# Audit and review

1. **AIM:** Our audit and review program is a structured process that is undertaken at regular intervals to confirm that our safety management system (SMS) and control plans are implemented and remain effective in managing the hazards associated with our operation. Audits and reviews can include internal (monthly reviews and self-auditing) and external (independent) audits, where additional expertise is required.
2. **WHAT:** An internal review of our SMS will be conducted as per the requirements of the yearly plan set out in Program 1 and Form 1A. Each month, we propose to review, as a minimum, a program from our SMS along with one of our safe work method statements (SWMS). By completing these regular reviews, we intend to satisfy the requirement to have the SMS reviewed every three years.

In addition, we also plan to use the small mines safety management self-assessment tool as a less frequent but more thorough examination of our system’s effectiveness.

We will also make the necessary modifications to our SMS if a control measure is revised as a result of an incident, a worker is moved from a hazard in response to a recommendation from a health report or any other audit or review has identified a deficiency in a control measure.

If during the early stages of either review it is identified that additional external resources are required or additional subject matter experts are needed, the person nominated to initiate this requirement and seek suitably qualified people is:

1. **WHO:** The person responsible for ensuring that the monthly reviews are completed as per the yearly schedule is:

The reviews will be completed by at least one member of the management team and one worker. However, more people are encouraged to be involved.

When the small mines management self-assessment tool is used to conduct the more thorough self-assessment, the process will involve all members of the workforce and management.

1. **HOW:** When a program from the SMS, a SWMS or a control plan is being reviewed, it will be made available to the review team before the meeting to allow people the opportunity to review the documentation.

The review will consist of a comparison between the controls identified in each document and those that are used on site. Where a discrepancy is identified the document will be reviewed, modified to reflect the appropriate control, approved and returned to the master list of documents.

When the small mines management self-assessment tool is used, a formal meeting will be arranged, a copy of the document will be distributed to all participants and each member of the team will be consulted during the assessment.

1. **WHEN:** The two-tiered approach will be held at the following times and will include:

* Monthly review – will consist of a comparison between the documented instructions (SMS programs, SMWS and control plans) and what occurs on site. Held at frequencies as per the yearly plan.
* Three-yearly review – will consist of a more thorough review using the small mines safety management self-assessment tool.

1. **ACTION:** During either review, when a control document is identified as requiring modification, it will be completed in consultation with the workforce, signed off and returned to the SMS. Modifications to control documents will be approved by:

Any high and medium hazards identified during the review will be recorded in the daily diary or an action plan.

The daily diary or action plan is to be signed off as each action is completed.

1. **DOCUMENT CONTROL:** All modified documents and forms are to be recorded on the document control master list, (Form 3A). Completed forms are to be:

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| --- | --- |
| filed in: |  |
| located: |  |