

AUDITOR:

**CORESafety Assessment Protocol**

This assessment tool is to be used to document conformance and/or nonconformance with the **CORE**Safety framework created by the National Mining Association (NMA). **CORE**Safety is a safety and health management system managed through the “Plan, Do, Check, Act” continual improvement principles and is focused on meeting an overall objective of “0:50:5” -- 0 fatalities, 50% reduction in mining related injuries, in 5 years.

**CORESafety Modules:**

1. Leadership Development
2. Responsibility & Accountability
3. Management System Coordination
4. Fatality Prevention/Risk Management
5. Training & Competence
6. Emergency Management
7. Culture Enhancement
8. Collaboration & Communication
9. Reinforcement & Recognition
10. Resources & Planning
11. Change Management
12. Work Procedures & Permits
13. Occupational Health
14. Incident Reporting & Investigation
15. Behavior Optimization
16. Safety & Health Management Assurance
17. Assurance
18. Documentation & Information Management
19. Engineering & Construction
20. Contractor Management & Purchasing

All findings must be included in the assessment report. When the assessment has been completed the participating company should be provided with a summary, general comments and recommendations.

For more information on the CORESafety, see www.coresafety.org.

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| Module | Module Competencies | Observations/Findings | Recommendations |
| Module #1 **Leadership** **Development** | 1. Does a leadership development process currently exist to support the company’s safety objectives (i.e., formal training/class; informal development; coaching and consultations; etc.)?    1. Are all levels of leadership involved in an existing leadership development process (i.e., line supervisors; middle managers; senior managers; etc.)? 2. Are desired leadership competencies identified?    1. Is 360o feedback used to determine how managers compare with defined leadership competencies? 3. Have managers who participate in leadership development established a personal development plan?    1. Are development plans used in performance management programs? |  |  |
| **Module #2** Responsibility& Accountability | 1. Have the health and safety goals and objectives for the company been clearly defined and a process established, including timeframes, for meeting objectives?    1. Has this information been communicated to all employees? 2. Do written responsibilities and accountabilities for all functions (and specific individuals, as appropriate) exist relating to the development, implementation, and maintenance of the company’s safety and health management system?    1. Is there a process to ensure all employees, including management, have committed to the accomplishment of the company’s safety and health management policy?    2. Has a commitment to CORESafety been confirmed by the signature of your company’s highest ranking officer on the NMA CORESafety Pledge? 3. Is there a management-led process to assess progress towards safety and health management responsibilities and the application of positive and negative consequences, where appropriate? |  |  |
| **Module #3** Management System Coordination | 1. Does a company safety and health management policy exists and has it been communicated to all employees, contractors, and other stakeholders? 2. Has a “System Leader” (one or more senior managers) been formally designated with responsibility for the development, implementation, operations, and maintenance of the company’s SHMS? 3. Does a written annual and site specific plan exist for developing, implementing, and verifying the SHMS?    1. Have necessary financial and time resources been defined and budgeted for to develop and maintain the SHMS?    2. Is the SHMS system integrated into other company systems (i.e.; operations, maintenance, HR, purchasing, etc.)?    3. Is there a document retention plan in effect to maintain documentation related to the system? 4. Is there a process to establish, review, and continually improve performance that affects the goals and objectives of the SHMS? |  |  |
| **Module #4**  Fatality Prevention/Risk Management | 1. Does an up-to-date registry of site-specific high risk activities exist for all divisions and business units? 2. Are high risk work activities assessed using risk assessment tools (including systematic job and task (SJT), formal, process, and equipment (FPE), and personal and pre-task (PPT)? 3. Has a risk matrix tool (likelihood and consequences) been used to define and document acceptable levels of risk for different work activities? 4. Does a management policy exist that applies the “hierarchy of controls” to hazard control opportunities and obligations?    1. Are controls verified for effectiveness? 5. Are all affected employees educated, trained, and competent relevant to high risk procedures? 6. Do regular audits of high risk procedures take place to ensure full compliance and effectiveness? |  |  |
| **Module #5**  Training & Competence | 1. Is a needs assessment conducted to define skill level and other requirements for competency required to perform tasks?    1. Is demonstration part of the task-training program to ensure employees are competent for assigned tasks? 2. Do all new or transferred employees, visitors, contractors, and venders receive site-based safety and health orientation and other appropriate training before being permitted to work onsite? 3. Is train-the-trainer development provided to those who develop and deliver S&H training? 4. Does ongoing and refresher training combine discretionary with regulatory training (i.e., combining company orientation with new miner/employee training)? |  |  |
| **Module #6** Emergency Management | 1. Does a site-specific emergency response plan exist based on a critical assessment of potential emergency scenarios and their impacts?    1. Are all potentially affected personnel aware of and trained according to their role and responsibilities in an emergency? 2. Are periodic tests conducted of the company’s emergencyresponse procedures in coordination with federal, state and local emergency personnel, including evaluations of the adequacy and appropriateness of emergency supplies and communications systems? 3. Are emergency response drills conducted with sufficient frequency to assure confidence in the event of a real emergency? |  |  |
| **Module #7**  Culture Enhancement | 1. Has a confidential survey of employee and contractor perceptions of health and safety at the company been conducted?    1. Is there a plan to verify culture improvement by re-conducting the culture perception survey at appropriate intervals? 2. Does a management-led culture improvement plan exist to improve identified safety culture weaknesses? |  |  |
| **Module #8** Collaboration & Communication | 1. Is there a process to communicate critical S&H information to all employees and other stakeholders?    1. Does a visual component of the communication process exist and is it reviewed to ensure effectiveness? 2. Does a process exist to address safety and health suggestions, concerns, and complaints in a manner that protects the source from discrimination? 3. Are employees included in proactive management activities that drive safety and health performance (i.e., hazard identification, risk assessment, incident investigation, implementation and improvement of the SHMS, etc.)? 4. Are safety and health committees or teams established at all appropriate levels, and do they include management and worker representatives? 5. Is safety and health management data and other information used for analysis and internal communication? |  |  |
| **Module #9** Reinforcement & Recognition | 1. Does a formal process exist to recognize and reinforce employee participation in proactive activities and to reinforce safe behaviors? 2. Do managers/leaders conduct one-on-one interactions with workers to build relationships and provide positive reinforcement? |  |  |
| **Module #10** Resources & Planning | 1. Do hiring standards describe the physical demands of each job and verify candidates can perform the work before hiring?    1. Is there a company-specific D&A policy and testing procedure in place?    2. Does a formal safe work policy exist as a condition of employment and are consequences defined for failing to do so? 2. Are behavior-based questions used in the hiring process to measure the alignment of candidates’ personal safety and health values with those of the company? 3. Is the collective bargaining agreement aligned with the company’s safety and health policies (i.e., D&A testing, health monitoring, etc.)? 4. Are safety and health standards integrated into succession planning? 5. Is there an employee assimilation process to ensure the safe and healthy integration of new employees into the work environment? |  |  |
| **Module #11**  Change Management | 1. Does a formal process exist to identify hazards, assess, and prioritize risks and implement effective controls whenever changes are being introduced into any aspect of mining, including development, operations, maintenance, and reclamation practices?    1. Does a change management procedure exist that defines what change requires management review and who is authorized to approve change actions?    2. Is a review process in place to verify that change management actions have been completed and that they do not result in new, negative risk? 2. Are change management decisions documented for tracking and verification and future reference? 3. Are pre-start up safety reviews conducted on all new operations, expansions, processing facilities, major mobile and fixed equipment, and control systems? |  |  |
| **Module #12**  Work Procedures & Permits | 1. Are standard operating procedures (SOPs) developed for routine and repeated non-routine work?    1. Are SOPs used in on-the-job training, competency verifications, and audited against by supervisors?    2. Do more detailed SOPs exist for high-risk tasks that warrant the highest level of control to minimize risk and high consequence? 2. Are risk-specific and general work permit programs in place to cover all high risk work and include sign-off authority and operational limitations? 3. Is there a process in place to train contractors and vendors and ensure compliance with the work permit and safe work procedure requirements? |  |  |
| **Module #13** Occupational Health | 1. Have qualitative and quantitative risk (exposure) assessments been conducted to identify occupational health hazards and associated risks?    1. Has the hierarchy of controls been applied to determine the degree of control(s) necessary to address occupational health hazards? 2. Is there a formal wellness program in place that provides education to employees about ways to improve general health risk factors (both on and off the job)?    1. Are employee general health risks assessed as relevant to the occupational setting (i.e., blood pressure, weight, flexibility, strength, etc.)?    2. Is the confidentiality of employees’ medical information assured according to legal requirements? 3. Does an occupational hygiene exposure assessment system exist that assesses and applies appropriate actions to worker health risks?    1. Are exposure assessment results communicated to affected employees effectively? 4. Is occupational health management data documented for compliance, analysis, and verification purposes and future reference? |  |  |
| **Module #14**  Incident Reporting & Investigation | 1. Does an ongoing process exist to identify and report safety and health incidents relating to company operations/activities?    1. Do all personnel understand the definition of a recordable/ reportable incident and their obligation to comply with company and regulatory requirements?    2. Is a representative sample of company personnel trained in effective incident investigation and root cause analysis? 2. Does the incident investigation process focus on the following?    1. Identifying root causes    2. Minimizing negative impacts    3. Ensuring corrective action    4. Communicating key findings to internal and external stakeholders 3. Is a root cause analysis procedure integrated with the structure of the SHMS?    1. Is root cause data compiled and shared with management for their review of the SHMS? |  |  |
| **Module #15** Behavior Optimization | 1. Are employees educated about the causes of safe and unsafe behavior? 2. Does a workplace observation and feedback process exist that includes both behaviors and work processes?    1. Is the process employee-driven and confidential?    2. Is there a review process in place to evaluate the quality of observations and feedback? |  |  |
| **Module #16**  Safety & Health Management Assurance | 1. Does a process exist to assess compliance with applicable legal and other S&H management requirements?    1. Is a Plan-Do-Check-Act continuous improvement cycle used to identify and assess compliance with applicable legal and other requirements? |  |  |
| **Module # 17** Assurance | 1. Are lagging and leading indicators used to measure system and S&H management performance?    1. Does senior management participate in this performance assurance process?    2. Are all non-conformance issues found addressed with appropriate actions? 2. Are internal audits conducted by personnel with adequate experience and knowledge of SHMS audit methods and processes? 3. Are periodic external audits conducted by a competent third party at appropriate intervals to measure the effectiveness of the SHMS and ensure continuous improvement? |  |  |
| **Module #18** Documentation & Information Management | 1. Is a documentation retention process in place that ensures records are legible, linked to activities from which they derive, readily retrievable, and physically protected?    1. Are documents retained according to regulatory requirements? 2. Are performance trends determined by identifying common or significant events and patterns in documentation (i.e., root causes, inspection records, audit action items, behavior observations, etc.)? |  |  |
| **Module #19** Engineering & Construction | 1. Is safety and health management integrated into project planning processes from the inception?    1. Are deviations from standard and accepted design reviewed and approved by senior management and documented with adequate justification details? 2. Do design practices strive to eliminate or minimize risk at its source, including for workplaces, processes, installations, fixed and mobile equipment, operations and work organization? 3. Are S&H aspects of construction work conducted on company property required to conform to the company’s SHMS standards and expectations? 4. Are pre-start up safety reviews conducted on all new operations, mines, processing facilities, major mobile and fixed equipment, and control systems? |  |  |
| **Module #20** Contractor Management & Purchasing | 1. Do all company-sponsored project proposals and/or requests for proposals included S&H management criteria?    1. Are all operational and project contractors pre-screened for acceptable S&H management experience and qualifications? 2. Are all contractors and third parties made aware of S&H management requirements and expectations, including emergency response plans and reporting obligations? 3. Is a safe procurement process integrated into the company’s risk management function? |  |  |