**FINNISH TOWARDS SUSTAINABLE MINING (TSM) STANDARD**

**ASSESSMENT PROTOCOL**

**A Tool for Assessing Health and Safety Management Performance**

**Introduction**

This document provides a tool for assisting companies in the facility-level assessment of their current standard of health and safety management. The level of health and safety management performance is monitored using five performance indicators in accordance with this assessment tool. It enables key performance indicators to be segregated, and performance improvements for each indicator to be tracked from year to year. The use of this protocol also enhances the consistency of health and safety management performance assessments conducted across companies. In addition, the tool has been designed to enable the external verification of company performance.

**Assessing Health and Safety Implementation**

The purpose of the assessment protocol is to provide guidance to companies in completing their evaluation of health and safety management. The assessment should:

* assist companies in developing their capacity to monitor and improve their performance
* provide a basis for the related auditing.

Professional judgement is required when assessing the management system. The application of the assessment protocol of the Finnish TSM standard requires that the assessor have sufficient expertise in the practice of health and safety management and management systems assessment. When carrying out an assessment, account must be taken of cooperation between the employer and employees. The assessment protocol of the Finnish TSM standard is not, in itself, a guarantee of the effectiveness of health and safety activities, but can be used to measure performance levels. A self-assessment checklist is attached to the document (Appendix 2).

**Performance Indicators**

Five performance indicators have been established for health and safety:

* 1. Corporate policy, commitment and accountability
  2. Planning, implementation and operation
  3. Training, behaviour and culture
  4. Monitoring and reporting
  5. Performance

Five levels of performance are identified for each indicator. Assessment criteria are used to further define performance at each level. The assessor must assess whether the company or the performance of the site/facility meets the assessment criteria for the performance indicators, by answering the questions presented in the self-assessment checklist. A base assumption is made that all companies are in compliance with all legal and regulatory requirements.

Specific assessment criteria for each performance indicator are provided in subsequent tables, to enable the assessor to determine an appropriate level of performance (Levels C-AAA). When conducting the assessment, assessors should note that the five indicators complement one another. The performance level is determined by the fulfilment of the requirements of the criteria.

Wherever a performance element or performance indicator is irrelevant, the assessment given should be N/A. For each indicator, only one level can be reached, which is determined by the lowest level that meets the requirements. All criteria at that level and below must be met. The overall level of the Health and Safety Management is determined by the lowest level achieved.

**The goal of each company is to achieve an “A” ranking at a minimum and to work towards continuous improvement.**

**Facility-level Assessments**

Companies are expected to complete an assessment and report on the performance indicators for health and safety management for each distinct site or facility. When planning the assessment, account must be taken of the organisational structure of mining operators, as companies may categorise their facilities and define their sites in various ways. This assessment protocol focuses on companies operating in Finland and their facilities and sites, in particular.

Facility-level reporting has been found to be the most reliable, informative and useful approach to performance evaluation. An on-line database to be used for reporting will be designed to facilitate assessment on a facility-by-facility basis.

**Assessment Process**

It is recommended that the assessment include interviews, discussions and document reviews. The assessment must include site management, as well as production and specialist personnel. A level of expertise in systems assessment and knowledge and experience of health and safety management is required. For each performance indicator, only one level can be reached if all criteria for that level and all preceding levels have been met. No partial levels of performance (e.g. B+) can be reported.

Where an operation is shared between two parties, e.g. a joint venture, the two parties are encouraged to discuss who should complete the assessment, and whether it should be undertaken jointly or divided up so that the results reflect the appropriate activities of each company.

**Structure of the Assessment Protocol**

For each performance indicator, the assessment protocol provides:

* a statement of purpose that expresses the spirit and intent of the indicator
* assessment criteria for each level of performance (C-AAA)
* supporting guidelines to help the assessor understand the general scope of each indicator and to act as a framework for reviewing documentation and conducting interviews necessary for the assessment of the company’s or facility’s performance
* Frequently Asked Questions (FAQs) that provide further information, such as definitions of key terms and answers to more commonly asked questions.

**PERFORMANCE INDICATOR 1:**

**HEALTH AND SAFETY MANAGEMENT POLICY, COMMITMENT AND ACCOUNTABILITY**

**Purpose:**

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

|  |  |
| --- | --- |
| **Performance Indicator 1**  **Health and Safety Management Policy, Commitment and Accountability**  **ASSESSMENT CRITERIA** | |
| **Level** | **Criteria** |
| **C** | Activities meet the requirements set in Finnish legislation. Staff and contractors understand their responsibility for health and safety. |
| **B** | The company has a health and safety policy in place. The policy may not be consistent with the intent of the Finnish TSM Health and Safety Framework.  The policy has been communicated to site staff, contractors and other key communities of interest. |
| **A** | Commitments are defined and authorized by the company’s senior management and are consistent with the intent of the Finnish TSM Health and Safety Framework.  Accountabilities, responsibilities, obligations and other tasks have been documented and are maintained. The commitment to promote health and safety is understood at all levels of the organisation. |
| **AA** | Internal audit has been conducted to determine that the policy is up to date and consistent with the Health and Safety Framework of the Finnish TSM standard, accountabilities and responsibilities are documented and understood, and the policy requirements and commitment to improve health and safety have been communicated to staff, contractors and other key communities of interest. |
| **AAA** | External audit has been conducted to determine that the policy is up to date and consistent with the Health and Safety Framework of the Finnish TSM standard.  The company management actively demonstrates a pioneering approach in its commitment to the continuous improvement of health performance and prevention of accidents. |

|  |  |  |
| --- | --- | --- |
| **Health and Safety Management Policy, Commitment and Accountability**  **FREQUENTLY ASKED QUESTIONS** | | |
| **No. in APPX. 1.** | **FAQ** | **PAGE** |
| [1](#_bookmark1) | How is a health and safety management system certified to the ISO 45001 standard taken into account in the assessment protocol? | [See page](#_bookmark1) 16 |
| 2 | What is meant by “pioneering approach” required at Level AAA? | [See page](#_bookmark1) 17 |
| 4 | How do you determine whether a health and safety management policy is consistent with the Health and Safety Framework? | See page 17 |
| 5 | Can corporate documentation be used to demonstrate facility-level commitment? | See page 17 |
| [6](#_bookmark4) | What is meant by “suppliers”? | [See page](#_bookmark4) 17 |
| 10 | What does audit mean? | See page 18 |
| 11 | Can a company or site/facility achieve a Level of AAA upon the satisfactory completion of an external audit, without having completed a level AA internal audit? | See page 18 |
| [12](#_bookmark9) | How is “senior management” defined? | [See page](#_bookmark9) 18 |
| 17 | What do “accountability” and “responsibility” mean? | [See page](#_bookmark18) 19 |
| **Health and Safety Management Policy, Commitment and Accountability**  **SUPPORTING GUIDELINES FOR THE ASSESSOR**  Through interviews and the review of documentation, clarify the following issues:   * Board and executive level accountability are documented in writing. * There is a company-wide health and safety policy. The policy has been communicated clearly. * Managers and employees appear to be familiar with the health and safety policy. * Management and employee awareness of the policy are maintained over time. Also determine the specific means employed. * The policy includes the principle of continuous improvement of health and safety. * Audit processes are in place to verify the policy. * An internal or external of the policy has been carried out within the last three years * A Company management has actively demonstrated their commitment by demonstrating a pioneering approach. | | |

**PERFORMANCE INDICATOR 2**

**HEALTH AND SAFETY MANAGEMENT PLANNING, IMPLEMENTATION AND OPERATION**

**Purpose:**

To confirm that processes have been established to effectively plan for and manage health and safety to prevent the occurrence of any accidents. Hazard identification, risk assessment and workplace inspections are integral to an effective system. Activities cover all employees, contractors and other communities of interest.

|  |  |
| --- | --- |
| **Performance Indicator 2**  **Health and Safety Management Planning, Implementation and Operation**  **ASSESSMENT CRITERIA** | |
| **Level** | **Criteria** |
| **C** | Activities meet the requirements set in Finnish legislation. |
| **B** | Health and safety management system is established and implemented. Risk control tools are used consistently. There are established procedures in place for ensuring occupational safety and their suitability is regularly reviewed. |
| **A** | Documented health and safety management system has been fully implemented. At a minimum, it incorporates:   * Objectives and targets, with supporting plans for achieving them * Practices for hazard identification, risk assessment and control * The planning of activities is based on risk assessment in normal operations and during process changes * Procedures for the continuous improvement of safety, taking into account the applicable legislation and standards and their maintenance * Roles and responsibilities related to health and safety management. * A health and safety programme that covers workplace inspections and industrial hygiene measurements (including chemical, physical and biological exposures) and other monitoring considered necessary on the basis of risk assessment * A monitoring programme that includes reference values or safety limits for monitoring results, as well as the measures to be taken if the values or limits are exceeded * Maintenance of health and safety records * Annual, measurable health and safety targets based on the principle of continuous improvement.   Sufficient resources are assigned to establishing, implementing and maintaining the health and safety management system. |
| **AA** | Annual assessments are carried out in health and safety management planning, implementation and operation to establish how activities exceed legal requirements, and objectives are set to exceed these in:   * cooperation * the prevention of accidents * continuous improvement of performance.   The implementation of risk assessments and the appropriateness of the methods used are assessed internally every three years, to ensure the functionality of the methods used in the improvement of health and safety.  Internal audit has been conducted to determine whether planning and implementation of the safety and health management system meets the requirements of Levels A and AA. |
| **AAA** | A pioneering approach is applied to health and safety management planning, implementation and operation. New innovations and practices have been developed and implemented to prevent accidents and promote health.  External audit has been conducted to determine whether planning and implementation of the safety and health management system meets the requirements of Levels A - AAA. |

|  |  |  |
| --- | --- | --- |
| **Health and Safety Management Planning, Implementation and Operation**  **FREQUENTLY ASKED QUESTIONS** | | |
| **No. in APPX. 1.** | **FAQ** | **PAGE** |
| 1 | How is a health and safety management system certified to the ISO 45001 standard taken into account in the assessment protocol? | See page 16 |
| 2 | What is meant by “pioneering approach” required at Level AAA? | See page 17 |
| [3](#_bookmark0) | What is meant by hazard identification and risk assessment? | [See page](#_bookmark0) 17 |
| [10](#_bookmark4) | What does audit mean? | [See page](#_bookmark4) 18 |
| [1](#_bookmark9)1 | Can a company or site/facility achieve a Level of AAA upon the satisfactory completion of an external audit, without having completed a level AA internal audit? | [See page](#_bookmark9) 18 |
| [13](#_bookmark11) | What is meant by “planning”? | [See page](#_bookmark11) 19 |
| [16](#_bookmark15) | What is a “system”? | [See page](#_bookmark15) 19 |
| **Health and Safety Management Planning, Implementation and Operation**  **SUPPORTING GUIDELINES FOR THE ASSESSOR**  Through interviews and the review of documentation, clarify the following issues:   * The system in place conforms to the company’s health and safety policy. * The system includes a planning phase with hazard identification and risk assessment and controls outlined. The controls and standards are designed to ensure compliance with legal and other requirements, and for meeting objectives and targets. * There has been consultation and involvement with the workforce and the health and safety committee. All employees have been able to participate in the process, since consideration has been given to their language and culture. * The system is operational and the organisation can provide documentation on its implementation and use. * Workplace health and safety hazard identification and assessment and health monitoring are well documented. * The system includes a functioning document management system. * The set objectives exceed legal requirements. Also determine how the planning of activities ensures that the set objectives exceed legal requirements. | | |

**PERFORMANCE INDICATOR 3**

**HEALTH AND SAFETY MANAGEMENT TRAINING, BEHAVIOUR AND CULTURE**

**Purpose:**

To confirm that practices (processes) have been established to effectively train employees, contractors and suppliers in health and safety to ensure that all parties are competent in identifying hazards and preventing incidents, while understanding that health and safety is a shared responsibility and that safety behaviour is integral to controlling risks.

|  |  |
| --- | --- |
| **Performance Indicator 3**  **Health and Safety Management Training, Behaviour and Culture**  **ASSESSMENT CRITERIA** | |
| **Level** | **Criteria** |
| **C** | Health and safety training, behaviour and culture meet the requirements set in Finnish legislation. |
| **B** | A documented health and safety training programme is in place that includes orientation training for all employees, contractors, other suppliers and visitors.  Job observations are completed regularly as planned.  Management investigates all incidents and accidents and takes the necessary measures to prevent recurrences of similar accidents. |
| **A** | Training and practices are based on risk assessment.  The selection criteria for contractors and suppliers include health and safety.  A documented health and safety training programme is in place that, in addition to the Level B elements, includes risk-based training and documentation on the systematic analysis of training needs.  The documented training programme is annually updated, implemented and followed. Resources are assigned annually to enable the implementation of the training programme. Trainees and trainers are assessed to ensure their competency.  Training is designed to implement hazard identification and reporting programmes, with a focus on prevention and proactive measures.  Training is supported by a documented programme that ensures regular safety checks and coaching. These encourage safe behaviour and work practices. Tools are in place to collect observations relating to working practices and methods during safety checks. |
| **AA** | The need for any modifications to the safe practices as well as content and methods of occupational safety training is assessed internally annually to ensure that the health and safety awareness of employees, contractors and other key parties improves continuously.  The facility encourages a safety-based culture by integrating health and safety criteria into core business processes and practices, including: the annual business planpurchasing decisionsperformance appraisals for all staff, andthe compensation system (the compensation system must not lead to a preference for not reporting accidents). The facility’s programmes promote and encourage health and wellness and healthy lifestyle, both during work and leisure time. |
| **AAA** | The commitment to health and safety is visibly embedded throughout the facility (e.g. instructions, guidance and tidiness).  Management visibly demonstrates a commitment to a high-quality health and safety culture in interactions with employees, contractors, suppliers, visitors and other communities of interest.  The company applies new training methods and continuously develops training content, for example as regards safe practices, first aid and emergency operations.  External audit has been conducted to determine that the safe practices and the content of occupational safety training improves the health and safety awareness of employees, contractors and other key parties. |

|  |  |  |
| --- | --- | --- |
| **Health and Safety Management Training, Behaviour and Culture**  **FREQUENTLY ASKED QUESTIONS** | | |
| **No. in APPX. 1.** | **FAQ** | **PAGE** |
| 1 | How is a health and safety management system certified to the ISO 45001 standard taken into account in the assessment protocol? | [See page](#_bookmark3) 16 |
| [5](#_bookmark3) | Can corporate documentation be used to demonstrate facility-level commitment? | [See page](#_bookmark3) 17 |
| [6](#_bookmark4) | What is meant by “suppliers”? | [See page](#_bookmark4) 17 |
| 10 | What does audit mean? | [See page](#_bookmark3) 18 |
| 11 | Can a company or site/facility achieve a Level of AAA upon the satisfactory completion of an external audit, without having completed a level AA internal audit? | [See page](#_bookmark3) 18 |
| 15 | What is “compensation”? | [See page](#_bookmark3) 19 |
| 1[6](#_bookmark13) | What is a “system”? | [See page](#_bookmark13) 19 |

**Health and Safety Management Training, Behaviour and Culture**

**SUPPORTING GUIDELINES FOR THE ASSESSOR**

Through interviews and the review of documentation, clarify the following issues:

* A training needs analysis has been conducted and the training system has been designed and implemented to respond to the results of the training needs analysis.
* Adequate resources have been assigned to enable the implementation of the training programme. The system, its communication, and the associated training programmes include hazard identification, risk assessment and control processes. It also actively promotes safe and healthy behaviour and wellness.
* Competency need-based training programmes are in place for employees.
* Training is required for contractors.
* The orientation programme for new employees, contractors and visitors includes a detailed health and safety training component.
* The training systems are operational and the organisation can provide documentation on their implementation and use.
* The training programme is updated annually.
* How the need for modifications to the content and methods of training are taken into account in the content of training.

**PERFORMANCE INDICATOR 4**

**HEALTH AND SAFETY MANAGEMENT MONITORING AND REPORTING**

**Purpose:**

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

|  |  |
| --- | --- |
| **Performance Indicator 4**  **Health and Safety Management Monitoring and Reporting**  **ASSESSMENT CRITERIA** | |
| **Level** | **Criteria** |
| **C** | Activities meet the requirements set in Finnish legislation. No formal monitoring and reporting of health and safety performance beyond legal requirements. |
| **B** | Some health and safety metrics are monitored and reported to facility management on a regular basis, going beyond legal requirements.  Key performance indicators are reported or posted within the facility. Performance measures are not reported publicly. |
| **A** | A documented and fully functional health and safety monitoring and reporting programme is in place that includes:   * Performance metrics that are regularly assessed and reported, and used for trending and prioritising improvements * The recording and investigation of near accidents and accidents, internal reporting of safety management, health and safety inspections and the monitoring of results, and follow up * The monitoring, analysis of the results and follow up of industrial hygiene measurements (including chemical, physical and biological exposures) * The results of risk assessments and monitoring of the related action plans * A documented health and safety audit programme * Annual internal assessments of the adequacy and effectiveness of the health and safety management system of the facility, including recommendations on how to make continual improvements * A regular management review of health and safety performance and the results of the management system review, as a feed-in for decision-making * The results of workplace monitoring, inspections and follow-up actions are reported or posted routinely within the facility * Annual public reporting of health and safety performance |
| **AA** | Internal audit has been conducted to determine whether the health and safety data and information collection, compilation and reporting processes are in place and applied on an ongoing basis. |
| **AAA** | The company has implemented health and safety data and information collection, compilation and reporting systems that demonstrate a pioneering approach to the open reporting of health and safety performance.  The company also communicates its best practices to other operators in the industry.  External audit has been conducted to determine whether the safety and health data and information collection, compilation and reporting processes are in place and applied on an ongoing basis. |

|  |  |  |
| --- | --- | --- |
| **Health and Safety Management Monitoring and Reporting**  **FREQUENTLY ASKED QUESTIONS** | | |
| **No. in APPX. 1.** | **FAQ** | **PAGE** |
| [1](#_bookmark4) | How is a health and safety management system certified to the ISO 45001 standard taken into account in the assessment protocol? | [See page](#_bookmark4) 16 |
| [2](#_bookmark8) | What is meant by “pioneering approach” required at Level AAA? | [See page](#_bookmark8) 17 |
| 10 | What does audit mean? | [See page](#_bookmark9) 18 |
| [11](#_bookmark12) | Can a company or site/facility achieve a Level of AAA upon the satisfactory completion of an external audit, without having completed a level AA internal audit? | [See page](#_bookmark12) 18 |
| [14](#_bookmark15) | What is “workplace monitoring”? | [See page](#_bookmark15) 19 |

**Health and Safety Management** **Monitoring and Reporting**

**SUPPORTING GUIDELINES FOR THE ASSESSOR**

Through interviews and the review of documentation, clarify the following issues:

* The facility has practices (processes) in place for tracking health and safety performance.
* Performance indicators are tracked, and whether these indicators include indicators for near accidents, accidents and safety management, the results of health and safety inspections and monitoring, health surveillance, and incident investigation and follow-up.
* Performance indicators also include the results of industrial hygiene measurements.
* Consistent approaches to collecting, compiling and analysing health and safety data are in place, and that these practices are documented where appropriate.
* Performance metrics are used for trending and prioritising improvements.
* Responsibility has been assigned for monitoring and reporting on health and safety performance.
* A formal annual review of the health and safety management system occurs to assess the effectiveness and adequacy of the management system, and if the results are reported to facility management.
* There is a health and safety audit programme in place.
* The frequency with which health and safety performance data and information are reported to facility management, and how these data and information are used to inform decision-making.
* Key performance indicators are communicated to facility personnel and, if so, how.
* The results of workplace monitoring, inspection and follow-up action are reported or posted routinely within the facility.
* Key health and safety indicators are reported publicly and, if so, how.
* Systems and programmes are in place to enable periodic internal and/or external audit of the health and safety reporting system, and whether internal and/or external audits have occurred within the last three years.
* Best practices are communicated to other operators in the industry and, if so, how.

**PERFORMANCE INDICATOR 5**

**HEALTH AND SAFETY MANAGEMENT PERFORMANCE**

**Purpose:**

To confirm that continual improvement targets have been established at each facility in order to prevent accidents, and that performance relative to targets is regularly assessed.

If a facility has had a fatality within the reporting year, it is not eligible for Performance Level A or higher. We recognise that zero accidents are the ultimate goal for all facilities.

|  |  |
| --- | --- |
| **Performance Indicator 5**  **Health and Safety Management Performance**  **ASSESSMENT CRITERIA** | |
| **Level** | **Criteria** |
| **C** | A system is in place for setting health and safety performance targets for employees of the facility. The system meets the requirements set in Finnish legislation. |
| **B** | Health and safety performance targets for employees and contractors are established annually.  Performance targets are consistently tracked. Targets and the related performance are communicated to employees and contractors. |
| **A** | Site management is involved in setting targets, as well as reviewing and improving performance relative to targets.  Performance targets are set for near accident, accident and safety management indicators.  Senior company management regularly reviews facility-specific targets and improvement plans through formal meetings.  Communications are open and reporting is public. |
| **AA** | The occupational health and safety results of the facility correspond at least to the general level of the mining industry.  The facility internally audits its health and safety performance to ensure the accuracy and reliability. |
| **AAA** | The facility has consistently met its continual improvement performance targets (in at least three of the last four years). The facility’s lost-time injury frequency rate (LTIFR) is less than 5.  The facility externally audits its health and safety performance to ensure accuracy and reliability. |

|  |  |  |
| --- | --- | --- |
| **Health and Safety Management Performance**  **FREQUENTLY ASKED QUESTIONS** | | |
| **No. in APPX. 1.** | **FAQ** | **PAGE** |
| 1 | How is a health and safety management system certified to the ISO 45001 standard taken into account in the assessment protocol? | See page 16 |
| [7](#_bookmark4) | What level of benchmarking is adequate (Performance Indicator 5, Level AA)? | [See page](#_bookmark4) 18 |
| [8](#_bookmark6) | What would prevent a facility from achieving a Level A for Performance Indicator 5? | [See page](#_bookmark6) 18 |
| 9 | How is the lost-time injury frequency rate (LTIFR) calculated? | [See page](#_bookmark6) 18 |
| [10](#_bookmark7) | What does audit mean? | [See page](#_bookmark7) 18 |
| [11](#_bookmark9) | Can a company or site/facility achieve a Level of AAA upon the satisfactory completion of an external audit, without having completed a level AA internal audit? | [See page](#_bookmark9) 18 |
| [12](#_bookmark13) | How is “senior management” defined? | [See page](#_bookmark13) 18 |
| 16 | What is a “system”? | [See page](#_bookmark15) 19 |
| **Health and Safety Management Performance**  **SUPPORTING GUIDELINES FOR THE ASSESSOR**  Through interviews and the review of documentation, clarify the following issues:   * The system utilised for setting health and safety performance targets, including whether the system is informal or formal. * The established targets encourage continual performance improvement. * The targets relate to health and safety performance of both employees and contractors. * Performance targets are tracked, trended and assessed. * Management is involved in setting targets, as well as reviewing and improving performance relative to targets. * Performance targets and results are governed by and reviewed by management and company leaders. * Periodic reviews for continual improvements are performed relative to programmes, guidelines, systems and processes. * Compensation is linked to health and safety performance. * The facility conducts peer benchmarking of health and safety targets and performance. * The lost-time injury frequency rate (LTIFR) of the facility. | | |

**APPENDIX 1:**

**Assessing Health and Safety Management Performance**

**FREQUENTLY ASKED QUESTIONS**

|  |  |  |
| --- | --- | --- |
| **No. in APPX. 1.** | **FAQ** | **Page** |
| 1 | How is a health and safety management system certified to the ISO 45001 standard taken into account in the assessment protocol? | See page 16 |
| 2 | What is meant by “pioneering approach” required at Level AAA? | See page 17 |
| 3 | What is meant by hazard identification and risk assessment? | See page 17 |
| 4 | How do you determine whether a health and safety management policy is consistent with the Health and Safety Framework? | See page 17 |
| 5 | Can corporate documentation be used to demonstrate facility-level commitment? | See page 17 |
| 6 | What is meant by “suppliers”? | See page 17 |
| 7 | What level of benchmarking is adequate (Performance Indicator 5, Level AA)? | See page 18 |
| 8 | What would prevent a facility from achieving a Level A for Performance Indicator 5? | See page 18 |
| 9 | How is the lost-time injury frequency rate (LTIFR) calculated? | See page 18 |
| 10 | What does audit mean? | See page 18 |
| 11 | Can a company or site/facility achieve a Level of AAA upon the satisfactory completion of an external audit, without having completed a level AA internal audit? | See page 18 |
| 12 | How is “senior management” defined? | See page 18 |
| 13 | What is meant by “planning”? | See page 19 |
| 14 | What is “workplace monitoring”? | See page 19 |
| 15 | What is “compensation”? | See page 19 |
| 16 | What is a “system”? | See page 19 |
| 1[7](#_bookmark15) | What do “accountability” and “responsibility” mean? | See page 19 |

## How is a health and safety management system certified to the ISO 45001 standard taken into account in the assessment protocol?

If the mining company has a certified occupational health and safety system in accordance with the ISO 45001 (or OHSAS 18001) standard, an abridged checklist of requirements can be used for the self-assessment and verification.

Verification of results may be performed in connection with a certification or maintenance audit of a occupational health and safety system if the certifier is qualified also as a verifier and the conditions for verification are met.

## [What is meant by “pioneering approach” required at Level AAA?](#_bookmark1)

A pioneering approach requires excellence in activities related to the full range of performance indicators. In general, this requires participation in various public or similar assessments, or competitions or research and development projects to which the management shows commitment. A pioneering approach also entails progressive practices, the training of employees, reporting and communications that result in demonstrated improvements in the level of health and safety or greater openness compared to other operators in the industry. Measurable performance targets set by management can be used to clearly demonstrate a pioneering approach. A pioneering approach also means that practices or solutions improving health and safety are shared with other operators in the industry.

## What is meant by hazard identification and risk assessment?

Hazard identification and risk assessment is a documented process that ensures that all health and safety hazards have been identified, the level of risk has been assessed, and controls have been established for managing risk. A typical risk assessment process includes site surveys, safety analysis and field-based risk assessments (or similar). A systematic risk analysis is carried out using an appropriate method, such as the risk assessment described in the Crisis Management Planning Reference Guide issued by MAC, potential problem analysis, hazard and operability analysis (HAZOP) and Failsafe.

Facilities are required to document the methods they use for hazard identification and risk assessment, and the controls put in place. Each facility has a documented or electronic risk register that identifies the site hazards and controls in place for addressing the hazards, and a risk assessment tool or process that can be applied at field level.

## How do you determine whether a health and safety management policy is consistent with the Health and Safety Framework?

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

## Can corporate documentation be used to demonstrate facility-level commitment?

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

## What is meant by “suppliers”?

This term refers to vendors and contractors who work at the mine site or who physically work or enter the site.

## What level of benchmarking is adequate (Performance Indicator 5, Level AA)?

For Performance Indicator 5, Level AA, it is required that the facility or company compare its health and safety performance with the performance of other companies annually. Facilities or companies can use any of a number of methods or sources to obtain these comparative data including, for example, use of published industry data (where available), the compilation of publicly available data, participation in benchmarking studies or the initiation of benchmarking studies.

## What would prevent a facility from achieving a Level A for Performance 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, contractor or visitor because of a work-related incident arising from an activity under management control.

## How is the lost-time injury frequency rate (LTIFR) calculated?

The lost-time injury frequency rate refers to the number of lost-time injuries per hour worked. LTIFRs are reported as the number of lost time injuries per million hours worked.

## What does audit mean?

An audit is a systematic and documented independent assessment to determine whether the requirements of audited entity are met. The audit findings and conclusions are based only on the evidence. Audits are voluntary but are required to reach levels AA and AAA.

Internal audits can be conducted by employees of the company with appropriate knowledge and competencies who are independent, impartial and objective with respect to the matter being evaluated. External audits are conducted by an independent and objective person or group, such an independent consultant. The audits are valid for three (3) years.

Audit should not be confused with the verification system, which is – largely a desk-top exercise in which the TSM rating self-assigned by a facility or company against a given indicator is verified. The TSM verification is not equivalent to an audit, as outlined in the preceding paragraph, which is more detailed than verification.

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

For Performance Indicator 5: Performance, it is expected that audit or activities test the robustness and accuracy of collected health and safety performance data.

## Can a company or site/facility achieve a Level of AAA upon the satisfactory completion of an external audit, without having completed a level AA internal audit?

Yes. A company or site/facility does not need to perform an internal audit (qualifying for a rating of Level AA) before receiving a rating of Level AAA for an external audit.

## How is “senior management” defined?

For the purposes of health and safety performance measurement, senior management refers to the most senior level of management at facility level (such as the General Manager, Site Manager, etc.). Where the protocol requires management commitment and that accountability for health and safety 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).

## What is meant by “planning”?

Planning includes activities such as identifying hazards, assessing risk, and determining controls; identifying and having access to the applicable legal requirements; and, establishing and maintaining documented objectives and supporting programmes at all relevant functions and levels within the facility.

## What is “workplace monitoring”?

Workplace monitoring may include statutory and voluntary measures, such as workplace inspections, industrial hygiene monitoring, fitness for duty monitoring, ambient workplace conditions monitoring, or other similar activities.

## What is “compensation”?

Compensation is defined as the total rewards package provided to employees. Contractors and suppliers may also be rewarded.

## 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 specified objectives and to drive continual improvement in performance. A systems approach requires an assessment of what needs to be done, planning in order to achieve the set objectives, the implementation of the plan, and a review of performance in meeting the objectives. A management system also considers any personnel and resource requirements and how the documentation required for the system’s implementation will be created. The documentation covers all types of documentation (paper documents, intranet documents, electronic documents, etc.). Not all practices need to be documented. Within any system, processes and activities are usually given a certain status through clear and precise requirements that are documented as a written procedure, for example. This means that the company can clearly and easily demonstrate that the process or system in question is in place. This would also typically require documented processes or an “audit trail”.

Other definitions associated with systems are:

* Policy/Commitment: The formal expression of the management’s commitment to a particular set of issues that presents the stance of the company with respect to interested external parties. A commitment can be expressed as part of the operational principles or policy of a company.
* Practice: Informal, undocumented approaches to carrying out a task.
* Procedure: A formalised, documented description of how a task is to be carried out.

1. **What do “accountability” and “responsibility” mean?**

Accountability: The management system defines the accountable party. Management is the party that is ultimately answerable for health and safety performance and for the development and implementation of the health and safety management system at the facility. Such accountability cannot be delegated. Resources are available to the accountable party to ensure that the proper systems (training, equipment, communications, etc.) are in place for effectively meeting their health and safety goals.

Responsibility: Within the health and safety management system, specific health and safety related requirements and tasks are identified and assigned to specific positions within the facility. It is important that responsibilities and the related tasks are clearly communicated.

**APPENDIX 2: SELF-ASSESSMENT CHECKLIST**

**Health and Safety**

|  |  |  |  |
| --- | --- | --- | --- |
| **Facility/**  **Site:** |  | **Company:** |  |
| **Assessed by:** |  | **Date submitted:** |  |

|  |  |
| --- | --- |
| **SUPPORTING DOCUMENTATION/EVIDENCE:** | |
| **NAME OF DOCUMENT** | **LOCATION** |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Interviewees:** | | | |
| **NAME** | **POSITION** | **NAME** | **POSITION** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Question** | **Y** | | **N** | | **NA** | | **Description & Evidence** |
| **INDICATOR 1: CORPORATE POLICY, COMMITMENT AND ACCOUNTABILITY** | | | | | | | | |
| **Indicator 1**  **Level B**  **Indicator 1**  **Level A** | Does the company have a health and safety policy in place? |  | |  | |  | |  |
| If so, has the policy been communicated to staff, contractors and other key communities of interest? |  | |  | |  | |  |
| *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, the facility performance for indicator 1 is a Level C.* | | | | | | | |
| **Indicator 1**  **Level A** | Is a health and safety policy in place, defined and authorised by the company’s senior management? |  | |  | |  | |  |
| Are commitments consistent with the intent of the Finnish TSM Health and Safety Framework? |  | |  | |  | |  |
| Are accountabilities, responsibilities and the related obligations documented and up to date? |  | |  | |  | |  |
| Is the commitment to improve health and safety understood at all levels of the organisation? |  | |  | |  | |  |
| *If you have answered “Yes” to all of the Level A questions, continue to the Level AA question. If you have not answered “Yes” to all of the Level A questions, the facility performance for indicator 1 is a Level B.* | | | | | | | |
| **Indicator 1**  **Level AA** | Has an internal audit been conducted to determine that the policy is up to date and consistent with the Health and Safety Framework of the Finnish TSM standard, accountabilities and responsibilities are documented and understood, and the policy requirements and commitment to improve health and safety have been communicated to staff, contractors and other key COIs? |  | |  | |  | |  |
| *If you have answered “Yes” to the Level AA question, continue to the Level AAA questions. If you have not answered “Yes” to the Level AA question, the facility performance for indicator 1 is a Level A.* | | | | | | | |
| **Indicator 1**  **Level AAA** | Has an external audit been conducted to determine that the policy is up to date and consistent with the Health and Safety Framework of the Finnish TSM standard? |  |  | |  | |  | |
| Does the company management actively demonstrate a pioneering approach in its commitment to the continuous improvement of health performance and prevention of accidents? Examples? |  |  | |  | |  | |
| *If you have answered “Yes” to all of the Level AAA questions, the facility is a Level AAA facility. If you have not answered “Yes” to all of the Level AAA questions, the facility performance for indicator 1 is a Level AA.* | | | | | | | |
|  | **ASSESSED LEVEL OF THE COMPANY’S PERFORMANCE FOR INDICATOR 1** | | | | | | **Level:** | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Question** | **Y** | **N** | **NA** | **Description & Evidence** |
| **INDICATOR 2: PLANNING, IMPLEMENTATION AND OPERATION** | | | | | |
| **Indicator 2**  **Level B** | Have health and safety management systems that go beyond the statutory occupational safety and health policy been established and implemented? |  |  |  |  |
| Are risk control tools in place and used consistently? |  |  |  |  |
| Are there procedures in place for ensuring occupational safety? If so, are those processes regularly reviewed? |  |  |  |  |
| *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, the facility performance for indicator 2 is a Level C.* | | | | |
| **Indicator 2**  **Level A** | Is a documented health and safety management system in place and has it been fully implemented? |  |  |  |  |
| Does the system incorporate:   * Documented objectives and targets, with supporting plans for achieving them? * Practices for hazard identification, risk assessment and control? * The planning of activities based on risk assessment in normal operations and during process changes? * Procedures for the continuous improvement of safety, taking into account the applicable legislation and standards and their maintenance? * Roles and responsibilities related to health and safety management? * A health and safety programme that covers workplace inspections and industrial hygiene measurements (including chemical, physical and biological exposures) and other monitoring considered necessary on the basis of risk assessment? * A monitoring programme that includes reference values or safety limits for monitoring results, as well as the measures to be taken if the values or limits are exceeded? * Maintenance of health and safety records? * Annual, measurable health and safety targets based on the principle of continuous improvement? |  |  |  |  |
| Are adequate resources assigned to establishing, implementing, maintaining and improving the health and safety management system? |  |  |  |  |
| *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, the facility performance for indicator 2 is a Level B.* | | | | |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Indicator 2**  **Level AA** | Are annual assessments carried out in health and safety management planning, implementation and operation to establish how activities exceed legal requirements, and are objectives set to exceed these in:   * cooperation? * the prevention of accidents? * continuous improvement of performance? |  |  | |  |  |
| Are the implementation of risk assessments and the appropriateness of the methods used assessed internally every three years, to ensure the functionality of the methods used in the improvement of health and safety? |  |  | |  |  |
| Has an internal audit been conducted to determine that the planning, implementation and operation of the health and safety management system meets all the Level A and AA requirements? |  |  | |  |  |
| *If you have answered “Yes” to all the Level AA questions, continue to the Level AAA questions. If you have not answered “Yes” to all of the Level AA questions, the facility performance for indicator 2 is a Level A.* | | | | | |
| **Indicator 2**  **Level AAA** | Have new innovations and practices been developed for promoting health and safety? |  |  |  | |  |
| Have these new practices been implemented? |  |  |  | |  |
| Has an external audit been conducted to determine that the planning, implementation and operation of the health and safety management system meets all the Level A and AA requirements? |  |  |  | |  |
| *If you have answered “Yes” to all of the Level AAA questions, the facility is a Level AAA facility. If you have not answered “Yes” to all of the Level AAA questions, the facility performance for indicator 2 is a Level AA.* | | | | | |
|  | **ASSESSED LEVEL OF THE COMPANY’S PERFORMANCE FOR INDICATOR 2** | | | | | **Level:** |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Question** | **Y** | **N** | **NA** | **Description & Evidence** |
| **INDICATOR 3: TRAINING, BEHAVIOUR AND CULTURE** | | | | | |
| **Indicator 3**  **Level B** | Are documented health and safety training programmes in place at the facility? |  |  |  |  |
| Does the training programme include orientation training for all employees, contractors, other suppliers and visitors? |  |  |  |  |
| Have job observations been completed regularly as planned? |  |  |  |  |
| Does the management investigate all incidents and accidents and take the necessary measures to prevent recurrences of similar accidents? |  |  |  |  |
| *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, the facility performance for indicator 3 is a Level C.* | | | | |
| **Indicator 3**  **Level A** | Are training and practices based on risk assessment? |  |  |  |  |
| Have health and safety performance indicators been incorporated into the selection criteria of contractors? |  |  |  |  |
| Is a documented and fully functional health and safety training programme in place that, in addition to the Level B elements, includes:   * Risk-based training? |  |  |  |  |
| * Documentation on the systematic analysis of training needs? |  |  |  |  |
| Is the formal training programme annually updated and implemented, and are the results achieved tracked? |  |  |  |  |
| Are resources assigned annually to enable the implementation of the training programme? |  |  |  |  |
| Are trainees and trainers assessed to ensure their competency? |  |  |  |  |
| Is training designed to implement hazard identification and reporting programmes, with a focus on prevention and proactive measures? |  |  |  |  |
| Are routine safety checks and coaching in place to encourage safe behaviour and work practices? |  |  |  |  |
| Is there a checklist or other tools available for safety checks? |  |  |  |  |
| *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, the facility performance for indicator 3 is a Level B.* | | | | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Indicator 3**  **Level AA** | Is the need for any modifications to the safe practices as well as content and methods of occupational safety training assessed internally annually? |  |  |  |  |
| Is the continual improvement of health and safety awareness of employees, contractors and other key COIs ensured by the content of the health and safety trainings? |  |  |  |  |
| Does the facility encourage a safety-based culture by integrating health and safety criteria into core business processes and practices, including:   * The annual business plan? * Purchasing decisions? * Performance appraisals for all staff? * The compensation system? |  |  |  |  |
| Do the facility’s programmes promote and encourage health and wellness and healthy lifestyle, both during work and leisure time? |  |  |  |  |
|  | *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, the facility performance for indicator 3 is a Level A.* | | | | |
| **Indicator 3**  **Level AAA** | Is the commitment to health and safety visibly embedded throughout the facility? Examples? |  |  |  |  |
| Does management visibly demonstrate a commitment to the health and safety culture in interactions with employees, contractors and suppliers? |  |  |  |  |
| Does the company apply new training methods and continuously develop training content? |  |  |  |  |
| Has an external audit been conducted to determine that the contents of occupational and health and safety trainings continually improves the health and safety awareness of employees, contractors and other key COIs? |  |  |  |  |
| *If you have answered “Yes” to all of the Level AAA questions, the facility is a Level AAA facility. If you have not answered “Yes” to all of the Level AAA questions, the facility performance for indicator 3 is a Level AA.* | | | | |
|  | **ASSESSED LEVEL OF THE COMPANY’S PERFORMANCE FOR INDICATOR 3** | | | | **Level:** |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Question** | **Y** | **N** | **NA** | **Description & Evidence** |
| **INDICATOR 4: MONITORING AND REPORTING** | | | | | |
| **Indicator 4**  **Level B** | Are some health and safety metrics monitored and reported to facility management on a regular basis, beyond legal requirements? |  |  |  |  |
| Are key performance indicators reported or posted within the facility? |  |  |  |  |
| *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, the facility performance for indicator 4 is a Level C.* | | | | |
| **Indicator 4**  **Level A** | Is a documented and fully functional health and safety monitoring and reporting programme in place at the facility that includes:   * Proper performance metrics for trending and prioritising improvements? |  |  |  |  |
| * The recording and investigation of near accidents and accidents, internal reporting of safety management, health and safety inspections and the monitoring of results, and follow up? |  |  |  |  |
| * The monitoring and analysis of the results of industrial hygiene measurements and follow up? |  |  |  |  |
| * results of risk assessments and monitoring of the related action plans? |  |  |  |  |
| * A documented health and safety audit programme? |  |  |  |  |
| * Annual internal assessments of the adequacy and effectiveness of the health and safety management system, including recommendations on how to make continual improvements? |  |  |  |  |
|  | * A regular management review of health and safety performance and the results of the management system review, as a feed-in for decision-making? |  |  |  |  |
| * Routine reporting or posting of the results of workplace monitoring, inspections and follow-up actions within the facility? |  |  |  |  |
| * Annual public reporting of health and safety performance? |  |  |  |  |
| *If you have answered “Yes” to all of the Level A questions, continue to the Level AA question. If you have not answered “Yes” to all of the Level A questions, the facility performance for indicator 4 is a Level B.* | | | | |
| **Indicator 4**  **Level AA** | Has an internal audit been conducted to determine whether the health and safety data and information collection, compilation and reporting processes are in place and applied on an ongoing basis? |  |  |  |  |
| *If you have answered “Yes” to the Level AA question, continue to the Level AAA questions. If you have not answered “Yes” to the Level AA question, the facility performance for indicator 4 is a Level A.* | | | | |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Indicator 4**  **Level AAA** | Has the company implemented health and safety data and information collection, compilation and reporting systems that demonstrate a pioneering approach to the open reporting of health and safety performance? |  |  |  | |  |
| Does the company also communicate its best practices to other operators in the industry? |  |  |  | |  |
| Has an external audit been conducted to determine whether the health and safety data and information collection, compilation and reporting processes are in place and applied on an ongoing basis? |  |  |  | |  |
| *If you have answered “Yes” to all of the Level AAA questions, the facility is a Level AAA facility. If you have not answered “Yes” to all of the Level AAA questions, the facility performance for indicator 4 is a Level AA.* | | | | | |
|  | **ASSESSED LEVEL OF THE COMPANY’S PERFORMANCE FOR INDICATOR 4** | | | | **Level:** | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Question** | **Y** | **N** | **NA** | **Description & Evidence** |
| **INDICATOR 5: PERFORMANCE**  **Note: Level A cannot be reached if a fatal accident has occurred during the reporting year.** | | | | | |
| **Indicator 5**  **Level B** | Are the health and safety performance targets set for employees and contractors at the facility annually? |  |  |  |  |
| Are performance targets consistently tracked? |  |  |  |  |
| Are the targets and the related performance communicated to employees and contractors? |  |  |  |  |
| *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, the facility performance for indicator 5 is a Level C.* | | | | |
| **Indicator 5**  **Level A** | Is site management involved in setting targets, as well as reviewing and improving performance relative to targets? |  |  |  |  |
| Are performance targets set for near accident, accident and safety management indicators? |  |  |  |  |
| Does senior company management regularly review facility-specific targets and improvement plans through meetings? |  |  |  |  |
| Are the communications open and is the reporting public? |  |  |  |  |
| *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, the facility performance for indicator 5 is a Level B.* | | | | |
| **Indicator 5**  **Level AA** | Does the occupational health and safety results of the facility correspond at least to the general level of the mining industry? |  |  |  |  |
| Does the facility internally audit its health and safety performance to ensure accuracy and reliability? |  |  |  |  |
| *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, the facility performance for indicator 5 is a Level A.* | | | | |
| **Indicator 5**  **Level AAA** | Has the facility consistently met its continual improvement performance targets (in at least three of the last four years)? |  |  |  |  |
| Is the facility’s lost-time injury frequency rate (LTIFR) less than 5? |  |  |  |  |
| Does the facility externally audit its health and safety performance to ensure accuracy and reliability? |  |  |  |  |
| *If you have answered “Yes” to all of the Level AAA questions, the facility is a Level AAA facility. If you have not answered “Yes” to all of the Level AAA questions, the facility performance for indicator 5 is a Level AA.* | | | | |
|  | **ASSESSED LEVEL OF THE COMPANY’S PERFORMANCE FOR INDICATOR 5** | | | | **Level:** |