



Department of **Local Government,**
Industry Regulation and Safety



SELF-ASSESSMENT

Mine safety management system

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Reference

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Introduction	2
Purpose of this self-assessment	2
Legal duties	3
Using the self-assessment	3
Who should complete the self-assessment	4
Collecting evidence of compliance	4
Rating the level of compliance	5
Formulating a corrective action plan	5
MSMS self-assessment	6
Appendix 1 Corrective action plan	23

Introduction

Purpose of this self-assessment

This self-assessment has been developed to assist mine operators to determine whether their mine safety management system (MSMS) is compliant with the *Work Health and Safety Act 2020* (the WHS Act) and *Work Health and Safety (Mines) Regulations 2022* (the WHS Mines Regulations).

Mine operators are required to understand their duties under this legislation. For further information, see the [Mine safety management system: Code of practice](#) and [Content of the mine safety management system: Information sheet](#).

WHS Mines Regulations r. 5B

Meaning of mining operations

WHS Mines Regulations r. 5C

Meaning of mine operator

WHS Mines Regulations r. 617

Managing risks to health and safety

WHS Mines Regulations r. 621

Duty to establish and implement mine safety management system

WHS Mines Regulations r. 621A

General requirements for mine safety management system

Legal duties

The WHS Act requires all persons conducting a business or undertaking (PCBUs), including mine operators, to ensure, so far as is reasonably practicable, that the health and safety of workers and other persons is not put at risk from any work carried out as part of the business or undertaking.

A mine operator also has duties under the WHS Mines Regulations. These duties include establishing and implementing the MSMS before commencing mining operations. The MSMS is required to be established and implemented for all mining operations, including exploration operations, whether they are new or existing.

The MSMS is a framework that brings together the mine's policies, systems, procedures and plans to enable a mine operator to follow a systematic, risk-based approach to work health and safety. It covers all aspects of health and safety risk management in relation to the operation of the mine, including any documented contractor health and safety management plan that has been accepted by the mine operator.

The structure and detail of the MSMS will depend on the size, location, nature, complexity, stage, and associated risks of the mining operation it is designed to cover. The MSMS should cover the entire lifecycle of a mine site, including planning, design, construction, commissioning, operation, maintenance and closure.

Although there are specific regulations that outline the prescribed content of the MSMS, these are considered the minimum requirements that need to be addressed. The MSMS does not remove the mine operator's duty to comply with other elements of the WHS Act and the WHS Mines Regulations.

Using the self-assessment

This self-assessment should be used in conjunction with the WHS Mines Regulations, especially r. 621 to r. 625A, and the [*Mine safety management system: Code of practice*](#).

Mine operators are encouraged to undertake their evaluation process with this self-assessment before using subordinate tools for principal mining hazard management, other operational risks with serious injury or harm potential, and tools designed for administrative compliance.

The self-assessment sets out areas for mine operators to consider when reviewing, maintaining or auditing their MSMS. This self-assessment can be used to assess the MSMS against minimum compliance requirements as well as best practice, to identify strengths and opportunities for improvement.

The self-assessment can be completed as a whole, or sections of the assessment may be completed as separate components. The self-assessment is not exhaustive. Mine operators may wish to customise the assessment to their workplace by including additional areas or sections.

Who should complete the self-assessment

It is necessary that those undertaking the self-assessment have access to information about the MSMS, work environment and work processes, and have knowledge and understanding of the mine operations.

As this self-assessment requires access to information from different business areas, input from operational groups and subject matter experts (e.g. work health and safety advisors, health and safety representatives (HSRs), workers, statutory supervisors, and senior management) is recommended. As with the management of any safety process, expert advice should be sought when the limits of internal expertise have been reached.

The self-assessment process

There are three steps in completing the self-assessment:

1. collecting evidence of compliance
2. rating the level of compliance
3. formulating a corrective action plan.

Collecting evidence of compliance

Collecting evidence for this self-assessment is similar to collecting evidence for other assessments that focus on process safety, and work health and safety. Different types of evidence may be required to demonstrate compliance or implementation. There are three ways to collect evidence for this self-assessment:

- **interviewing people** including managers, supervisors, workers, contractors and HSRs
- **reviewing documents** including operating manuals, policies, plans, and procedures; records (e.g. work instructions, completed forms and permits, reports, registers); and reports or other data (e.g. risk assessments, surveys, functional task analyses)
- **observing work tasks** being performed and conditions within the workplace (take photographs, where possible, to use as a record).

Evidence should be collected from all three sources to verify findings.

Collecting evidence to complete the self-assessment will generally require an examination of the following areas:

Category	Area	Examples
Systems of production	Methods or systems of work	How work is designed and managed, including risk assessment processes and maintenance of the MSMS.
	Environment where the work is conducted	Above ground or underground activities that are part of the mining operation but outside main operational areas, such as mobilisations to and from site and the changing conditions of that environment such as weather events.
	Plant, equipment, tools and technologies	Machinery, control panels, personal protective equipment.
	Human resourcing	Competencies, supervision, coverage, statutory positions, internal subject matter expertise.

Category	Area	Examples
Organisational factors	Leadership commitment	Sufficient resources (e.g. time, finances, people) and support allocated for health and safety management (including HSRs).
	Communication	'Top-down' communication, such as policy and strategy. 'Bottom-up' communication, such as worker hazard and incident reports; deviations from normal conditions; management of change; feedback between management and workers; consultation with stakeholders including contractors.
	Stakeholders	External and internal stakeholders and their impact on the mine operation's risk profile and its capacity to manage those risks to worker health and safety.

Rating the level of compliance

Rating	Description
Compliant (C)	There is sufficient and appropriate evidence to demonstrate the compliance standard has been met and is within the scope of the self-assessment.
Non-compliant (NC)	Clear evidence has been collected to demonstrate the compliance standard has not been met but is within the scope of the self-assessment.
Not determined (ND)	The necessary evidence has not been collected to enable an assessment of a compliance standard to be made within the scope of the self-assessment. There may be various reasons why the self-assessment team could not collect the required information, including: <ul style="list-style-type: none"> insufficient information to enable an assessment of compliance to be made the wording of the criteria meant that no evidence could be gathered, or it was too difficult to gather the evidence.
Not applicable (NA)	An element in the compliance standard was not assessed within the scope of the self-assessment given that it was not applicable because the criteria for a particular compliance standard is not present at the mine (e.g. requirement for an underground ventilation plan is only applicable to underground mining).

The intent of the compliance standards and greater detail for the collection of evidence is provided in each section of the self-assessment table on the following page. This also includes the main legislative references.

Formulating a corrective action plan

After completing the self-assessment table, a corrective action plan should be formulated and endorsed by senior leadership. An example of a corrective action plan template is provided at the end of this self-assessment.

The mine operator should ensure that deficiencies are captured, actioned, and tracked to closeout, and that controls are verified as effective in managing health and safety risks. Points rated 'not determined' should also be included in the corrective action plan to ensure that all applicable parts of the assessment are completed, and all deficiencies are identified.

MSMS self-assessment

Compliance standard	Compliance rating	Compliance score	Evidence sighted/ comments
1 MSMS development			
1.1 The scope to which the MSMS applies is defined in accordance with the meaning of mining operation.	<ul style="list-style-type: none"> Verify that the scope of the MSMS has been determined to include applicable operations and scopes of work. <p>See r. 5B for the meaning of mining operations.</p>	C NC ND	
1.2 The mine operator is identified.	<ul style="list-style-type: none"> Verify that the MSMS identifies the name of the mine operator. <p>See r. 5C for the meaning of mine operator.</p>	C NC ND	
1.3 The mining operations are described.	<ul style="list-style-type: none"> Verify that the MSMS includes a description of the mining operations. <p>See r. 622(1)(b).</p>	C NC ND	
1.4 The mine operator has addressed the roles and responsibilities of other PCBU's that operate under the MSMS and that have health and safety duties.	<ul style="list-style-type: none"> Verify that the MSMS addresses roles and responsibilities of other PCBU's in accordance with agreement or arrangements made. <p>See s. 16(3) and r. 622(1)(f).</p>	C NC ND	
1.5 Development of the MSMS involved consultation with HSRs and workers, so far as is reasonably practicable.	<ul style="list-style-type: none"> Verify whether consultation was completed for the purpose of developing the MSMS. <p>See r. 625A.</p> <p><i>Note: If the MSMS was established without consultation in accordance with s. 47 to s. 49 of the WHS Act, arrangements must be made for this consultation to occur within 12 months of establishment. See the MSMS continual improvement section of this assessment.</i></p>	C NC ND	
1.6 The MSMS has been prepared and implemented at the mine.	<ul style="list-style-type: none"> Verify that a documented, comprehensive, and integrated MSMS has been implemented for the mine that reflects the nature, complexity and location of the mine, and risks associated with the operations. <p>See r. 621(7), r. 621A(1) and r. 621A(2).</p>	C NC ND	

Compliance standard	Compliance rating	Compliance score	Evidence sighted/ comments
2 Health and safety policy			
2.1 A health and safety policy is in place.	<ul style="list-style-type: none"> • View the health and safety policy. See r. 622(1)(a). It is good practice to ensure: <ul style="list-style-type: none"> – a copy of the health and safety policy issued by the current mine operator is displayed in a prominent position at the mine – workers and contractors understand the key elements and objectives of the health and safety policy and their role in achieving this – content of the policy has a commitment to improvement and how it will be achieved, including aims for safe operations – the health and safety policy is communicated through inductions and refresher sessions to all workers and contractors and induction records are maintained – policy includes responsibilities and actions if deficiencies are observed or incidents occur. 	C NC ND	
2.2 The health and safety policy includes broad aims in relation to the safe operation of the mine.	<ul style="list-style-type: none"> • Verify that the health and safety policy includes broad aims. See r. 622(1)(a). 	C NC ND	
3 Risk management process			
3.1 Where practicable, risks have been eliminated. Where elimination is not practicable, effective control measures have been implemented to minimise risks so far as is reasonably practicable.	<ul style="list-style-type: none"> • Verify the MSMS sets out arrangements for managing risks to health and safety in accordance with Part 3.1 and r. 617 and r. 622(1)(c). • Verify that the mine operator's risk management system is compliant with specific requirements in accordance with r. 33. 	C NC ND	

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
<p>3.2 The risk assessment process considers the:</p> <ul style="list-style-type: none"> • nature of the hazard • likelihood of the hazard causing physical injury or harm to health or psychosocial harm • possible severity of the injury or harm to health • state of knowledge about the hazard or risk, and how to eliminate or minimise it • the availability of alternative means of mitigating the hazard and risk • the cost of various means of mitigating the hazard and risk that are proportionate to the risk. 	<ul style="list-style-type: none"> • Verify that a hazard and risk assessment and risk management process is in place, referenced within the MSMS and is being followed to ensure: <ul style="list-style-type: none"> – risks are controlled so far as is reasonably practicable using hierarchy of control measures. <p>See r. 34 to r. 36.</p> <ul style="list-style-type: none"> – psychosocial risks are controlled so far as is reasonably practicable in accordance with r. 55C, and r. 33 to r. 35. 	C		
		NC		
		ND		
<p>3.3 All risks with the potential to cause fatalities, serious injuries or illnesses have been addressed and communicated.</p>	<ul style="list-style-type: none"> • Verify that risks with the potential to cause fatalities, serious injuries and illnesses have been identified, risk assessed, and controls implemented; and that such risks and controls have been clearly communicated to workers. <p>See s. 19(3)(f), r. 39, and r. 675B.</p>	C		
		NC		
		ND		
<p>3.4 Selected controls are effective, and this is ensured by actively monitoring performance.</p>	<ul style="list-style-type: none"> • Verify that the mine operator has a regular and ongoing control verification process in place that monitors performance of controls to ensure these are effective. <p>See r. 37, r. 38, r. 618 and r. 619.</p> <ul style="list-style-type: none"> • Ensure there are processes described in the MSMS for the identification of new and emerging hazards and risks. <p>See r. 34</p>	C		
		NC		
		ND		

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
3.5 Risk assessments are conducted by a person who is competent to conduct the particular risk assessment.	<ul style="list-style-type: none"> Verify that risk assessments are conducted by a person who is competent to do so. <p>See r. 617(2).</p> <p>It is good practice to ensure the MSMS defines:</p> <ul style="list-style-type: none"> how risk assessments will be conducted, who is to be involved and the approval process for risk tolerability the risk tolerance of the organisation and who is authorised to allow high risk activities to proceed. 	C NC ND		
4 Principal mining hazard management plans				
4.1 Principal mining hazards (PMHs) have been identified and risk assessed by competent persons.	<ul style="list-style-type: none"> Verify that all PMHs at the mine have been identified. Ensure each PMH has been risk assessed by a competent person through a comprehensive, systematic investigation and analysis that analyses all aspects of risk to health and safety associated with the PMH. Ensure that each PMH has been considered individually and cumulatively with other hazards at the mine. <p>See r. 617 and r. 627.</p>	C NC ND		
4.2 A principal mining hazard management plan (PMHMP) has been prepared for each PMH that has been identified at the mine.	<ul style="list-style-type: none"> Verify that the MSMS incorporates or references the principal mining hazard management plans and procedures. <p>See r. 622(1)(d)(i).</p> <ul style="list-style-type: none"> Verify that PMHMP have been developed in accordance with r. 628, and if applicable to the PMH, Schedule 19 of the WHS Mines Regulations. 	C NC ND		
4.3 There are records for any changes to the MSMS and any effect on the PMHMP.	<ul style="list-style-type: none"> Verify that revisions to the PMHMP, including any revision of a risk assessment, has been recorded in writing in the plan. <p>See r. 629.</p>	C NC ND		
5 Operational risk management				
5.1 The mine operator has a radiation management plan (RMP) that is in place and authorised, if applicable.	<ul style="list-style-type: none"> Verify that an approved radiation management plan and radioactive waste management plan are in place if required. <p>See r. 622(1)(d)(ii), r. 641N, and r. 641O.</p>	C NC ND NA		

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
5.2 An underground ventilation control plan (UVCP) and ventilation plan have been implemented to ensure a safe mine atmosphere, if applicable.	<ul style="list-style-type: none"> Verify the underground ventilation control plan is in place if required and was developed and monitored by the statutory underground ventilation officer. See r. 622(1)(d)(iii), r. 654 and Schedule 26 cl.11(2)(a)(iii).	C NC ND NA		
5.3 A health management plan, which identifies all health hazards that may adversely affect the health of any worker or other person at the mine, has been implemented.	<ul style="list-style-type: none"> Verify that a health management plan has been developed for the mine and has been submitted into the Safety Regulation System (SRS). See r. 622(1)(d)(v) and r. 675EA.	C NC ND		
5.4 An asbestos management plan has been implemented for the mine, if applicable.	<ul style="list-style-type: none"> Verify that an asbestos management plan has been developed for the mine, if required. See r. 429 and r. 432.	C NC ND		
5.5 If construction work is to be undertaken at the mine, the principal contractor's WHS management plan has been reviewed.	<ul style="list-style-type: none"> Verify that the mine operator has reviewed the principal contractor's WHS management plan if construction work will be undertaken at the mine. See r. 309 to r. 311 for information about the plan preparation, communication and review.	C NC ND NA		
6 Management and supervisory structure				
6.1 The management and supervisory structure of those responsible for the health and safety of workers and others at the mine is documented.	<ul style="list-style-type: none"> Verify that the MSMS documents the management and supervisory structure for the management of work health and safety at the mine. See r. 622(1)(e). <ul style="list-style-type: none"> Verify that processes are in place that ensure officers have been informed of their status and duties under the WHS Act. See s. 4A (for definition of officer), s. 5 (for definition of PCBU) and s. 19 to s. 29 (for duties of PCBU).	C NC ND		

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
	<ul style="list-style-type: none"> Verify that systems are in place to support officers and duty holders to take reasonable steps under due diligence requirements which include: <ul style="list-style-type: none"> up-to-date knowledge of work health and safety matters understanding of hazards and risks associated with operations using appropriate resources to eliminate or minimise risks receiving information regarding incidents, hazards and risks and can respond implementing processes for complying with any duty or obligation of the PCBU. <p>See s. 20 to s. 27.</p>			
6.2 The number of managerial and supervisory roles required, based upon the size, nature, complexities, and span of control of the operation, have been assessed and are in place.	<ul style="list-style-type: none"> Verify that arrangements are in place to ensure temporary and permanent absences of people in critical positions or key statutory positions are addressed. <p>See r. 622(1)(e)(i) and Part 10.7A.</p> <ul style="list-style-type: none"> Verify that a list of statutory appointed persons is entered into the mine record (r. 675Y, r. 675ZW), and key statutory positions are communicated through SRS. Sample a selection of appointment letters to verify appointment is in writing and accepted by appointee. <p>See r. 622(1)(e) and Part 10.7A.</p>	C NC ND		
6.3 The level of supervision is appropriate to the mine size and includes the number of statutory supervisors required and supervisory oversight needed. Supervision requirements are determined by risk assessment.	<ul style="list-style-type: none"> Verify that statutory supervisors have been appointed for the specified areas as a minimum and risk assessments have also been conducted on any other areas where it has been determined that such appointed persons are not required. Confirm competence and training of statutory supervisors in risk management units of competency and law exam. <p>See r. 622(1)(e)(iii), Part 10.7A and Schedule 26 cl.3.</p> <ul style="list-style-type: none"> Verify that all statutory appointments meet the eligibility criteria defined in Schedule 26 cl.3 of the WHS Mines Regulations. <p>See Part 10.7A.</p>	C NC ND		

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
6.4 There are arrangements in place for the effective communication of relevant information across shifts by workers, their supervisors and other relevant persons.	<ul style="list-style-type: none"> Verify the written handover process and view examples of the handover and the communication to the incoming workers. See r. 630, and Part 10.7A.	C NC ND		
7 Workplace monitoring and inspections				
7.1 Arrangements for workplace monitoring and inspections of the work areas, workplace and equipment within the workplace at a mine are in place. Monitoring and inspections are to be carried out by an appointed person or appointed supervisor of the workplace and equipment, by a competent person.	<ul style="list-style-type: none"> Verify that workplace inspections (covering matters including the physical site, work environment, activities carried out, plant, and potential hazards) are regularly conducted in accordance with documented arrangements. See r. 634A(1) and r. 634A(2). <ul style="list-style-type: none"> Verify that inspection and testing is carried out in accordance with manufacturer and competent person's recommendations. See r. 150 (electrical equipment), r. 213 (plant), r. 224 (pressure equipment), r. 225 (scaffolds) and r. 235 (cranes).	C NC ND		
7.2 There are arrangements that ensure that workers at risk of adverse health effects from hazards associated with the mining operations are identified and provided with monitoring in accordance with approved management plans (such as health, radiation, asbestos).	<ul style="list-style-type: none"> Verify that monitoring is covered in the health management plan. Monitoring will include exposure control verification (plant and equipment used to mitigate risks such as ventilation and dust suppression equipment), exposure assessment (airborne contaminants, noise). See r. 37, r. 352 and r. 652 to r. 663 (maintaining effective control), r.49, r. 50, r. 649, r.650 and r. 635A. r. 637, r. 637A (airborne contaminants), r. 402 (lead risk work), r. 475 to r. 482 (asbestos), r. 57 (noise), Chapter 10 Division 2, r. 641M (radiation).	C NC ND		

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
7.3 The mine operator undertakes monitoring of high risk work activities and conditions, as identified by legislative requirements and the operator's risk assessments.	<ul style="list-style-type: none"> • Verify monitoring of high risk work activities and conditions is conducted by competent and approved persons, as relating to legislation. • Verify that arrangements are in place to ensure high risk construction work is carried out in accordance with safe work method statements. <p>See r. 299, r. 300, r. 309.</p> <ul style="list-style-type: none"> • Verify the processes for installation, construction, commissioning, decommissioning and dismantling of plant include inspections that ensure, so far as is reasonably practicable, that risks associated with these activities are monitored. <p>See r. 204.</p>	C NC ND		
7.4 The mine operator undertakes monitoring of critical controls required to prevent fatalities, serious injuries and debilitating illnesses, and also controls required to minimise consequences should an incident occur.	<ul style="list-style-type: none"> • Verify monitoring of critical controls required to prevent fatalities, serious injuries and illnesses to ensure they remain effective. <p>See r. 37.</p>	C NC ND		
7.5 Health monitoring is undertaken according to health risk evaluation criteria defined in approve management plans (such as health, asbestos).	<ul style="list-style-type: none"> • Verify that health monitoring is conducted if there is a risk of an adverse effect on workers' health identified from exposure to a hazard at the mine. <p>See r. 58 audiometric testing, r. 368 to r. 378 (require health monitoring for hazardous chemicals as per Schedule 14), r. 405 to r. 418 (health monitoring for lead risk work), r. 435 to r. 444 (health monitoring for asbestos), r. 675F (health monitoring of workers under health management and monitoring), r. 675G (inform of monitoring results), r. 675H (health monitoring supervised by registered medical practitioner), r. 675I (costs to mine operator), r. 675J (information must be provided to registered medical practitioner), r. 675K to 675M (health monitoring report circulation), r. 675O (health monitoring report must be provided to regulator), 675P (health monitoring records retention), r. 58 (audiometric testing).</p>	C NC ND		

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
7.6 Monitoring and testing of the ventilation system in an underground mine is undertaken and specific legislative requirements are met along with further requirements identified by a risk assessment.	<ul style="list-style-type: none"> Verify that monitoring is undertaken of ventilation systems in an underground mine. See r. 648 to r. 656C.	C NC ND NA		
8 Consultation, representation and participation				
8.1 Where there is more than one PCBU (including the mine operator) that has a duty under the WHS Act, there is a process for consultation, cooperation and coordination of activities.	<ul style="list-style-type: none"> Verify that a process is in place for consultation, cooperation, and coordination of activities if there is more than one PCBU with health and safety duties. See s. 46 and r. 622(1)(f).	C NC ND		
8.2 There is a process that ensures workers are consulted on matters relating to work health and safety. Such consultation allows reasonable opportunity for workers to express their views, raise issues and contribute to decision-making; and workers are informed of outcomes in a timely manner.	<ul style="list-style-type: none"> Verify that there are processes for consultation with workers on health and safety matters which include workers being given reasonable opportunity to express their views, raise issues and contribute to decision-making regarding their health and safety, and include the communication of outcomes. See s. 47 to s. 49.	C NC ND		
8.3 The mine operator has procedures in place for the election of HSRs and the establishment of health and safety committees if requested.	<ul style="list-style-type: none"> Verify that there are processes that allow for HSRs to be elected without unreasonable delays, and for a health and safety committee to be established. See s. 50, s. 61, r. 18 and r. 19.	C NC ND		
8.4 Elected HSRs have been provided with training, resources and support to undertake their duties.	<ul style="list-style-type: none"> Verify that, where there are elected HSRs, they have received training, resources, the provision of time and support to fulfil their functions and responsibilities. See s. 68, s. 70(f), s. 72, and r. 21.	C NC ND		

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
8.5 A procedure for issue resolution has been implemented and communicated to workers.	<ul style="list-style-type: none"> Verify a procedure for issue resolution is in place and communicated to workers. See s. 81, r. 22 and r. 23.	C NC ND		
9 Contractor and stakeholder management				
9.1 If a contractor is to carry out work at the mine, the mine operator has included in the MSMS control measures that will be used to control risks to health and safety associated with the contractor's work.	<ul style="list-style-type: none"> Verify that there is a process for reviewing a contractor's health and safety management plan, policies, and procedures to integrate with the MSMS. Alternatively, the contractor may apply the relevant parts of the MSMS. See r. 622(1)(g) and r. 625D. <ul style="list-style-type: none"> Verify that a process is in place for auditing contractors against those parts of the MSMS to which they have agreed to comply and any parts of the contractor's health and safety management plan and system that have been integrated into the MSMS. See r. 623.	C NC ND		
9.2 The contractor, as a PCBU, has a health and safety management plan and systems that set out how the contractor will manage the risks to health and safety from their activities undertaken at the mine.	<ul style="list-style-type: none"> Verify that a process is in place to review the contractor's health and safety management plan and a formal acceptance process is in place. 	C NC ND		
9.3 Where a contractor has requested to operate under its own health and safety management plan the mine operator has completed a review and has notified the contractor in writing whether the plan is adequate before the contractor commences work.	<ul style="list-style-type: none"> Verify the mine operator has reviewed the contractor's health and safety management plan and a formal acceptance process is in place. Verify that a process is in place for auditing contractors against those parts of the MSMS to which they have agreed to comply and any parts of the contractor's health and safety management plan and system that have been integrated into the MSMS. Accepted plans must be available as part of the MSMS. See 621A(6), r. 623 and r. 625D.	C NC ND		

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
9.4 The mine operator has a process in place for providing health and safety information to contractors and vice versa.	<ul style="list-style-type: none"> Verify a process is in place for the exchange of health and safety information between the mine operator and its contractors to support risk identification. See r. 625B and r. 625C.	C NC ND		
9.5 The mine operator has a process for providing information to other mine operators where the mine could create a risk to the health and safety of adjoining or other mines.	<ul style="list-style-type: none"> Verify that the mine operator provides information to other mine operators where the mine has any conditions, current or proposed activities at the mine that could create a risk to the health and safety of adjoining or other mines. See r. 626.	C NC ND		
10 Worker training and competency, and visitor instructions				
10.1 The mine operator has arrangements for the provision of information, training, and instruction regarding the nature of the work, the risks associated with the work and the control measures that have been implemented.	<ul style="list-style-type: none"> Verify that arrangements for the provision of information, training and instruction, including on the MSMS itself, are captured in the MSMS in accordance with r. 622(1)(i). See r. 39 and r. 675B.	C NC ND		
10.2 The mine operator assesses that workers are competent to perform the tasks and to operate any plant they must operate.	<ul style="list-style-type: none"> Verify that workers are assessed for competence to perform tasks required of them, including operating any plant, before commencing work at the mine. See r. 675BB(b).	C NC ND		
10.3 Mine workers are retrained and reassessed whenever systems of work or plant are changed, or new systems of work or plant are introduced.	<ul style="list-style-type: none"> Verify that retraining and reassessing is undertaken whenever systems of work or plant are changed, or new systems of work or plant are introduced. See r. 675BB(c).	C NC ND		

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
10.4 The site induction for workers covers the general mining operation, systems of work, safe procedures and the tasks required of the worker, including being given a summary of the MSMS relevant to their work and are informed of their rights to see the MSMS.	<ul style="list-style-type: none"> Verify that inductions contain information, training and instruction on the general mining operations, systems of work, safety procedures and tasks required of workers. See r. 622(1)(j) and r. 675BA.	C NC ND		
10.5 The mine operator provides information to authorised visitors who enter the mine, covering risks, health and safety precautions, and instructions should there be an emergency.	<ul style="list-style-type: none"> Verify that there are arrangements to ensure authorised visitors are provided with information about relevant risks, instructions about health and safety precautions to be taken, and actions to be taken should the emergency plan be implemented. See r. 675C.	C NC ND		
10.6 Information, training and instruction given to workers and visitors is reviewed and revised as necessary to ensure they remain relevant and effective.	<ul style="list-style-type: none"> Verify that information, training, and instruction given to workers and visitors is reviewed and revised as necessary to ensure they remain relevant and effective. See r. 675D.	C NC ND		
10.7 Records of any instruction, training, retraining, assessment, or reassessment given to a worker are kept while the worker works at the mine.	<ul style="list-style-type: none"> Verify that records of any instruction, training, retraining, assessment, or reassessment given to a worker are kept while they work at the mine. Verify that records are kept for at least 2 years after a worker ceases to work at the mine and for at least 7 years for a worker in relation to information, training or instruction provided to the worker in relation to a hazardous chemical to which the worker was likely to be exposed. See r. 39(4) and r. 675E.	C NC ND		

Compliance standard	Compliance rating	Compliance score	Evidence sighted/ comments
11 Notifiable, reportable and other incident response and investigation			
11.1 There are procedures for notifiable and reportable incident reporting, response and investigation.	<ul style="list-style-type: none"> Verify that the MSMS captures procedures for responding to, and investigating, notifiable and reportable incidents at the mine. <p>See r. 622(1)(m).</p> <ul style="list-style-type: none"> Verify that procedures ensure that, following a notifiable incident, the incident site is preserved in accordance with s. 39. Verify that control measures have been reviewed as part of the investigation process for reportable/ notifiable incidents. <p>See r. 38.</p>	C NC ND	
11.2 A process is implemented to ensure that reasonable steps are taken to notify the regulator of notifiable and reportable incidents arising out of the carrying out of mining operations at the mine.	<ul style="list-style-type: none"> Verify that procedures enable the mine operator to notify the regulator immediately after becoming aware of a notifiable incident, or as soon as possible after becoming aware of a reportable incident (i.e. procedures do not introduce unreasonable steps or delays). To assist in verifying procedures: <ul style="list-style-type: none"> review a sample of incidents to verify that notifiable/reportable incidents have been accurately identified, notified to the regulator, and recorded in the mine record interview workers in relevant positions to confirm awareness of their duties in relation to the procedure. <p>See s. 38 r. and 675Y(2)(e).</p> <ul style="list-style-type: none"> Verify that there are arrangements to ensure that other PCBU's at the mine comply with the duty to notify the mine operator of incidents in accordance with r. 675X. 	C NC ND	
11.3 There is a process in place for notifying the regulator of any exceeded workplace exposure standard or other reportable level.	<ul style="list-style-type: none"> Verify that reports and action plans are submitted for atmospheric, biological or noise monitoring results that exceed legislated limits. <p>See r. 415, r. 476(b), r. 637A, r. 641X(b), r. 641Y(1), r. 650(1).</p>	C NC ND	

Compliance standard	Compliance rating	Compliance score	Evidence sighted/ comments
12 Emergency management			
12.1 The mine operator has prepared an emergency plan, which is regularly reviewed and tested.	<ul style="list-style-type: none"> Verify that an emergency plan has been developed for the mine and is included in the MSMS. The plan covers all aspects of emergency response and matters specified in Schedule 22 and is based on a risk assessment. <p>See r. 43, r. 622(1)(d)(iv), r. 664 to r. 675AA, and Schedule 22.</p> <ul style="list-style-type: none"> Verify that there are arrangements to undertake testing of the emergency plan after a significant revision to the plan, or at least every 12 months (taking into consideration recommendations from organisations consulted during its development). <p>See r. 43(1)(b) and r. 669.</p> <ul style="list-style-type: none"> Verify that revisions of control measures under r. 38 or r. 618 trigger review (and as necessary, revisions) of relevant aspects the emergency plan. <p>See r. 670.</p>	C NC ND	
12.2 The mine operator has provided workers with training on the emergency plan before they commence work at the mine and after any significant revision of the plan.	<ul style="list-style-type: none"> Verify that the mine operator has provided training of workers in relation to their responsibilities to implement the emergency plan before commencing work at the mine and as soon as reasonably practicable after a significant revision of the plan. <p>See r. 43(1)(c) and r. 670A.</p>	C NC ND	
13 Document and records management			
13.1 The MSMS sets out how documents and records, including the mine record, will be kept, and arrangements for the management of those records and documents to ensure compliance with duties, reporting and record retention requirements under WHS legislation.	<ul style="list-style-type: none"> Verify the MSMS sets out procedures for the management of documents and records. <p>See r. 622(1)(n).</p>	C NC ND	

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
13.2 Where there is or has been a principal contractor for construction, a copy of the WHS management plan is kept at the mine with storage of all revised versions of the plan.	<ul style="list-style-type: none"> Verify that, where there is or has been a principal contractor for construction, a copy of the WHS management plan is kept at the mine along with storage of all revised versions of the plan. See r. 313.	C NC ND		
13.3 Workers have access to those documents that are required to keep them informed and instructed about the management of hazards and risks that must be controlled in their work at the mine.	<ul style="list-style-type: none"> Verify that workers have access to those documents that are required to keep them informed and instructed about the management of hazards and risks that must be controlled in their work at the mine. See s. 19(3)(f), r. 39, and r. 675B.	C NC ND		
13.4 The mine record is maintained and contains all records required under WHS legislation.	<ul style="list-style-type: none"> Verify the mine record is maintained and up to date with inspection records, notices, notifiable and reportable incidents, control reviews, statutory appointments and HSRs. See r. 675Y, r. 675Z and r. 675ZA.	C NC ND		
14 Management of change				
14.1 The mine operator has a management of change process to ensure effective responses to gradual or sudden changes in operations, conditions, systems, environment, or resources.	<ul style="list-style-type: none"> Verify that the mine operator has a management of change process for managing the effect on health and safety due to gradual or sudden change in operations, conditions, systems, environment, or resources. See r. 622(1)(c)(v).	C NC ND		
14.2 The management of change process is implemented before a change at the workplace that is likely to affect hazards, risks or adequacy of controls.	<ul style="list-style-type: none"> Verify the mine operator has a management of change process that is implemented before a change at the workplace that is likely to give rise to a new or different risk to health or safety that existing measures may not effectively control. See r. 38.	C NC ND		

Compliance standard	Compliance rating	Compliance score	Evidence sighted/ comments
15 MSMS resourcing and availability			
15.1 The mine operator demonstrates in the MSMS that adequate resources are applied to the effective implementation, use and improvement of the MSMS.	<ul style="list-style-type: none"> Verify that the mine operator has set out in the MSMS the resources that will be applied for the effective implementation, use and review of the MSMS. See r. 622(1)(r).	C NC ND	
15.2 The MSMS is available to workers, on request, and is set out and expressed in a way that is readily understandable, so far as is reasonably practicable.	<ul style="list-style-type: none"> Verify that the MSMS is available to workers on request and consult with workers to ensure that it is readily understandable. See r. 622(2)(b) and r. 622(4).	C NC ND	
16 MSMS audit, review and continual improvement			
16.1 Arrangements are in place to review the MSMS at least once every three years to ensure it remains effective. If the MSMS was developed without consultation with workers, arrangements are in place for a review to be undertaken within twelve months.	<ul style="list-style-type: none"> Verify there is a review process for the MSMS every three years. If the MSMS was developed without consultation with workers in accordance with Part 5 Division 2 of the WHS Act, it must be reviewed within twelve months. See r. 625.	C NC ND	
16.2 The MSMS includes details of performance standards for measuring all aspects of the MSMS, steps for its continual improvement, the way in which its performance will be met and a system of auditing the MSMS.	<ul style="list-style-type: none"> Verify that the MSMS includes performance standards for measuring the effectiveness of all aspects of the MSMS, including: <ul style="list-style-type: none"> details of how the mine operator will ensure effectiveness of the MSMS, steps for continual improvement, the way standards will be met, including methods, frequency and results of the audit process, and there is evidence of continual improvement results of the audit process have been documented and there is evidence of implementation where deficiencies were found in the MSMS. See r. 623.	C NC ND	

Compliance standard	Compliance rating	Compliance score		Evidence sighted/ comments
16.3 When any need for changes to controls is identified through reviews of the MSMS, it results in actions being taken and necessary revisions to the MSMS being made.	<ul style="list-style-type: none"> Verify that the mine operator undertakes reviews of the MSMS and specifically, if a control measure is revised under r. 38 or r. 618, the MSMS is reviewed and as necessary revised in relation to all aspects of risk control addressed by the revised control measure. This implies some means of tracking changes to controls to ensure effective implementation. See r. 625(5).	C NC ND		

Appendix 1 Corrective action plan

Timeframe	Task	Responsible person	Completion date	Review date
Immediate				
Short-term				
Medium-term				
Long-term				

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