

Towards Sustainable Mining

Safety and Health Performance Protocol

All injuries and occupational disease can be prevented and we recognize that everyone is entitled to work in a safe and healthy workplace. Consistent with our commitment in our Towards Sustainable Mining (TSM) Guiding Principles, we demonstrate leadership worldwide by protecting the safety, health and wellness of our employees, contractors and visitors. We also encourage and support health and safety awareness within the communities in which we operate.

Member companies of the COMP have agreed to the following commitments with respect to safety and health. We will:

- Provide safe and healthy workplaces by building, supporting and sustaining behaviour and controls; recognizing that injury and occupational disease can be prevented, fatalities eliminated and that the related controls are a shared responsibility of the company, employees, contractors and suppliers.
- Establish clearly defined and communicated responsibility and accountability at the board and senior management level for the company's safety and health performance. Implement and review policies, strategies, standards, metrics, and accountability mechanisms to ensure that everyone understands company requirements and can fulfill them.
- Implement recognized safety and health management systems to ensure safe and healthy workplaces, a culture of prevention and improvements in performance.
- Ensure effective injury prevention and disability management programs are in place and actively promote health and wellness at work and at home.
- Actively encourage and support our contracting, supplier and community partners in building their capacity to be safe and healthy, recognizing that we may be required to play a leadership role in this regard, where appropriate.
- Recognize that governments play an important role in enabling effective safety and health controls and we will engage them in this regard.
- Set clearly defined and communicated performance targets that are integrated into our business and risk management plans. Report on the related metrics for both employees and contractors using tracking with systems that help assess and communicate our performance and include both leading and lagging indicators.

We will work together to identify hazards and reduce risk to as low a level as reasonably possible with zero harm being our primary goal.

Purpose

The purpose of the assessment protocol is to provide guidance to facilities in completing their evaluation of safety and health performance against TSM indicators. The assessment protocol sets out the general expectations for safety and health as part of the TSM initiative. This protocol supports implementation of the TSM Safety and Health Framework.

As with any assessment of a management system, professional judgment is required in assessing the degree of implementation of a system indicator and the quality of management processes and intervention. Application of this protocol will, therefore, require a level of expertise in auditing and systems assessment and knowledge of and experience in the practice of safety and health. This assessment protocol provides an indicator of the level of implementation of proactive safety and health practices as part of the TSM initiative. It is not, of itself, a guarantee of the effectiveness of safety and health activities.

Performance Indicators

Five performance indicators:

1. Commitments and Accountability
2. Planning and Implementation
3. Training, Behaviour and Culture
4. Monitoring and Reporting
5. Performance

1. COMMITMENTS AND ACCOUNTABILITY

Purpose:

To confirm that the mine site has established clear accountability for safety and health management and performance, and that safety and health commitments have been established and clearly communicated to employees, contractors and suppliers.

Commitment and Accountability: ASSESSMENT CRITERIA	
Level	Criteria
C	No demonstrated senior management commitment for safety and health developed and communicated, or accountabilities for safety and health management are not defined and assigned at the senior levels of the organization.
B	Demonstrated commitment for safety and health is evident. Commitments may not be consistent with the intent of the COMP Safety and Health Framework. Accountability for safety and health has been assigned to a senior management representative at the mine site and is generally understood as everyone's responsibility. However, specific responsibilities that influence safety and health may not be defined in role descriptions.
A	Commitments are defined and authorized by the company's senior management and are consistent with the intent of the COMP Safety and Health Framework. There is a process in place to ensure that employees, contractors and suppliers who work at the mine site are aware of the company's safety and health commitments. Accountabilities and responsibilities are understood at all levels.
AA	Internal audit has been conducted to determine: <ul style="list-style-type: none"> • The degree of consistency that the commitments are applied with respect to the intent of the COMP Safety and Health Framework, • Whether accountabilities and responsibilities are understood, • Whether the commitments to safety and health have been communicated to employees, contractors and suppliers at the mine site, and • Whether processes are in place to ensure that employees, contractors and suppliers who work at the mine site are aware of the safety and health commitments. <p>Employees at the mine site demonstrate their commitment to safety and health.</p>
AAA	External audit has been conducted to determine: <ul style="list-style-type: none"> • The degree of consistency that the commitments are applied with respect to the intent of the COMP Safety and Health Framework, • Whether accountabilities and responsibilities are understood, • Whether the commitments to safety and health have been communicated to employees, contractors and suppliers at the mine site, and • The effectiveness of the process in place to ensure that employees, contractors and suppliers who work at the mine site are aware of the commitments.

Commitment and Accountability: Frequently Asked Questions (FAQ)

#	FAQ
2	How do you determine if safety and health commitments are consistent with the COMP Safety and Health Framework?
4	Can corporate documentation be used to demonstrate mine site-level commitment?
5	What is meant by “contractors and suppliers at the mine site”?
13	What is the expected focus of audit activities?
14	Can a company or mine site achieve a Level AAA on satisfactory completion of an external audit, without having completed a Level AA internal audit?
15	For how long are internal and external audits valid?
16	How is “senior management” defined?
22	What does “accountability” mean?
23	What does “responsibility” mean?

2. PLANNING AND IMPLEMENTATION

Purpose

To confirm that processes have been established to effectively plan for and manage safety and health controls to prevent the occurrence of incidents, acknowledging safety and health is a shared responsibility, and that hazard identification, risk assessment and the establishment of effective controls are integral to an effective management system.

Planning and Implementation: ASSESSMENT CRITERIA	
Level	Criteria
C	No safety and health management systems are in place. Safety and health risks tend to be controlled reactively.
B	Safety and health management systems are established, but are not implemented. Risk control tools are available, but are not consistently used. Safety standards and procedures are in place, but there is no process for ensuring they are appropriate (mine site risk-based) and updated regularly.
A	A documented safety and health management system is established, implemented and maintained. At a minimum, it incorporates: <ul style="list-style-type: none"> • Objectives and targets, with supporting plans to achieve them; • Hazard identification, risk assessment (HIRA) and control processes. • Defined roles and responsibilities for safety and health management; • Workplace inspections; and • Maintenance of safety and health records. Resources are assigned to establish, implement, maintain and improve the safety and health management system and validate effectiveness of controls.
AA	Internal audit has been conducted to determine whether planning and implementation of the safety and health management system to the Level A requirements.
AAA	External audit has been conducted to determine whether planning and implementation of the safety and health management system to the Level A requirements.

Planning and Implementation: Frequently Asked Questions

#	FAQ
1	What is Hazard Identification and Risk Assessment (HIRA)?
4	Can corporate documentation be used to demonstrate mine site-level commitment?
8	What is meant by “control”?
11	What could be included in an industrial hygiene program?
12	What is the expected focus of audit activities?
13	Can a company or mine site achieve a Level AAA on satisfactory completion of an external audit, without having completed a Level AA internal audit?
14	For how long are internal and external audits valid?
16	What is meant by “planning”?
18	What is a system?
19	What does “effective” mean?

3. TRAINING, BEHAVIOUR AND CULTURE

Purpose

To confirm that processes have been established to effectively train employees and contractors on safety and health to ensure they are competent in identifying hazards and preventing incidents and they understand that safety and health is a shared responsibility and that safety behaviour is integral to controlling risk.

Training, Behaviour and Culture: ASSESSMENT CRITERIA	
Level	Criteria
C	No safety and health training programs, and/or no job observation program.
B	Some safety and health training has been provided at the mine site. However, no safety and health training needs analysis has been completed, or the training program is only partially implemented. Job observations are completed in some cases, but are not conducted routinely and consistently.
A	Planned, documented and functional safety and health training program is in place that includes: <ul style="list-style-type: none"> • Training needs analysis for employees, including consideration of required skills and competencies, and orientation for employees, on-site contractors and visitors. The training program is implemented and includes a mechanism for review. • Training records are maintained. • Resources are assigned to implement and maintain the training program. • Trainees are assessed for competency where tasks have safety and health competency based requirements. • Trainers are qualified to deliver safety and health training programs. • Training includes hazard identification and control with a focus on prevention and proactive measures. • A job observation program supports and reinforces training to ensure routine safety checks and coaching are in place to encourage safe behaviour and work practices. • The mine site has mechanisms in place for the participation of workers in hazard identification, risk assessment and determination of controls and taking into account input from workers in setting OH&S objectives.
AA	The mine site encourages organizational engagement in key requirements for health and safety by integrating safety and health criteria into core business processes and practices, including: <ul style="list-style-type: none"> • The annual business plan, • Purchasing decisions, • Performance appraisal processes, and The mine site's programs promote and encourage health and wellness and healthy lifestyle.
AAA	The commitment to safety and health is visibly embedded throughout the mine site. Mine site management visibly demonstrates commitment with one-on-one interactions with employees. Trainers are assessed for effectiveness.

Training, Behaviour and Culture: Frequently Asked Questions

#	FAQ
3	What are "Job Observations"?
4	Can corporate documentation be used to demonstrate mine site-level commitment?
5	What is meant by "contractors and suppliers at the mine site"?
9	How can a company demonstrate that they have assessed the competency and effectiveness of its trainers?
18	What is a system?
19	What does "effective" mean?

4. MONITORING AND REPORTING

Purpose

To confirm that safety and health performance is regularly monitored and reported both internally and externally.

Monitoring and Reporting: ASSESSMENT CRITERIA	
Level	Criteria
C	No regular monitoring and reporting of safety and health performance beyond regulated requirements
B	Some safety and health metrics are monitored and reported to mine site management on a regular basis, going beyond regulatory requirements. Key performance indicators are reported or posted within the mine site. Performance measures are not reported publicly.
A	Documented safety and health monitoring and reporting occurs that includes: <ul style="list-style-type: none"> • Performance metrics that are clearly defined, consistently applied, regularly assessed and internally reported, and used to analyze trends for informing decisions and guiding continuous improvement. Monitoring program that includes tracking and internal reporting of leading and lagging indicators, safety and health and monitoring, health surveillance, and incident investigation and follow up. • A safety and health audit program is in place, and compliance audits and management system audits are conducted in accordance with the audit plan. • The mine site assesses the adequacy and effectiveness of its safety and health management system annually and makes recommendations on how to make continual improvement • Regular management review of safety and health performance for the purpose of continual improvement and to inform decision-making. • Results of workplace monitoring, inspection and follow-up action are recorded and communicated within the mine site. Safety and health performance is communicated to the public on at least an annual basis.
AA	Internal audit has been conducted to determine whether the safety and health data and information collection, compilation and reporting meets the requirements of Level A.
AAA	External audit is conducted to determine whether the safety and health data and information collection, compilation and reporting meet the requirements of Level A.

Monitoring and Reporting: Frequently Asked Questions

#	FAQ
4	Can corporate documentation be used to demonstrate mine site-level commitment?
10	What is meant by health surveillance?
12	What is the expected focus of audit activities?
13	Can a company or mine site achieve a Level AAA on satisfactory completion of an external audit, without having completed a Level AA internal audit?
14	For how long are internal and external audits valid?
17	What is “workplace monitoring”?
18	What is a system?
19	What does “effective” mean?

5. PERFORMANCE

Purpose

Recognizing that zero harm is the ultimate goal for all facilities, the purpose of this indicator is to confirm that continual improvement targets have been established at each mine site to move toward zero harm and that performance relative to targets is assessed.

If a mine site has had a fatality within the reporting year, it is not eligible for Performance Level A or higher.

Performance: Assessment Criteria	
Level	Criteria
C	No safety and health performance targets have been established for employees of the mine site.
B	Safety and health performance targets are set for employees of the mine site. Targets may not include performance of service contractors. Targets are communicated to employees.
A	Performance targets include on-site service contractors. Mine site management is involved in reviewing and improving performance relative to targets. Performance results are communicated to employees and on-site service contractors. The mine site has not had a fatality in the reporting year.
AA	Performance targets are set for both leading and lagging indicators. Senior company management reviews performance against mine site targets and associated improvement plans. Mine site (or company) benchmarks its safety and health performance against its peers.
AAA	The mine site has consistently met its continual improvement performance targets (at least 3 of the last 4 years) and is fatality free over the entire four-year period. The mine site externally audits its safety and health performance to ensure accuracy and reliability of performance information.

Performance: Frequently Asked Questions

#	FAQ
4	Can corporate documentation be used to demonstrate mine site-level commitment?
5	What is meant by “contractors and suppliers at the mine site”?
6	What level of benchmarking is adequate?
7	What would prevent a mine site from achieving a level A for indicator 5?
12	What is the expected focus of audit activities?
13	Can a company or mine site achieve a Level AAA on satisfactory completion of an external audit, without having completed a Level AA internal audit?
14	For how long are internal and external audits valid?
15	How is “senior management” defined?
18	What is a system?

APPENDIX 1: FREQUENTLY ASKED QUESTIONS PROTOCOL-SPECIFIC GUIDANCE

1. What is Hazard Identification and Risk Assessment (HIRA)?

HIRA is a documented process that ensures that all safety and health hazards have been identified, the level of risk assessed, and controls put into place to manage the risk. A typical HIRA process includes the following.

- ♣ Site surveys
- ♣ Hierarchy of controls
- ♣ Risk register
- ♣ Hazops and Failsafe processes
- ♣ Management of Change
- ♣ Job Safety Analysis
- ♣ Field-based risk assessments (or similar)
- ♣ Identification of events with a reasonable potential to result in a life altering injury or occupational disease

2. To demonstrate that a mine site has “hazard identification, risk assessment and control processes” in place, it is expected the mine site would have documented processes to identify hazards, assess associated risks and identify appropriate controls. A documented or electronic risk register would identify site hazards and controls in place to address the hazards, and the mine site would have a risk assessment tool or process that can be applied at the field level. How do you determine if safety and health commitments are consistent with the COMP Safety and Health Framework?

The COMP Safety and Health Framework establishes a number of commitments that COMP member companies agree to follow. The spirit and intent of a company’s safety and health commitments should be consistent with the spirit and intent of the COMP Safety and Health Framework. While it is not required that a corporate commitment include all of the specific commitments identified in the Framework, the commitments should demonstrate general support and alignment with the COMP Safety and Health Framework, without expressly referring to it.

3. What are “Job Observations”?

Job Observations help to eliminate unsafe or hazardous acts and conditions. It actively encourages the whole workforce to be involved and therefore generates greater safety awareness both individually and collectively. It is a process normally performed by supervision and management with the involvement of the workforce. There are four fundamental steps in a Job Observation process: (1) plan to observe; (2) observe a task; (3) provide positive feedback or reinstruction back to the worker(s); and (4) look for a commitment to continue to perform the work in a healthy and safe manner. The observation process can be used to check in on the effectiveness of hazard identification and risk assessment programs as well as health and safety management systems (e.g. field level risk assessments, procedures, training, rules and standards, results of safety investigations).

4. Can corporate documentation be used to demonstrate mine site-level commitment?

Written senior management commitment at the corporate level (e.g. a corporate policy) can only be accepted as evidence during a mine site-level self-assessment or TSM verification if it is accompanied by evidence that the corporate commitment is being applied and adhered to at the mine site level. There must be evidence of a link between the corporate documentation and mine site-level practices. If this linkage is established, then the corporate documentation can be accepted as evidence of mine site-level commitment.

5. What is meant by “service contractors and suppliers at the mine site”?

This term refers to vendors and service contractors, any person or entity that has a contract for a specific job to undertake any services with a mining contractor, permittee or his duly authorized

representative (Source: DENR DAO 2000-98, Definition of Terms, Item 45). Those who work at the site or who physically enter the site. It is expected that a mine site communicates relevant health and safety commitments to those service contractors and suppliers who work at or physically enter the site.

6. What level of benchmarking is adequate?

Recognizing the limitations of doing so, for Indicator 5: Performance (Level AA), it is expected that the mine site or company will compare its safety and health performance with the performance of others on a regular basis (i.e. within the last three years). Facilities or companies can use any of a number of methods or sources to obtain these comparative data including, for example, use published industry data (where available), compilation of publicly available data, participation in benchmarking studies or initiation of benchmarking studies.

7. What would prevent a mine site from achieving a level A for indicator 5?

Facilities that have experienced an occupational fatality within the reporting year are not eligible for level A or higher for indicator 5 (performance). An occupational fatality is defined as the death of an employee, service contractor or visitor because of a work-related incident arising from an activity under management control.

8. What is meant by “control”?

This term refers to an act, object (engineered) or system (combination of act and object) intended to prevent or mitigate an unwanted event. (Source: ICMM Health and Safety Critical Control Management: Good Practice Guide, 2015)

9. How can a mine site demonstrate that trainers are qualified to deliver safety and health training program?

Considerations for determining whether a person is qualified include, but are not limited to:

- Previous training experience
- Previous experience in performing the task/activity
- Exam /acknowledgment from the mine site on trainer competency
- Knowledge and specific safety and health-related training Formal education, training and third-party credentials
- Demonstrated history in performing the task that is the subject of the training program.

10. What is meant by health surveillance?

Occupational health surveillance is the analysis of health information intended to identify problems resulting from occupational exposures that require prevention activities. Surveillance functions as a feedback loop to the employer. Surveillance uses screening results from a group of employees, or single employee, to look for abnormal trends in health status. A review of group results helps to identify potential exposure problems and assess the effectiveness of existing worksite controls and preventive strategies. Personal medical histories of employees must be kept confidential.

11. What could be included in an industrial hygiene program?

Typically, an industrial hygiene program will consist of the following:

- **Anticipation** of potential exposures arising from workplace activities (e.g. purchasing and use of hazardous substances)
- **Identification** (sometimes called recognition) of exposures by qualitative means (e.g. workplace walk-through surveys)
- **Evaluation** of identified exposures by monitoring and sampling of contaminants (qualitative and quantitative against applicable criteria)
- **Control** of exposures to acceptable levels (a hierarchy of control is used)
- **Effectiveness of controls** – are they working as intended to reduce or eliminate exposures

AUDIT**12. What is the expected focus of audit activities?**

For Indicator 4: Monitoring and Reporting, it is expected that audit activities would assess the processes in place for collecting, compiling and reporting safety and health data and information to confirm that defined processes are in place and to test that these processes are being consistently applied.

For Indicator 5: Performance (Level AAA), it is expected that external audit activities would test the robustness and accuracy of collected safety and health performance data by reviewing the base data that are collected, testing that these data were accurately screened and entered into a database, and conducting a data review of the aggregate numbers.

13. Can a company or mine site achieve a Level AAA on satisfactory completion of an external audit, without having completed a Level AA internal audit?

Yes, because the TSM Performance Indicator assessment is a snapshot in time of a company's or mine site's status as relates to each specific performance indicator. Assigning a rating of Level AA or AAA is based on whether an audit is internal or external. A company or mine site does not need to do an internal audit (qualifying for a rating of Level AA) before receiving a rating of Level AAA for an external audit.

14. For how long are internal and external audits valid?

An internal or external audit that was completed within the last three (3) years meets the requirements for an internal or external audit as required by Level AA or Level AAA in many of the indicators of this protocol.

DEFINITION OF KEY TERMS**15. How is "senior management" defined?**

For the purposes of Safety and Health performance measurement, senior management refers to the most senior level of management at the mine site level (such as the General Manager, Site Manager, etc.). Where the protocol requires that accountability for safety and health be assigned at all levels, the expectation would be that accountabilities at the site and at the business unit, regional or corporate level be defined (depending on the corporate structure and location of headquarters).

16. What is meant by "planning"?

Planning includes activities such as identifying hazards, assessing risk, and determining controls; identifying and having access to applicable legal requirements; and, establishing and maintaining documented objectives and supporting programs at relevant functions and levels within the mine site. *(adapted from OHSAS 18001:2007)*

17. What is "workplace monitoring"?

Workplace Monitoring may include, but is not limited to, such items as workplace examination, industrial hygiene monitoring, fitness for duty monitoring, ambient workplace conditions, or other similar activities.

18. What is a system?

A system, or "management system" represents processes that collectively provide a systematic framework for ensuring that tasks are performed correctly, consistently and effectively to achieve a specified outcome and to drive continual improvement in performance. A systems approach to management requires an assessment of what needs to be done, planning to achieve the objective,

implementation of the plan and review of performance in meeting the set objective. A management system also considers necessary personnel, resources and documentation requirements. Other definitions associated with systems are:

- **Policy:** The expression of management's commitment to a particular issue area that presents the stance of the company to interested external parties.
- **Practice:** Informal, undocumented approaches to carrying out a task.
- **Procedure:** A repeatable description of how a task is to be carried out.

19. What does “effective” mean?

Where the term “effective” is used, it requires the element to be operational in order that desired outcomes can be achieved.

20. What does “accountability” mean?

Accountability: The safety and health management system must identify the party who is ultimately answerable for safety and health performance and the development and implementation of the safety and health management system at the mine site. This accountability cannot be delegated. Resources are available to the accountable party to ensure proper systems (training, equipment, communications, etc) are in place to effectively meet their safety and health goals.

21. What does “responsibility” mean?

Responsibility: Within the safety and health management system, specific safety and health related requirements and tasks are identified and assigned to specific positions within the mine site. It is important that responsibilities are clearly communicated so that each position understands what is expected of them.

	Question	Y	N	NA	Description & Evidence
INDICATOR 1: COMMITMENT AND ACCOUNTABILITY					
Indicator 1 Level B	Is demonstrated commitment for safety and health evident?				
	Has accountability for safety and health been assigned to a senior management representative at the mine site?				
	Is safety and health generally understood as everyone's responsibility?				
	<i>If you have answered "Yes" to all of the Level B questions, continue to the Level A questions. If you have not answered "Yes" to all of the Level B questions, assess the mine site as a Level C.</i>				
Indicator 1 Level A	Are commitments defined and authorized by the company's senior management?				
	Are commitments consistent with the intent of the COMP Safety and Health Framework?				
	Is there a process in place to ensure that employees, contractors and suppliers who work at the mine site are aware of the company's safety and health commitments?				
	Are accountabilities and responsibilities understood at all levels?				
	<i>If you have answered "Yes" to all of the Level A questions, continue to the Level AA questions. If you have not answered "Yes" to all of the Level A questions, assess the mine site as a Level B.</i>				
Indicator 1 Level AA	Has an internal audit been conducted to determine the following:				
	<ul style="list-style-type: none"> The degree of consistency that the commitments are applied with respect to the intent of the COMP Safety and Health Framework. 				
	<ul style="list-style-type: none"> Whether accountabilities and responsibilities are understood. 				
	<ul style="list-style-type: none"> Whether the commitments to safety and health have been communicated to employees, contractors and suppliers at the mine site. 				

	Question	Y	N	NA	Description & Evidence
	<ul style="list-style-type: none"> Whether processes are in place to ensure that employees, contractors and suppliers who work at the mine site are aware of the safety and health commitments. 				
	Do employees at the mine site demonstrate their commitment to safety and health?				
	<i>If you have answered "Yes" to all of the Level AA questions, continue to the Level AAA questions. If you have not answered "Yes" to all of the Level AA questions, assess the mine site as a Level A.</i>				
Indicator 1 Level AAA	Has an external audit been conducted to determine the following:				
	<ul style="list-style-type: none"> The degree of consistency that the commitments are applied with respect to the intent of the COMP Safety and Health Framework, 				
	<ul style="list-style-type: none"> Whether accountabilities and responsibilities are understood, 				
	<ul style="list-style-type: none"> Whether the commitments to safety and health have been communicated to employees, contractors and suppliers at the mine site, and 				
	<ul style="list-style-type: none"> The effectiveness of the process in place to ensure that employees, contractors and suppliers who work at the mine site are aware of the commitments 				
	<i>If you have answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AAA. If you have not answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AA.</i>				
	<p>ASSESSED LEVEL OF PERFORMANCE</p> <p>FOR INDICATOR 1 Level: ____</p>				

	Question	Y	N	NA	Description & Evidence
INDICATOR 2: PLANNING AND IMPLEMENTATION					
Indicator 2 Level B	Have safety and health management systems been established?				
	Are risk control tools available?				
	Are safety standards and procedures in place?				
	<i>If you have answered "Yes" to all of the Level B questions, continue to the Level A questions. If you have not answered "Yes" to all of the Level B questions, assess the mine site as a Level C.</i>				
Indicator 2 Level A	Is a documented safety and health management system established, implemented and maintained?				
	At a minimum, does it incorporate: <ul style="list-style-type: none"> Objectives and targets, with supporting plans to achieve them? 				
	<ul style="list-style-type: none"> Hazard identification, risk assessment (HIRA) and control processes? 				
	<ul style="list-style-type: none"> An industrial hygiene program? 				
	<ul style="list-style-type: none"> Defined roles and responsibilities for safety and health management? 				
	<ul style="list-style-type: none"> Workplace inspections? 				
	<ul style="list-style-type: none"> Maintenance of safety and health records? 				
	<ul style="list-style-type: none"> Are resources assigned to establish, implement, maintain and improve the safety and health management system and validate effectiveness of controls? 				
<i>If you have answered "Yes" to all of the Level A questions, continue to the Level AA questions. If you have not answered "Yes" to all of the Level A questions, assess the mine site as a Level B.</i>					
Indicator 2 Level AA	Has an internal audit been conducted to determine the degree of conformance of the planning and implementation of the safety and health management system to the Level A requirements?				

<p><i>If you have answered "Yes" to all of the Level AA questions, continue to the Level AAA questions. If you have not answered "Yes" to all of the Level AA questions, assess the mine site as a Level A.</i></p>				
<p>Indicator 2 Level AAA</p>	<p>Has an external audit been conducted to determine the degree of conformance of the planning and implementation of the safety and health management system to the Level A requirements?</p>			
	<p><i>If you have answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AAA. If you have not answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AA.</i></p>			
<p>ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 2</p>			<p>Level: _____</p>	

	Question	Y	N	NA	Description & Evidence
INDICATOR 3: TRAINING, BEHAVIOUR AND CULTURE					
Indicator 3 Level B	Has some safety and health training been provided at the mine site?				
	Are job/worker observations completed in some cases at this mine site?				
	<i>If you have answered "Yes" to all of the Level B questions, continue to the Level A questions. If you have not answered "Yes" to all of the Level B questions, assess the mine site as a Level C.</i>				
Indicator 3 Level A	Is a, planned, documented and functional safety and health training program in place? Does it include:				
	<ul style="list-style-type: none"> • Training needs analysis for employees, including consideration of required skills and competencies, and Orientation for employees, on-site contractors and visitors? 				
	<ul style="list-style-type: none"> • Training provided to employees and on-site contractors takes into account the risks to which they are exposed? 				
	<ul style="list-style-type: none"> • The training program is implemented and includes a mechanism for review? 				
	<ul style="list-style-type: none"> • Training records are maintained? 				
	<ul style="list-style-type: none"> • Resources are assigned to implement and maintain the training program? 				
	<ul style="list-style-type: none"> • Trainees are assessed for competency where tasks have safety and health competency-based requirements? 				
	<ul style="list-style-type: none"> • Trainers are qualified to deliver safety and health training program? 				
	<ul style="list-style-type: none"> • Training includes hazard identification and control with a focus on prevention and proactive measures? 				
	<ul style="list-style-type: none"> • A job observation program supports and reinforces training to ensure routine safety checks and coaching are in place to encourage safe behavior and work practices? 				

	<ul style="list-style-type: none"> Does the mine site have mechanisms in place for the participation of workers in hazard identification, risk assessment and determination of controls and taking into account input from workers in setting OH&S objectives? 				
<p><i>If you have answered "Yes" to all of the Level A questions, continue to the Level A questions. If you have not answered "Yes" to all of the Level A questions, assess the mine site as a Level B.</i></p>					
Indicator 3 Level AA	<p>Does the mine site encourage organizational engagement in key requirements for health and safety by integrating safety and health criteria into core business processes and practices including</p> <ul style="list-style-type: none"> The annual business plan, Purchasing decisions, Performance appraisal processes, and The compensation system (i.e. the compensation is affected by safety and health performance?) 				
	<p>Do the mine site's programs promote and encourage health and wellness and healthy lifestyle?</p>				
<p><i>If you have answered "Yes" to all of the Level AA questions, continue to the Level AAA questions. If you have not answered "Yes" to all of the Level AA questions, assess the mine site as a Level A.</i></p>					
Indicator 3 Level AAA	<p>Is the commitment to safety and health visibly embedded throughout the mine site?</p>				
	<p>Does the mine site management visibly demonstrate commitment with one-on-one interactions with employees?</p>				
	<p>Are trainers assessed for effectiveness?</p>				
<p><i>If you have answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AAA. If you have not answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AA.</i></p>					
<p>ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 3</p>					<p>Level: _____</p>

	Question	Y	N	NA	Description & Evidence
INDICATOR 4: MONITORING AND REPORTING					
Indicator 4 Level B	Are some safety and health metrics monitored and reported to mine site management on a regular basis, beyond regulatory requirements?				
	Are key performance indicators reported or posted within the mine site?				
	<i>If you have answered "Yes" to all of the Level B questions, continue to the Level A questions. If you have not answered "Yes" to all of the Level B questions, assess the mine site as a Level C.</i>				
Indicator 4 Level A	Is there a, documented safety and health monitoring and reporting program in place that includes:				
	<ul style="list-style-type: none"> Performance metrics that are clearly defined, consistently applied, regularly assessed and internally reported, and used to analyze trends for informing decisions and guiding continuous improvement? 				
	<ul style="list-style-type: none"> Monitoring program that includes tracking and internal reporting of leading and lagging indicators, safety and health and industrial hygiene inspection and monitoring, health surveillance, and incident investigation and follow up? 				
	<ul style="list-style-type: none"> A safety and health audit program is in place, and compliance audits and management system audits are conducted in accordance with the audit plan? 				
	<ul style="list-style-type: none"> The mine site assesses the adequacy and effectiveness of its safety and health management system annually and makes recommendations on how to make continual improvement? 				

	<ul style="list-style-type: none"> Regular management review of safety and health performance for the purpose of continual improvement and to inform decision-making? 				
	<ul style="list-style-type: none"> Results of workplace monitoring, inspection and follow-up action are recorded and communicated within the mine site. Safety and health performance is communicated to the public on at least an annual basis? 				
<p><i>If you have answered "Yes" to all of the Level A questions, continue to the Level AA questions. If you have not answered "Yes" to all of the Level A questions, assess the mine site as a Level B.</i></p>					
Indicator 4 Level AA	Has the mine site internally audited the safety and health data and information collection, compilation and reporting to ensure a consistent process is used to collect reliable data and information?				
	<p><i>If you have answered "Yes" to all of the Level AA questions, continue to the Level AAA question. If you have not answered "Yes" to the Level AA questions, assess the mine site as a Level A.</i></p>				
Indicator 4 Level AAA	Has the mine site externally audited the safety and health data and information collection, compilation and reporting to ensure a consistent process is used to collect reliable data and information?				
	<p><i>If you have answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AAA. If you have not answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AA.</i></p>				
	ASSESSED LEVEL OF PERFORMANCE			Level: _____	
	FOR INDICATOR 4				

	Question	Y	N	NA	Description & Evidence
INDICATOR 5: PERFORMANCE					
Indicator 5 Level B	Are safety and health performance targets set for employees of the mine site?				
	Are targets communicated to employees?				
	<i>If you have answered "Yes" to all of the Level B questions, continue to the Level A questions. If you have not answered "Yes" to all of the Level B questions, assess the mine site as a Level C.</i>				
Indicator 5 Level A	Do performance targets include on-site contractors?				
	Is mine site management involved in setting, reviewing, and improving performance relative to targets?				
	Are performance results communicated to employees and on-site contractors?				
	Is the mine site fatality-free in the reporting year?				
	<i>If you have answered "Yes" to all of the Level A questions, continue to the Level AA questions. If you have not answered "Yes" to all of the Level A questions, assess the mine site as a Level B.</i>				
Indicator 5 Level AA	Are performance targets set for both leading and lagging indicators?				
	Does senior mine site management regularly review site targets and improvement plans through meetings?				
	Does the mine site (or company) benchmark its safety and health performance against its peers?				
<i>If you have answered "Yes" to all of the Level AA questions, continue to the Level AAA question. If you have not answered "Yes" to the Level AA questions, assess the mine site as a Level A.</i>					
Indicator 5 Level AAA	Has the mine site consistently met its continual improvement performance targets (at least 3 of the last 4 years)?				
	Was the mine site fatality free over the entire four-year period?				

<p>Does the mine site externally audit its safety and health performance to ensure accuracy and reliability of performance information?</p>				
<p><i>If you have answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AAA. If you have not answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AA.</i></p>				
<p>ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 5</p>			<p>Level: _____</p>	

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