CORESafety 10-Module Gap Assessment

Purpose: Use this tool before an audit to determine whether your company has a process, practice, or functionally equivalent method to meet each CORESafety expectation. The G/I/A field was added as an organizing lens, not a maturity score.

G/I/A lens:

- G = Governance (policy, ownership, accountability, standards) – i.e., defines what must be established
- I = Implementation (procedures, communication, training, controls, work execution) – i.e., defines what people must do or use
- A = Assurance (verification, measurement, audits, reviews, corrective action) – i.e., defines what/how you verify it's working

System Gap column:

- 1 = No process/practice in place; management attention required.
- 2 = Functionally equivalent process/practice exists but may need revision, better implementation, stronger evidence, or clearer communication.
- N/A = No gap identified based on evidence reviewed.

Module 1: Leadership & Leadership Development

Expectation	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
1.1	G	Has the CEO signed the NMA CORESafety Pledge, and is the signature document updated at least every three years or whenever a CEO change occurs?				
1.2	G	Are leadership competencies defined, communicated, understood, and measured?				
1.3	A	Are all people in leadership roles assessed for leadership competencies at company-defined intervals and provided feedback for improvement?				

Expectation	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
1.4	I	Does a leadership development program exist that supports employee development and succession planning?				
1.5	I	Do all leaders have a personal development plan that is reviewed and updated at company-defined intervals?				
1.6*	I	Is a hiring process defined and followed that includes standards and physical demands of each job? (*Listed as 1.5 in handbook.)				

Module 2: Management Systems Integration and Coordination

Expectation	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
2.1	G	Has the organization appointed an executive sponsor/owner for the SHMS, and has each site designated the most senior person as responsible for implementation and conformance?				
2.2	G	Is there a company safety, health, and well-being policy that is accessible and communicated to all employees?				
2.3	A	Is a document retention schedule defined, documented, and followed?				
2.4	I	Are all permits, procedures, and key processes documented and available to the workforce?				

Module 3: Risk Management

Expectation	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
3.1	I	Is a risk management process implemented that identifies hazards; assesses, prioritizes, and controls risks; and documents potentially fatal hazards, including process safety hazards, on a risk register?				
3.2	I	Does each location have a task-based or front-line hazard identification and risk assessment tool that helps workers identify and control task risks?				
3.3	A	Are risk reviews completed at least annually, or whenever risks or controls change, for scenarios with potentially fatal consequences or process safety risks?				
3.4	G	Are all risk assessment tools defined, documented, and available?				
3.5	A	Is there a defined process to audit high-risk tasks to ensure compliance with procedures or controls?				
3.6	G	Has the organization defined and documented a manageable level of risk, including evaluation and approval by appropriate management levels?				
3.7	A	Where significant process safety risks exist, has a process safety baseline assessment been completed?				
3.8	I	Are Emergency Response Plans available for fatalities, multiple injuries, natural disasters, and site-specific potential emergencies?				
3.9	I	Are evacuation routes and muster points established, posted, communicated, and understood?				

Expectation	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
3.10	I	Are people and equipment identified, obtained/designated, and maintained to respond to potential emergencies, including consideration of mutual aid agreements?				
3.11	I	Are communications and warning systems, with associated procedures, established to support response plans?				
3.12	I	Is emergency preparedness and response training provided to all people for likely scenarios and protective actions?				
3.13	A	Are people with assigned ERP roles and responsibilities trained and verified as competent to perform their roles?				
3.14	A	Are periodic drills and exercises conducted to assess emergency preparedness and response procedures, with after-action reports considered during reviews?				

Module 4: Training and Education

Expectation	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
4.1	G	Does each company or location have a training plan that details the amount and type of training required by role?				
4.2	I	Is on-the-job training conducted for new equipment and provided by certified or competent people?				
4.3	A	Are training records documented?				

Expectation	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
4.4	A	Is there a process to verify every operator and maintainer is competent before working without full supervision, and are trainers capable and authorized?				
4.5	I	Do new or transferred employees, visitors, contractors, and vendors receive site-based safety and health orientation and other appropriate training before working onsite?				
4.6	I	Are temporary or casual onsite workers provided the same training and safety and health equipment as employees?				
4.7	I	Does the organization maintain an employee orientation program to assimilate new employees?				

Module 5: Organizational Safety Culture

Expectation	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
5.1	G	Is there a defined set of company values that is communicated to the workforce and visibly supported?				
5.2	A	Are confidential surveys *or other assessments* conducted periodically, and repeated on a defined schedule, to monitor safety culture perceptions, strengths, and weaknesses?				
5.3	I	Are results/information analyzed and used to develop, maintain, and follow a culture improvement plan?				
5.4	I	Is there a process that allows anonymous reporting of hazards, close calls, or other safety and health issues?				

Expectation	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
5.5	I	Is there a formal but transparent process to reinforce and recognize safer and healthier workforce actions?				
5.6	G	Has the organization committed to uphold a workplace free from harassment?				

Module 6: Occupational Health and Well-being

Expectation	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
6.1	A	Are representative qualitative and quantitative exposure assessments conducted to characterize occupational health hazards and associated risks?				
6.2	I	Are sampling or exposure assessment results communicated to affected employees in a timely and understandable way?				
6.3	I	When sampling or exposure assessments show elevated exposure, are additional or improved controls implemented?				
6.4	A	Are sampling or exposure assessments documented for compliance, analysis, and verification purposes?				
6.5	G	Is workforce medical confidentiality controlled and protected at all times?				
6.6	I	Is there a process to assess the workforce's fitness for duty?				
6.7	I	Are mental health awareness education, training, and ongoing resources available and periodically provided to all employees?				

Expectation	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
6.8	I	Does an employee assistance program exist and is the method for obtaining help provided to all employees?				
6.9	I	Is a return-to-work process defined and followed for people returning after a specified length or type of absence?				
6.10	G	Does a company-specific drug and alcohol policy and testing procedure exist and is it followed?				

Module 7: Management of Change

Expectation #	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
7.1	G	Does a management of change process exist that defines significant change, who must follow it, and includes reason for change, risk assessment, review, communication, approval, implementation/documentation updates, and post-change review?				
7.2	I	Are management of change processes communicated so all potentially affected parties understand their obligations?				
7.3	A	Are management of change decisions documented for tracking, verification, and reference?				
7.4	A	Are pre-startup safety reviews conducted on new operations, expansions, processing facilities, major mobile and fixed equipment, and control systems?				
7.5	I	Does construction work conducted on organization property conform to the organization's SHMS standards and expectations?				

Expectation #	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
7.6	A	Are pre-startup safety reviews conducted on all new operations, mines, processing facilities, major mobile and fixed equipment, and control systems?				

Module 8: Near Miss and Incident Reporting/Investigation

Expectation #	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
8.1	I	Is the workforce aware of and following the organization and regulatory definitions of recordable/reportable incidents and their obligation to report?				
8.2	I	Are all incidents, including near misses with significant potential, investigated to identify root causes and prevention steps?				
8.3	I	Are assigned investigators trained in effective incident investigation and root cause analysis?				
8.4	I	Are lessons learned communicated to all impacted personnel?				
8.5	A	Are leading indicators periodically reviewed to help drive improvement?				

Module 9: Operational Controls and Contract Management

Expectation #	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
9.1	G	Has the organization defined criteria for what requires an SOP or other operating, maintenance, or field risk assessment tool, and documented procedures and standards to meet those criteria?				
9.2	A	Are documented procedures and standards used as the basis for on-the-job training and competency verification, and audited by an assigned individual?				
9.3	I	Are documented procedures and standards known and followed by all people performing the work, including contractors?				
9.4	I	Do sites have permits for high-risk work that include risk assessment and sign-off authority?				
9.5	G	Has the organization developed and followed a document management process that includes revision control, approval, and retention?				
9.6	I	Are documents readily available, known, and followed?				
9.7	G	Do contractors' bid documents include a general safety and health plan identifying significant hazards and the controls to manage them, with the cost of the plan detailed in the bid?				
9.8	A	Does the bid assessment consider the contractor's ability to complete the scope without adverse safety and health impacts?				
9.9	I	Before onsite contract work begins, do contractor personnel receive orientation and safety and health induction training, including emergency response and incident reporting?				
9.10	G	Is a competent mine operator employee designated as Contract Owner for each onsite contractor, including responsibility for monitoring performance and approving subcontractors?				

Expectation #	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
9.11	A	Is there a process to ensure contractor tools and equipment are inspected and safe, and that chemicals/materials brought onsite are approved by the Contract Owner?				
9.12	G	Do all engineering, design, and construction activities meet or exceed local legislation and regulatory requirements?				
9.13	G	Is there a list of critical structures, with competent-person inspections on a defined frequency, criteria for degradation, and documented reports with repair priorities and actions taken?				
9.14	A	Are critical structures inspected by a competent person on a defined frequency?				
9.15	A	Do inspection criteria for critical structures consider forms of degradation such as corrosion, vibration, impact damage, earth movement, and storm damage?				
9.16	A	Are documented reports produced that identify needed repairs, assign priorities, and capture actions taken?				

Module 10: Safety and Health Management Assurance

Expectation #	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
10.1	A	Does leadership periodically assess conformance with SHMS requirements, including applicable legal and regulatory requirements?				
10.2	A	Is safety and health performance measured and shared with the workforce using both leading and lagging indicators?				

Expectation #	G/I/A	Assessment Question	Process Exists? (Y / N / Partial)	System Gap (1 / 2 / N/A)	Evidence Reviewed / Available	Comments on Gap
10.3	A	Are internal audits conducted by competent personnel, and are external audits conducted by an NMA-approved auditor at least every three years for certification?				
10.4	A	Are audit gaps understood, documented, and addressed through a timely action plan?				
10.5	G	Does a variance process exist when a standard cannot be conformed to, with senior management review and approval and documented justification?				