purchased plant, materials and substances comply with OHS requirements.</p> <p><u>Relevant Legal Provision & Standards</u> - AS4804:2001, section 4.3.4.7(Purchasing Goods and Services)</p>			

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<p>2.5 OHS Performance Indicators There are measurable key performance indicators for the OHS objectives of the coal operation.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.2.4 (Objectives & targets) - AS4804:2001, section 4.2.5 (Performance indicators) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>2.6 OHS Management Plans There are documented OHS management plans identifying actions, responsibilities, resources and timeframes for achieving health & safety objectives and targets.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.2.6 (OHS Management Plans) 			

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<p>2.7 Mine Surveys & Plans</p> <p>2.7.1 <u>Survey and Plan Arrangements</u> There are survey and plan arrangements including procedures for the conduct of surveys and the preparation and certification of;</p> <ul style="list-style-type: none"> - a mine working plan - a surface plan - a ventilation plan for underground mines <p>2.7.2 <u>Mine Record Tracings</u> Up-to-date copies of mine working plans are submitted to the DPI.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - CMHS Regulation cl 138-143 - CMHS Regulation 43 (duties of mining surveyor) 			
3. IMPLEMENTATION			
<p>3.1 Resources</p> <p>There are documented processes for identifying and ensuring the availability of the human, financial and physical (eg, facilities, equipment) resources required to implement and maintain the HSMS.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.3.2.1 (Resources- Human, physical and financial) 			

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<p>3.2 Management Structure</p> <p>3.2.1 <u>Management structure</u> There is a documented management structure which identifies the responsibilities and accountabilities of persons performing statutory functions (<i>include lists of statutory positions? & refer to register?</i>)</p> <p>3.2.2 <u>Supervision Arrangements</u> There are documented arrangements for the supervision of all persons in production areas of surface part as the coal operation and underground parts of the coal operation, to ensure hazards are detected and HSMS procedures are complied with.</p> <p>3.2.2 <u>OHS accountabilities & responsibilities</u> The OHS accountabilities, responsibilities and reporting relationships of all managers, supervisors and employees are clearly documented (eg, organisational charts and position/role descriptions).</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4801:2001 section 4.3.2.3 (Accountability etc) - CMHS Act s37-38 (management structure & register) - CMHS Act s63-68 (duties of managers) - CMHS Regulation 44 (contents of mgt) - CMHS Regulation cl 17 (supervision arrangements) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>3.3 Training & Competency</p> <p>3.3.1 <u>Training & competency management system</u> There is a Training and Competency Management System as required under Guidelines published by Coal Services Pty Ltd ("Order 34").</p> <p>3.3.2 <u>Statutory Certificates of Competency</u> There are procedures for ensuring that persons (employees & contractors) do not perform functions for which the CMHS Act & Regulations specifies evidence of competency, unless they hold the specified evidence of competency.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.3.2.5 (Training & competency) - OHS Regulation cl 13 (general requirement to provide training) - CMHS Regulation cl 146-147 & 173 (requirement to ensure and maintain competency) - Coal Industry Act 2001, Order 34 Guidelines - CMHS Act ss125-129 (functions with specified competency standards) - CMHS Act ss136-143 & CMHS Regulation cl 162 (certificates of competency) 			

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<p>3.4 Consultation</p> <p>3.4.1 <u>Consultation arrangements</u> Arrangements for consulting workers on OHS issues have been established, including;-</p> <ul style="list-style-type: none"> - OHS Committee(s) for the coal operation and/or specified work groups within the coal operation; and - Site Check Inspector(s). <p>3.4.2 <u>Consultation training</u> OHS Committee members and Site Check Inspectors have completed approved training course.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4801:2001, section 4.3.2.4 (Consultation, motivation and awareness) - OHS Act ss 13-19 (duty to consult and role of OHS committees & representatives) - OHS Regulation cl 21-32 (establishing consultation arrangements) - CMHS Act s24 (consultation on the HSMS) - CMHS Act ss157-172, 179-181 & 197 (role and training of site check inspectors) - Code of Practice – OHS Consultation 			

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<p>3.5 Information & Communication Arrangements</p> <p>3.5.1 <u>Distribution of OHS Information</u> There are documented procedures for disseminating OHS information to all employees and contractors (eg, information of OHS legal requirements, the relevant HSMS documentation, OHS performance reports, and "Safety Alerts", etc)</p> <p>3.5.2 <u>Daily Communication Arrangements</u> There are documented procedures for ensuring relevant OHS information is communicated on a daily basis;</p> <ul style="list-style-type: none"> - between managers, supervisors, employees and contractors, and - between supervisors during changes in shifts. <p>3.5.3 <u>Communication Facilities</u> Secure facilities are provided at all relevant places in the coal operation to enable the communication of OHS information relevant to daily activities and in the event of emergencies.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.3.3.1 (Communication) - OHS Regulation 13(1-3) & 16 (general requirements to provide necessary information) - CMHS Regulation 13(b) & 16 (information and communication arrangements) - CMHS Act s 30 (access to HSMS) 			

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<p>3.6 Hazard reporting There is a documented system for the reporting of hazards and incidents by employees, supervisors and managers, and for responding to hazards and incident reports.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.3.3.2 (Reporting) - CMHS Act ss 59, 67, 70 (duties of employees, supervisors and those in management positions to report hazards) 			

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<p>3.7 External Reporting</p> <p>3.7.1 <u>Statutory reporting</u> There are documented procedures for reporting notifiable occurrences and high risk activities to the DPI and Industry Check Inspectors within required timeframes.</p> <p>3.7.2 <u>Reporting to stakeholders</u> There are documented procedures for reporting information on the health & safety performance of the coal operation to stakeholders (eg, shareholders and the local community).</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804.2001, section 4.3.3.2 (Reporting) - CMHS Act s110-112 (notification of incidents) - CHMS Act s215-218 (service of documents) - CMHS Act ss53-54 & CMHS Regulation cl 55-60 (notification of high risk activities) - CMHS Regulation cl 206 (quarterly reports of injuries) 			

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<p>3.8 Document & Data Control</p> <p>3.8.1 <u>Document Control</u> There are documented procedures for creation, control and review of HSMS documents.</p> <p>3.8.2 <u>Document organisation</u> There is a summary or index of HSMS documents and records, indicating their type and storage locations.</p> <p>3.8.3 <u>Record Keeping</u> There documented procedures for collecting and maintaining OHS records and data (eg records of risk assessments, inspections, investigations, health surveillance, plant maintenance, etc).</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001 section 4.3.3.3 (Documentation) - AS4801:2001 section 4.3.3.4 (Document control) - AS4804:2001, section 4.3.3.5 (Records & Info. Mgt) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>3.9 Amenities</p> <p>3.9.1 <u>Amenities</u> There are document standards for the provision and maintenance of appropriate facilities for the welfare or personal hygiene needs of persons at the coal operation (eg, toilets, rest rooms, shelter sheds, seating, dining rooms, change rooms, provision of drinking water, lockers and washing facilities).</p> <p>3.9.2 <u>First Aid</u> There are documented standards and procedures for the provision first aid.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - OHS Regulation cl 17 (amenities) - OHS Regulation 20 (first aid facilities and personnel) - OHS Codes of Practice – workplace amenities, first aid 			
<p>4. MAJOR HAZARD MANAGEMENT PLANS</p> <p>The following legal requirements are relevant to all Elements in this Part:-</p> <ul style="list-style-type: none"> - CMHS Act s35-36 (MHMPs - general contents) - AS4804:2001, section 4.3.4 (Hazard identification, hazard/risk assessment & control) - OHS Regulation cl 9-16 (general risk management requirements) 			

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<p>4.1 Slope Stability There is a Slope Stability Management Plan indicating procedures for the identification, assessment and control of risks associated with the stability of high & low walls, stockpiles and overburden dumps on the surface parts of coal operations.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - CMHS Regulation 28(a)(i) & 29 (content) - CMHS Act s86-90 (barriers and pillars) - CMHS Act s98-104 (emplacement areas) 			
<p>4.2 Surface Transport There is a Surface Transport Management Plan indicating procedures for the identification, assessment and control of risks arising from the use and operating environment of plant on the surface parts of the coal operations.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - CMHS Regulation 28(a)(ii) & 30 (content) - CMHS Regulation cl 72 (overhead power line clearance) - CMHS Regulation cl 134-137 (transport rules) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>4.3 Underground Transport There is an Underground Transport Management Plan indicating procedures for the identification, assessment and control of risks arising from the use and operating environment of plant in underground parts of the coal operations, including associated surface rail systems transport systems.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - CMHS Regulation 28(b)(i) & 31 (content) - CMHS Regulation cl 134-137 (transport rules) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>4.4 Strata Failure There is a Strata Failure Management Plan indicating procedures for the identification, assessment and control of risks arising from strata failure in the underground parts of the coal operation.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - CMHS Regulation 28(b)(ii) & 32 (content) - CMHS Act s86-90 (barriers and pillars) - CMHS Regulation 88 (bord & pillar systems) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>4.5 Inrush There is an Inrush Management Plan indicating procedures for the identification, assessment and control of risks arising from in rush of waters, other fluid materials or flammable or noxious gases in the underground parts of the coal operation.</p> <p><u>Relevant Legal Provision & Standards</u> - CMHS Regulation 28(b)(iii) & 33-34 (content)</p>			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>4.6 Fire & Explosion There is a Fire & Explosion Management Plan indicating procedures for the identification, assessment and control of risks arising from fires and explosions in the underground parts of the coal operation.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - CMHS Regulation 28(b)(iv) & 35 (content) - CMHS Regulation cl 65-70 (prohibited materials) <p><i>Note: see also Fire fighting plan in Element 6.1</i></p>			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>4.7 Coal Dust Explosions There is a Coal Dust Explosion Management Plan indicating procedures for the identification, assessment and control of risks arising from coal dust explosions in the underground parts of coal operations.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - CMHS Regulation 28(b)(v) & 36 (content) - CMHS Regulation cl 91-95 (coal dust explosions) - CMHS Regulation cl 96-101 (DPI-appointed explosion suppression officer & roadway dust sampling) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>4.8 Outburst There is an Outburst Management Plan indicating procedures for the identification, assessment and control of risks arising from outbursts of coal or gas in the underground parts of the coal operation.</p> <p><u>Relevant Legal Provision & Standards</u> - CMHS Regulation 28(b)(vi) (MHMP content)</p>			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>4.9 Spontaneous Combustion There is a Spontaneous Management Plan indicating procedures for the identification, assessment and control of risks arising from spontaneous combustion in underground parts of coal operations.</p> <p><u>Relevant Legal Provision & Standards</u> - CMHS Regulation 28(b)(vi) (MHMP content)</p>			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>4.10 Explosives There is an Explosives Management Plan indicating procedures for the identification, assessment and control of risks arising from the handling of explosives.</p> <p><u>Relevant Legal Provision & Standards</u> - CMHS Regulation 28(c)(i) & 37 (MHMP content)</p>			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>4.11 Airborne Dust There is an Airborne Dust Management Plan indicating procedures for the identification, assessment and control of risks associated with airborne dust in surface and underground parts of the coal operation.</p> <p><u>Relevant Legal Provision & Standards</u> - CMHS Regulation 28(c)(ii) &38-39 (MHMP content)</p>			
<p>5. OTHER HAZARD PLANS & PROCEDURES</p> <p>The following legal requirements are relevant to all Elements in this Part:-</p> <ul style="list-style-type: none"> - AS4801:2001, section 4.4.6 (Hazard identification, risk assessment & control) - OHS Regulation cl 9-16 (general risk management requirements) 			

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<p>5.1 Underground Environment</p> <p><u>5.1.1 Monitoring Arrangements</u> There are documented arrangements for monitoring gas & oxygen levels in underground mines, including plans indicating the location of required monitoring plant & equipment.</p> <p><u>5.1.2 Ventilation arrangements</u> There are document standards and procedures for the design, monitoring and maintenance of ventilation plant and equipment in underground mines.</p> <p><u>5.1.3 Ventilation plans</u> There is a plan indicating the location and types of ventilation plant and equipment.</p> <p><u>5.1.4 Ventilation officer</u> A person with required competencies and experience is appointed to perform the statutory function of ventilation officer.</p> <p><u>5.1.5 Ventilation system audits</u> There are documented procedures for the annual audit of ventilation arrangements by a qualified ventilation engineer.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - OHS Regulation cl 50-55 (atmospheric contaminants – as applicable to underground mines) - CMHS Regulation 13(d) &18 (monitoring arrangements) - CMHS Regulation 13(h), 21 & 102-130 (ventilation arrangements & duties of ventilation officer) - CMHS Regulation cl 73-75 (diesel particulates) 			
<p>Mine Safety Operations Document controller: Bill Barraclough</p>		<p>Version 1.0 COA-016</p>	<p>Page 32 of 43 May 2008</p>

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>5.2 Electrical Plant and Installations There is an Electrical Engineering Management Plan including;-</p> <ul style="list-style-type: none"> - procedures for the installation, commissioning, maintenance, testing and repair of electrical plant and installations; - standards of electrical engineering practice and safe work procedures (including isolation procedures); - up-to-date plans and diagrams of the electrical distribution system indicating the type and location of electrical cables, installations, and warning notices and signs; - procedures in the event of interruptions to the electricity supply. <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - CMHS Regulation cl13(e) &19 (Electrical Engineering Management Plan) - CMHS Regulation cl 83 (isolation) - OHS Regulation cl 40-41 & 62 (electrical installations) - OHS Regulation, Chapter 5, cl 113-119 (plant item registration) and cl 134-144 (use of plant) - OHS Regulation cl 205-208 (electrical work) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>5.3 Mechanical Plant and Installations</p> <p>5.3.1 <u>Mechanical Engineering Management Plan</u> There is a Mechanical Engineering Management Plan including:-</p> <ul style="list-style-type: none"> - procedures for the purchasing, commissioning, maintenance, testing, repair and alteration of mechanical plant and installations; - standards of mechanical engineering practice and safe work procedures. <p>5.3.2 <u>Plant Registration</u> All relevant items of plant are registered with WorkCover and DPI.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4801:2001, section 4.4.6 (Hazard identification and risk assessment & control) - OHS Regulation cl 9-16 (general risk management requirements) - CMHS Regulation 13(f) &20 (Mechanical Engineering Management Plan) - OHS Regulation, Chapter 5, cl 113-119 (plant item registration) and cl 134-144 (use of plant) - CMHS Regulation cl 77-82 (conveyor belts) - CMHS Regulation cl 86 (conveyor riding) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>5.4 Hazardous Substances</p> <p>5.4.1 <u>Risk assessments</u> There is a documented procedure for assessing risks associated with hazardous substances, including preparing and maintaining records of risk assessments.</p> <p>5.4.2 <u>Register of hazardous substances</u> There a register of all hazardous substances used at the coal operation, including copies of material safety data sheets and reports of risk assessments.</p> <p><i>No other desktop assessment checklist criteria. Audit Checklists will assess application of risk management procedures to relevant hazards and compliance with risk controls specified in OHS Regulation.</i></p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - OHS Regulation, Chapter 6, cl145-147 (definitions and scope) and cl 161-174 (use of hazardous substances). 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>5.5 Dangerous Goods</p> <p>5.5.1 <u>Risk assessments</u> There is a documented procedure for assessing risks associated with dangerous goods, including preparing and maintaining records of risk assessments.</p> <p>5.5.2 <u>Register of dangerous goods</u> There is a register of all dangerous goods stored at the coal operation, including copies of material safety data sheets and reports of risk assessments.</p> <p>5.5.3 <u>Dangerous goods manifest</u> There is a site plan indicating the type, quantity and location of dangerous goods (<u>Note</u>: only required where dangerous goods are stored in quantities specified in OHS Regulation Schedule 5)</p> <p>5.5.4 <u>Notification of Dangerous Goods</u> There is a document procedure for notifying DPI (WorkCover?) when dangerous goods are stored in quantities specified in OHS Regulation Schedule 5.</p> <p>5.5.5 <u>Dangerous goods emergency plan</u> A dangerous goods emergency plan has been prepared indicating procedures in the event of an emergency associated with dangerous goods and submitted to NSW Fire Brigades (<u>Note</u>: only required where dangerous goods are stored in quantities specified in OHS Regulation Schedule 5)</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - OHS Regulation, Chapter 6A, cl 174A-174E (definitions and scope) and cl 174N- 174ZZE (storage and use of dangerous goods). 			

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<p>5.6 Construction Work There is a documented procedure for the management of construction work, including the;-</p> <ul style="list-style-type: none"> - the identification of construction zones; - the selection and appointment of principal contractors (where cost of work exceeds \$250,000 or involves high risk activities); - the development of OHS management plans (where cost of work exceeds \$250,000); - the provision of Safe Work Method Statements by subcontractors (where cost of work exceeds \$250,000 or involves high risk activities). <p><i>No other desktop assessment checklist criteria. Audit Checklists will assess application of risk management procedures to construction work hazards and compliance with risk controls specified in OHS Regulation.</i></p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4801:2001, section 4.4.6 (Hazard identification and risk assessment & control) - OHS Regulation cl 9-16 (general risk management requirements) - OHS Regulation cl 209-261 (OHS management plans, and control of construction work risks) - CMHS Regulation cl 87 (construction zones) - OHS Regulation cl 265-277 & 299-306 (certificates of competency) - OHS Regulation cl 317-340 (licensing & permits for specific demolition and asbestos removal work). 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>5.7 Fitness for Work There is a Fitness for Work Procedure indicating processes for the assessment and control of risks associated with;-</p> <ul style="list-style-type: none"> - drug and alcohol use; and - fatigue. <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4801:2001, section 4.4.6 (Hazard identification and risk assessment & control) - OHS Regulation cl 9-16 (general risk management requirements) - CMHS Regulation cl 148 (Fitness for work program) <p><i>Drafting Note: consider additional criterion on participation in Coal Services health assessment program.</i></p>			
<p>5.8 Surface Premises & Work Environment <i>No desktop assessment checklist criteria. Audit Checklists will assess application of risk management procedures to relevant hazards and compliance with risk controls specified in OHS Regulation.</i></p>			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>5.9 Manual Handling <i>No desktop assessment checklist criteria. Audit Checklists will assess application of risk management procedures to relevant hazards and compliance with risk controls specified in OHS Regulation.</i></p> <p><u>Relevant Legal Provision & Standards</u> - OHS Regulation cl 79-81 (manual handling)</p>			
<p>6. EMERGENCY MANAGEMENT</p>			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>6.1 Emergency Management System</p> <p>6.1.1 <u>Emergency Management System</u> There is an Emergency Management System for the coal operation which includes;-</p> <ul style="list-style-type: none"> - an up-to date plan of the coal operation - an emergency control structure indicating roles and competencies of key personnel - emergency response procedures - internal & external emergency resources (equipment, facilities etc) - provision of information and training of workers - procedures for testing and ensuring the maintenance of the System. <p>6.1.2 <u>Underground escape and rescue plan</u> There is an Escape and rescue plan indicating procedures and equipment to aid the escape and rescue of people underground in the event of emergencies.</p> <p>6.1.3 <u>Underground mine fire fighting plan</u> There is a fire fighting plan indicating positions of fire fighting equipment and installations</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.3.5 (Contingency preparedness & response) - CMHS Act ss44-52 (Emergency Management Plan) - CMHS Regulation cl 45-47, 49-52 (additional EMS content) - CMHS Regulation cl 48 (UG fire fighting plan) - CMHS Regulation 131-133 (UG egress and self-rescuer) - OHS Regulation cl 17 (emergency response) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>6.2 Withdrawal Conditions There are documented Withdrawal Conditions specifying the circumstances under which people are to be withdrawn from all or parts of the coal operation due to risks to health & safety (other than emergencies).</p> <p><u>Relevant Legal Provision & Standards</u> - CMHS Regulation 13(g)</p>			
<p>7. MONITORING</p>			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>7.1 HSMS Monitoring & Measurement</p> <p>7.1.1 <u>Inspection Program</u> There is an Inspection Program which provides for regular inspections of production areas of the coal operations by qualified "mining supervisors", including arrangements for recording and reporting the outcomes of inspections.</p> <p>7.1.2 <u>Testing & Monitoring</u> There are procedures for the inspection, testing, and monitoring of the effectiveness of risk controls are included in HSMS plans and procedures, including:-</p> <ul style="list-style-type: none"> - all Major Hazard Management Plans; - the Mechanical and Electrical Management Engineering Plans; - plans and procedures for the control of other hazards & risks; - the Emergency Management System. <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.4.2 Inspection, Testing and Monitoring - CMHS Regulation cl 15 (inspection arrangements) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>7.2 Health Surveillance There are procedures for the biological monitoring of employees exposed to hazardous and carcinogenic substances (as required under the OHS Regulation).</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.4.2 (Inspection, testing and monitoring) - OHS Regulation clause 165 (health surveillance) <p><i>Drafting Note: could also include health surveillance in relation to other hazards, eg, noise, asbestos, vibration coal dust etc.</i></p>			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>7.3 Incident Investigation & Corrective Action</p> <p>7.3.1 <u>Incident Investigation</u> There are procedures for the investigation of incidents</p> <p>7.3.2 <u>Corrective Action</u> There are procedures for ensuring corrective actions identified in incident investigations, inspections and audits are implemented.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4801:2001, section 4.5.2 (Incident investigation, corrective and preventive action) 			

DESKTOP ASSESSMENT CRITERIA	ASSESSMENT	COAL OPERATION DOCUMENTS REVIEWED	COMMENTS
<p>7.4 HSMS Audit There is a documented program and procedures for periodic audits of the effectiveness of the HSMS.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.4.3 (Audits of the OHSMS) - CMHS Regulation 129-130 (ventilation arrangements) 			
8. REVIEW			
<p>8.1 HSMS Review There are documented procedures for the review of the HSMS in consultation with workers, at least every 3 years and following fatalities, significant incidents and significant changes in operations.</p> <p><u>Relevant Legal Provision & Standards</u></p> <ul style="list-style-type: none"> - AS4804:2001, section 4.5 9 (Review and Improvement) - CMHS Act s28 			