



Towards Sustainable Mining



Safe, Healthy and Respectful
Workplaces Protocol



SAFE, HEALTHY AND RESPECTFUL WORKPLACES FRAMEWORK

No task is so important that it cannot be done safely and respectfully. Companies implementing TSM believe that all fatalities, injuries, and occupational illnesses can be prevented. As well, harassment, discrimination, violence, and disrespectful behaviours can be prevented in the workplace. Everyone is entitled to a safe, healthy, and respectful workplace.

Consistent with our commitment to the TSM Guiding Principles, we demonstrate leadership by protecting the physical and psychological safety, health, and wellbeing of our employees, contractors, and visitors. We also encourage and support awareness of health, safety, and respect in the communities where we operate.

Recognising the important connection between psychological health and physical health, we acknowledge a need to promote awareness and support for the physical and psychological health of workers. As companies implementing TSM, we commit to:

- Provide safe, healthy, and respectful workplaces by building, supporting, and sustaining behaviour and controls. We recognise that injury and occupational disease can be prevented and that fatalities can be eliminated. We also recognise that achieving and maintaining respectful workplaces is practical, valuable, and an expectation of employees and other communities of interest. Related controls are a shared responsibility of the company, employees, contractors, and suppliers.
- Clearly define and communicate responsibility and accountability at the board and senior management levels for the company's safety, health, and respectful workplace performance.
- Implement and review policies, strategies, standards, metrics, and accountability mechanisms to ensure that everyone understands company requirements and can fulfill them.
- Implement recognised management systems and approaches to ensure safe, healthy, and respectful workplaces, the promotion of mental and physical well-being, a culture of prevention, and improvements in performance.
- Establish effective injury prevention and return to work programs, improve workplace accessibility, and promote health and wellness at work and at home.
- Actively encourage and support contractors, suppliers, and community partners in building their capacity to be safe, healthy, and respectful.
- Recognise that governments play an important role in enabling safety, health, and respect in workplaces and that the industry should engage with them in this regard.
- Clearly define and communicate performance objectives that are integrated into business and risk management plans. Track and report on related metrics for employees and contractors, including both leading and lagging indicators.

We recognise that continuous effort is needed in areas of leadership, people, culture, behaviour, and systems, working collaboratively with all stakeholders, and supported where applicable by risk-based regulation. We will work together to identify hazards and reduce risk to as low a level as reasonably possible. Zero harm is our primary goal.

SAFE, HEALTHY AND RESPECTFUL WORKPLACES PROTOCOL

A Tool for Assessing Safe, Healthy, and Respectful Workplace Performance

Purpose

The purpose of the assessment protocol is to provide guidance to facilities in completing their evaluation of safe, healthy, and respectful workplace performance against TSM indicators. This protocol supports the implementation of the *Safe, Healthy, and Respectful Workplaces Policy*.

As with any assessment of a management system, professional judgement is required in assessing the degree of implementation of a system or indicator and the quality of management processes and intervention. Application of this protocol will require a level of expertise in auditing and systems assessment and knowledge of and experience in safety, health, and respectful workplace management systems and practices. This assessment protocol gauges the level of implementation of proactive safe, healthy, and respectful practices as part of TSM. It is not, of itself, a guarantee of the effectiveness of safe, healthy, and respectful activities, nor does it represent compliance with any workplace safety and health, or anti-discrimination legal requirements.

Performance Indicators

The Safety and Health Protocol contains six indicators:

1. Commitments and Accountability
2. Safety and Health Management Systems
3. Psychological Safety and Respectful Behaviour
4. Training, Behaviour and Culture
5. Monitoring and Reporting
6. Physical Safety and Health Performance

This protocol maintains industry's strong focus on best practices for managing physical safety and health and introduces requirements related to psychological safety and respectful behaviour through a new indicator. In expanding the protocol, initial focus is on the prevention of harmful behaviours to prevent harm and support psychological wellbeing. The protocol also introduces criteria for leading practice to identify and manage all psychosocial hazards¹ as part of the system to manage safety, health and psychological wellbeing.

This protocol is closely linked to the TSM Equitable, Diverse, and Inclusive Workplaces Protocol, which includes a requirement for a corporate strategy on equity, diversity, and inclusion, as well as facility-level requirements to foster a workplace culture of equity, diversity, and inclusion. New requirements related to psychological safety and respect in the TSM Safe, Healthy, and Respectful Workplaces Protocol serve as an important basis for the achievement of equity, diversity, and inclusion—and vice versa. Companies will likely need to engage internal subject matter experts across safety, human resources, and other business areas to ensure a collaborative approach to implementation of both protocols.

¹ Psychosocial hazards potentially contributing to physical and psychological harm are broadly characterised into organisational aspects such as job characteristics, design and management; the working environment and equipment; and behaviours.

INDICATOR 1: COMMITMENTS AND ACCOUNTABILITY

Purpose

To confirm that the facility has established clear accountability for safety, health, and respectful workplace management and performance, and that safety, health, and respectful workplace commitments have been established and clearly communicated to employees, contractors and suppliers.²

Assessment Criteria

Level	Criteria
C	The facility does not meet all Level B criteria.
B	<ol style="list-style-type: none"> 1. Demonstrated commitment to safe, healthy and respectful workplaces is evident.³ 2. One or more senior management representatives are accountable for safe, healthy, and respectful workplaces. 3. The facility has developed an action plan to meet all Level A requirements.
A	<ol style="list-style-type: none"> 1. Commitments are defined and authorised by the company's senior management and are consistent with the intent of the MCA Safe, Healthy and Respectful workplaces policy. 2. There is a process in place to ensure that employees, contractors, and suppliers who work at the facility are aware of the company's safety, health, and respectful workplaces commitments. 3. Accountabilities and responsibilities are understood at all levels.
AA	<ol style="list-style-type: none"> 1. An 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 MCA Safe, Healthy and Respectful Workplaces policy • Whether accountabilities and responsibilities are understood • Whether the commitments have been communicated to employees, contractors, and suppliers at the facility • Whether processes are in place to ensure that employees, contractors, suppliers, who work at the facility are aware of the commitments. 2. Employees and contractors who work at the facility at the facility demonstrate their commitment to safe, healthy and respectful workplaces.

² A facility may be an individual site or operation. See FAQ 3 for a flexible approach to determining a facility for TSM reporting.

³ See FAQ 30 for minimum safety and health commitments.

Level	Criteria
AAA	<p>1. An external audit has been conducted to determine:</p> <ul style="list-style-type: none"> • The degree of consistency that the commitments are applied with respect to the intent of the MCA Safe, Healthy and Respectful Workplaces policy • Whether accountabilities and responsibilities are understood • Whether the commitments have been communicated to employees, contractors, and suppliers at the facility • The effectiveness of the process in place to ensure that employees, contractors, and suppliers who work at the facility are aware of the commitments.

INDICATOR 2: SAFETY AND HEALTH MANAGEMENT SYSTEMS

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. While this indicator focuses primarily on physical safety and health, some requirements also relate to psychological safety and health.

Assessment Criteria

Level	Criteria
C	The facility does not meet all Level B criteria.
B	<ol style="list-style-type: none">1. Some safety and health management system elements are established, including a clear incident notification and investigation process.2. Risk control tools are identified and available.3. The facility has identified the most common tasks.4. Standard operating procedures and safe work practices are in place for the facility's most common tasks.⁴5. The facility has developed an action plan to meet all Level A requirements.
A	<ol style="list-style-type: none">1. A documented physical safety and health management system is established, implemented and maintained.⁵ At a minimum, it incorporates:<ul style="list-style-type: none">• Objectives and targets, with supporting plans to achieve them• A hazard identification risk assessment (HIRA) and control processes• Identification of high consequence hazards and related critical controls• An occupational hygiene program⁶• Defined roles and responsibilities for physical safety and health management• Workplace inspections• Maintenance of physical safety and health records.2. Resources are assigned to establish, implement, maintain, and improve the physical safety and health management system and validate effectiveness of controls.

⁴ Standard Operating Procedures, also referred to as Safe Operating Procedures, Safe Work Procedures or Safe Work Method Statements, contain step-by-step instructions on how to safely perform a task.

⁵ See FAQ 33 for Safety and Health Management Systems.

⁶ Occupational hygiene may also be referred to as industrial hygiene in some jurisdictions.

Level	Criteria
AA	<ol style="list-style-type: none"> 1. An internal audit has been conducted to determine whether planning and implementation of the physical safety and health management system meets the requirements of Level A. 2. Occupational hygiene risks and controls have been reviewed by a qualified hygienist. 3. The facility has verified on a pre-determined frequency that critical controls are in place and functioning, and the definition of critical controls differentiates between critical controls, mitigating controls and underpinning controls. 4. The facility has identified psychosocial hazards including harmful behaviours and the potential risks are assessed, managed, and monitored as part of the safety and health management system.
AAA	<ol style="list-style-type: none"> 1. An external audit has been conducted to determine whether planning and implementation of the physical safety and health management system meets the requirements of Level A. 2. Occupational hygiene program is subject to the oversight of a qualified hygienist. 3. Facility-specific and especially hazardous tasks have been identified, and critical controls for those tasks have been identified through an established controls identification methodology (such as a bowtie analysis) and reviewed on a pre-determined frequency.

INDICATOR 3: PSYCHOLOGICAL SAFETY AND RESPECTFUL BEHAVIOUR

Purpose

To confirm that the facility implements processes and programs to promote psychological safety and respect in the workplace.

Assessment Criteria

Level	Criteria
C	The facility does not meet all Level B criteria.
B	<ol style="list-style-type: none"> 1. The facility has a mechanism for workers to report incidents related to psychological safety and respect. 2. The facility has developed an action plan to meet all Level A requirements.
A	<ol style="list-style-type: none"> 1. Existing policies and processes are reviewed to integrate the promotion of psychological safety and respect 2. The facility has programs to promote and encourage health and wellness, including mental health and a healthy lifestyle. 3. The facility communicates to workers its policies and processes to promote psychological safety and respect. 4. There are trauma-informed processes to report and respond to incidents of psychologically unsafe, harmful, or disrespectful behaviour in the workplace. These include: <ul style="list-style-type: none"> • Training and resources to support informal incident resolution among coworkers, with the aim of fostering a workplace culture of continual improvement and learning related to psychological safety and respect • A prompt, confidential, and impartial mechanism for reporting and responding to concerns, complaints, or suggestions that require support or investigation beyond informal incident resolution processes.
AA	<ol style="list-style-type: none"> 1. The facility collaborates with relevant internal or external communities of interest to review its trauma-informed reporting and response processes at Level A and, if appropriate, to develop alternative processes. 2. The facility communicates to its broader supply chain its policies and processes to promote psychological safety and respect. 3. The facility sets performance objectives, or applies performance objectives set at the corporate level, related to psychological safety and respect. These include: <ul style="list-style-type: none"> • Action plans developed to achieve performance objectives • Demonstration of progress towards performance objectives and internal reporting on this progress. 4. A program is developed to support worker mental health and assist when required.

AAA	<ol style="list-style-type: none">1. There is an internal audit at least every three years of the Level A and Level AA criteria<ul style="list-style-type: none">• The internal audit engages a cross-section of perspectives and experiences that include relevant labour or worker groups and individuals who are underrepresented in the mining industry• Results of the internal audit are communicated to workers and reported publicly.2. The facility collaborates with relevant communities of interest to promote psychological safety and respect in community settings.3. The facility integrates the principles of psychological safety and respect into its procurement processes and contractor relationships.
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INDICATOR 4: TRAINING, BEHAVIOUR AND CULTURE

Purpose

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

Assessment Criteria

Level	Criteria
C	The facility does not meet all Level B criteria.
B	<ol style="list-style-type: none"> 1. Basic training on safety and health hazards and risks, including high consequence tasks, has been provided at the facility and training records are maintained. 2. Basic training on psychological safety, respectful behaviour, identification of psychosocial hazards, and assessment of psychosocial risks, has been provided at the facility; training records are maintained. 3. The facility has developed an action plan to meet all Level A requirements.
A	<ol style="list-style-type: none"> 1. A planned, documented and functional safe, healthy, and respectful workplace training and awareness programs are 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 • Processes to ensure that trainers are competent and/or to ensure the quality of training programs • A job observation program supports and reinforces training through routine safety checks and coaching to encourage safe behaviour and work practices • An observation and engagement program for psychological safety and respect that supports and reinforces training • The facility has mechanisms in place for the participation of workers in hazard identification, risk assessment and determination of controls and considering input from workers in setting safe, healthy and respectful workplace objectives. 2. The training and awareness program includes hazard identification and control, with a focus on preventative and proactive measures. This should address physical and psychosocial hazards and provide internal and external mechanisms to address these issues

Level	Criteria
AA	<ol style="list-style-type: none"> 1. The facility encourages organisational engagement by integrating safe, healthy and respectful workplaces criteria into core business processes and practices, including at a minimum: <ul style="list-style-type: none"> • The annual business plan • Purchasing decisions • Performance appraisal processes • The compensation system (i.e. the rewards package provided to employees is affected by safety and health performance). 2. Guidelines are implemented for workplace design and culture that prioritise physical and psychological safety, respect, and accessibility.
AAA	<ol style="list-style-type: none"> 1. The commitment to safe, healthy and respectful workplaces is visibly embedded throughout the facility. 2. Facility management visibly demonstrates commitment with one-on-one interactions with employees. 3. Processes are in place to monitor and assess the effectiveness of training programs.

INDICATOR 5: MONITORING AND REPORTING

Purpose

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

Assessment Criteria

Level	Criteria
C	The facility does not meet all Level B criteria.
B	<ol style="list-style-type: none"> Some basic training, safety, health and respectful workplace metrics are monitored and reported to facility management on a regular basis, going beyond regulatory requirements. Key performance indicators are reported or posted within the facility. The facility has developed an action plan to meet all Level A requirements.
A	<ol style="list-style-type: none"> Documented physical and psychological safe, healthy and respectful workplaces monitoring and reporting occurs, including: <ul style="list-style-type: none"> Performance metrics are clearly defined, consistently applied, regularly assessed (including against broader industry performance) and internally reported Performance metrics are used to analyse trends for informing decisions and guiding continuous improvement Data is collected on the number and types of reported issues related to psychological safety and respectful behaviour, with ongoing monitoring and analysis of this data. A safety and health monitoring program includes: <ul style="list-style-type: none"> Tracking and internal reporting of leading and lagging indicators Safety and health and occupational hygiene inspection and monitoring Health monitoring⁷ Organisational culture monitoring, and Incident investigation and follow-up A physical safety and health audit program is in place, and compliance audits and management system audits are conducted in accordance with the audit plan The physical safety and health monitoring and audit programs include a focus on high consequence hazards The facility 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 physical and psychological safety and health performance takes place for the purpose of continual improvement and to inform decision-making

⁷ Health monitoring is referred to as health surveillance in some jurisdictions.

Level	Criteria
	<ul style="list-style-type: none"> • Results of workplace monitoring, inspection and follow-up action are recorded and communicated within the facility • Physical and Psychological safety and health performance is communicated to the public at least once per year.
AA	<ol style="list-style-type: none"> 1. An internal audit has been conducted to determine whether the physical safety and health data and information collection, compilation and reporting meets the requirements of Level A. 2. Thresholds and triggers related to the performance of critical controls are in the process of being developed and implemented, with some thresholds and triggers already in place. 3. The physical safety and health monitoring and audit programs include a focus on critical controls. 4. The facility analyses aggregated and anonymised information on the response, resolution, and/or remediation of respectful workplace and psychological safety issues reported to the facility's response mechanism and conducts ongoing monitoring and analysis
AAA	<ol style="list-style-type: none"> 1. An external audit is conducted to determine whether the physical safety and health data and information collection, compilation and reporting meet the requirements of Level A. 2. An internal evaluation of effectiveness is conducted, and a tracking process is in place for opportunities for improvement identified. This includes evaluation of the quality of investigations and the close-out of actions, contributing to a culture of continuous improvement.

INDICATOR 6: PHYSICAL SAFETY AND HEALTH PERFORMANCE

Purpose

Recognising the industry's commitment to eliminating fatalities, injuries and occupational illnesses, the purpose of this indicator is to confirm that continual improvement targets have been established at each facility and performance relative to targets is assessed.

Assessment Criteria

Level	Criteria
C	The facility does not meet all Level B criteria.
B	<ol style="list-style-type: none"> 1. Physical safety and health performance targets are set for employees of the facility. 2. Targets are communicated to employees. 3. The facility has developed an action plan to meet all Level A requirements.
A	<ol style="list-style-type: none"> 1. Performance targets include on-site contractors. 2. Facility management is involved in reviewing and improving performance relative to targets. 3. Performance results are communicated to employees and on-site contractors on a pre-determined frequency. 4. The facility has not had a fatality in the reporting year.
AA	<ol style="list-style-type: none"> 1. Performance targets are set for both leading and lagging indicators. 2. Senior company management reviews performance on a pre-determined frequency against facility targets and associated improvement plans. 3. The facility (or company) benchmarks its physical safety and health performance against its peers.
AAA	<ol style="list-style-type: none"> 1. The facility 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. 2. The facility externally audits its physical safety and health performance to ensure accuracy and reliability.

APPENDIX 1: FREQUENTLY ASKED QUESTIONS

Definitions

The definitions below are provided to support a common understanding of protocol criterion, it should be recognised that some may defined safety and health law applicable to the jurisdiction in which the facility operates.

1. **What is a workplace?**

There are several useful definitions of a 'workplace'. For example, the National Standard of Canada on Psychological Health and Safety in the Workplace defines a 'workplace' as:

"An area or location where a worker works for an organization or is required or permitted to be present while engaging in service (including social events) on behalf of an organization."

Safe Work Australia defines a 'workplace' as:

"Any place where work is carried out for a business or undertaking and includes any place where a worker goes, or is likely to be, while at work. This may include offices, factories, shops, construction sites, vehicles, ships, aircraft or other mobile structures on land or water."

For more information, see:

CAN/CSA-Z1003-13/BNQ 9700-803/2013 – [Psychological Health and Safety in the Workplace](#).

Safe Work Australia. n.d. [A Glossary of common and complex terms and their definitions](#).

2. **What is a 'respectful workplace'?**

A respectful workplace is one free from harmful behaviours like harassment, discrimination, bullying, or violence.

The Government of British Columbia, for example, defines a respectful workplace as follows:

A respectful workplace is one where integrity, fairness, collaboration, professionalism and trust are the norm.

A respectful workplace:

- *Is inclusive*
- *Values diversity*
- *Clearly communicates expectations around behaviour*
- *Promotes employee health and safety*
- *Provides resources and training to resolve disputes*
- *Strives for improvement*
- *Has open channels of communication*

For more information, see Government of British Columbia. 2021. [Promote respect in the workplace](#).

3. **How is a 'facility' defined for reporting purposes?**

Flexibility is provided in determining what constitutes a facility for the purposes of meeting TSM reporting requirements. Where appropriate, companies may wish to take an aggregated approach to individual activities or sites (e.g., due to close proximity or connected operations). The definition of facility should be consistent across all TSM protocols.

4. **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 facility level (e.g., 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). Verification of this requirement will not require engagement with corporate headquarters located outside of Australia. Senior management may be defined in applicable safety and health law.

5. What is meant by ‘contractors and suppliers at the facility’?

This term refers to vendors and contractors who work at the site or who physically enter the site. It is expected that a facility communicates relevant health and safety commitments to those contractors and suppliers who work at or physically enter the site.

6. What does ‘accountability’ mean?

Accountability means that the management system must identify the party who is ultimately answerable for safety and health performance and the development and implementation of the management system at the facility. 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.

7. What does ‘responsibility’ mean?

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

Responsibility may be defined in applicable safety and health law.

8. What is meant by ‘risk control tools’?

At Level B facilities are expected to have basic risk control tools in place to enable employees and contractors who work at the facility to identify hazards and put controls in place prior to undertaking tasks. This could include the use of checklists, pre-starts, workplace inspections or personal risk assessment tools (e.g., ‘Take 5’, SLAM or STAR).

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

These may also be called Workplace Risk Assessments. In Australia, these are prescribed by law and relevant state and territory legislation.

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

- Site surveys
- Hierarchy of controls
- Risk register
- HAZOP and Fail-safe 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.

To demonstrate that a facility has “hazard identification, risk assessment and control processes” in place, it is expected the facility 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 facility would have a risk assessment tool or process that can be applied at the field level.

10. 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 or to reduce or eliminate the consequences of an unwanted event.

For more information, see: ICMM. 2015. [Health and Safety Critical Control Management](#).

Control measures are defined by [Safe Work Australia](#) as an action taken to eliminate or minimise health and safety risks so far as is reasonably practicable. A hierarchy of control measures is set out in the WHS Regulations to assist duty holders to select the highest control measures reasonably practicable.

11. What is meant by a ‘qualified hygienist’?

To achieve Level AA for Indicator 2, the facility must be able to demonstrate that its occupational hygiene risks and controls have been reviewed by a qualified hygienist. To achieve Level AAA for Indicator 2, the facility must be able to demonstrate that its occupational hygiene program is overseen by a qualified hygienist. These reviews should be conducted by, or under the direction of, a person who is qualified based on knowledge, training and/or experience in accordance with recognised occupational hygiene practice.

Examples of relevant certification or qualifications include:

- Certified Occupational Hygienist (COH)
- Certified Industrial Hygienist (CIH)
- Registered Occupational Hygienist (ROH)
- Full Member of the Australian Institute of Occupational Hygienists (MAIOH)
- Successful completion of an acceptable degree in Science or Engineering (or equivalent):
 - Master of Occupational Hygiene
 - Master of Occupational Health and Safety (major in Occupational Hygiene)
 - Graduate Diploma of Occupational Hygiene
 - Master of Science (Occupational Hygiene Practice).

12. 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 facility (Adapted from ISO 45001).

13. What is a ‘system’?

A ‘system’, or ‘management system’, refers to 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 assessing what needs to be done, planning to achieve the objective, implementing the plan and reviewing performance in meeting the set goal. A management system

also considers necessary personnel, resources and documentation. Other definitions associated with systems are:

- **Policy:** An expression of management's commitment to a particular issue 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.

14. 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.

15. What are 'preventing controls' and 'mitigating controls'?

As indicated in FAQ 8, a control is an act, object or system intended to prevent or mitigate an unwanted event or to reduce or eliminate the consequences of an unwanted event.

- A preventive control reduces the likelihood of an unwanted event occurring
- A mitigating control eliminates or reduces the consequences of the unwanted event.

16. What are 'material unwanted events', 'critical controls' and 'underpinning controls'?

Material unwanted event (MUE) are where the potential or real consequence exceeds a threshold defined by the company as warranting the highest level of attention (e.g., a high-level health or safety impact).

- A critical control is one that is crucial to preventing or mitigating the consequences of a material unwanted event. The absence or failure of a critical control would significantly increase risk despite the existence of other controls. A control that prevents more than one unwanted event or mitigates more than one consequence is normally classified as critical. A critical mitigating control eliminates or reduces to within an acceptable threshold the consequences of the material unwanted event
- An underpinning control is an activity or mechanism that is not critical (i.e. does not represent a direct barrier to an unwanted event) but is important in maintaining or supporting the effectiveness of critical controls. These might include training systems, monitoring activities, and operating or response plans. This is a broad category that may include activities within the management systems that support having the critical control able to do what is required, such as inspections, and that may provide information for verification of the status of the critical control.

For more information, see: ICMM. 2015. [Health and Safety Critical Control Management](#) and ICMM. 2015. [Critical Control Management Implementation Guide](#).

17. What is a 'bowtie analysis'?

A bowtie analysis (BTA) is an analytical method for identifying and reviewing controls intended to prevent or mitigate a specific unwanted event. For more information, see: ICMM. 2015. [Health and Safety Critical Control Management](#).

18. What is 'psychological safety'?

In Western Australia, Psychological safety is defined as creating an environment where staff can speak up, share ideas, ask questions and make mistakes without fear of humiliation or retribution.

In *The 4 Stages of Psychological Safety: Defining the Path to Inclusion and Innovation*, Timothy R. Clark outlines four stages of psychological safety—that is, creating the conditions in which individuals feel: 1) included, 2) safe to learn, 3) safe to contribute, and 4) safe to challenge the status

quo. As the basis of psychological safety, 'inclusion safety' has strong links to the TSM Equitable, Diverse, and Inclusive Workplaces Protocol.

For more information, see:

Government of Western Australia. [Psychologically Safe and Inclusive Workplaces](#)

Timothy R. Clark. 2020. The 4 Stages of Psychological Safety: Defining the Path to Inclusion and Innovation. Berrett-Koehler Publishers, Inc.

Amy Edmosnson. 2023. [Psychological Safety](#)

19. What is 'psychological health and safety' and a 'psychologically safe and healthy workplace'?

'Psychological health and safety' refers to the wider application of the management approach to the identification of psychosocial hazards and mitigation of risks, as it is in the discipline of health and safety. It alludes to applying the hierarchy of controls to reducing risk to ALARP (as low as reasonably practicable), and employing a PDCA approach (plan, do, check, act) in order to monitor the work environment and controls over time and continuously improve.

The National Standard of Canada on Psychological Health and Safety in the Workplace defines 'psychological safety' as "the absence of harm and/or threat of harm to mental well-being that a worker might experience" with a note that "improving the psychological safety of a work setting involves taking precautions to avert injury or danger to worker psychological health".

The National Standard of Canada on Psychological Health and Safety in the Workplace defines a psychologically healthy and safe workplace as "a workplace that promotes workers' psychological well-being and actively works to prevent harm to worker psychological health including in negligent, reckless, or intentional ways."

For more information on psychological health safety, see:

ISO 45003:2021. [Occupational health and safety management — Psychological health and safety at work — Guidelines for managing psychosocial risks.](#)

CAN/CSA-Z1003-13/BNQ 9700-803/2013. [Psychological Health and Safety in the Workplace.](#)

Canadian Centre for Occupational Health and Safety. 2023. [Psychological Health and Safety for Employers.](#)

20. What is a 'psychosocial hazard'?

Safe Work Australia defines psychosocial hazards or factors as anything in the design or management of work that increases the risk of work-related stress. A stress response is the physical, mental and emotional reactions that occur when a worker perceives the demands of their work exceed their ability or resources to cope.

Psychosocial hazards are typically defined as:

- high or low job demands
- low job control
- poor support
- traumatic events or material
- remote or isolated work
- lack of role clarity
- poor organisational change management
- inadequate recognition

- poor organisational justice, and
- poor environmental conditions.
- violence and aggression
- bullying
- harassment including sexual harassment or gender-based harassment, and
- conflict or poor workplace relationships and interactions.

According to WorkSafe Victoria, “psychosocial hazards are factors in the design or management of work that increase the risk of work-related stress and can lead to psychological or physical harm”. Physical impacts of psychosocial hazards can include increased accident and injury rates or physical violence or harassment towards coworkers or other individuals inside or outside the workplace.

According to the Government of Western Australia Department of Mines, Industry Regulation and Safety: “These include stress, fatigue, bullying, violence, aggression, harassment and burnout, which can be harmful to the health of workers and compromise their wellbeing”.

For more information, see:

WorkSafe Victoria. 2022. [Psychosocial hazards contributing to work-related stress](#).

Australian Government Comcare. 2022. [Psychosocial hazards](#).

Safe Work Australia. n.d. [Psychosocial hazards](#).

Government of Western Australia Department of Mines, Industry Regulation and Safety. n.d. [Psychosocial hazards overview](#).

Canadian Centre for Occupational Health and Safety. 2022. [Musculoskeletal Disorders - Psychosocial Factors](#).

Guarding Minds @ Work. 2020. [Know the Psychosocial Factors](#).

21. What does ‘trauma-informed’ mean?

The Minerals Council of Australia provides important guidance on trauma-informed care and practice in the context of responses to sexual harassment and violence. In brief, this means emphasising physical, psychological, and emotional safety for impacted individuals and groups, and other involved in responding to issues raised through informal and formal response mechanisms.

Minerals Council of Australia. 2021. [How to support persons affected by sexual harassment – trauma informed care](#).

22. What are ‘harmful behaviours’?

According to Safe Work Australia: “Harmful behaviours can harm the person they are directed at and anyone who witnesses the behaviour. They include:

- violence and aggression
- bullying
- harassment, including sexual harassment or gender-based harassment, racism, ableism, agism, and
- conflict or poor workplace relationships and interactions.

These harmful behaviours overlap with the behavioural psychosocial hazards but introduce additional behavioural hazards related to gender, race, disability and age.

23. 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. A Job Observation process consists of five fundamental steps:

- Plan to observe
- Observe a task
- Engage with the worker to understand the job, procedure, hazards, associated risks and controls
- Provide positive feedback or reinstruction back to the worker(s)
- Look for a commitment to continue to perform the work in a safe and healthy 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, and the results of safety investigations).

24. What is 'compensation'?

Compensation is defined as the total rewards package provided to employees.

25. What is meant by 'health monitoring'?

Occupational health monitoring is the analysis of health information intended to identify problems resulting from occupational (or non-occupational) exposures that may require intervention activities. Monitoring provides feedback to the employer by examining health surveillance data from a group of employees or a single employee to look for abnormal trends in health status. A review of group data helps identify potential exposure problems and assess the effectiveness of existing worksite controls and preventive strategies. Employees' personal medical histories must be kept confidential. Health monitoring should be undertaken by an appointed, appropriately trained medical practitioner.

For more information see Safe Work Australia. [Health Monitoring](#)

26. What is 'workplace monitoring'?

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

27. What are 'thresholds' and 'triggers'?

Companies are responsible for defining the thresholds of unacceptable critical control performance. Performance below the threshold should trigger an action, which might vary from an investigation to an order to immediately stop the relevant work processes.

For more information, see: ICMM. 2015. [Health and Safety Critical Control Management](#).

Protocol-Specific Guidance

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

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

29. How do you determine if safety and health commitments are consistent with the MCA's Safe, Healthy and Respectful Workplaces policy?

The Safe, Healthy and Respectful Workplaces policy establishes several commitments that MCA member companies agree to uphold. The spirit and intent of a company's Safe, Healthy and Respectful Workplace commitments should be consistent with that of the MCA policy. While corporate commitments are not required to include all the specific commitments identified in the policy, they should demonstrate general support and alignment with the MCA policy without expressly referring to it.

MCA Members are also required to confirm their commitment to eliminate sexual harassment by the adoption of The National Industry Code for Eliminating Sexual Harassment which establishes clear expectations on companies in developing a culture of respect that empowers individuals to raise concerns in a supportive and protected way.

The Safe, Healthy and Respectful Workplaces Framework provides additional detail on how member companies may meet the policy commitments.

30. What are minimum level commitments to safe, healthy and respectful workplaces?

Minimum-level commitments include recognition that:

- All fatalities, injuries and occupational illnesses are preventable
- No task is so important that it cannot be done safely and respectfully
- All hazards can be identified, and risks eliminated or controlled
- All instances of harassment and disrespectful behaviour in the workplace can be prevented.

31. How can employees demonstrate their commitment to safe, healthy, and respectful workplaces?

There are several ways to assess whether employees demonstrate a commitment to safe, healthy, and respectful workplaces. For example: verifications or inspections of the workplace, employee surveys on key themes (e.g., discrimination, harassment), or adherence to safety policies and rules (e.g., wearing personal protective equipment, reporting unsafe circumstances or behaviours, etc.).

The MCA has a [toolkit of resources](#), including fact sheets, guidance and templates.

32. Can actions to satisfy regulatory requirements be used to support TSM scoring?

Yes. In Australia and other countries where safety and health law is highly developed, there is expected to be overlap between what is required under law and industry good practice.

33. What should be considered in safety and health management systems?

A safety and health management system that complies with relevant legal requirements will typically include:

- Governance structures
- Policies
- Training
- Hazard identification, risk assessment and controls
- Monitoring
- Review.

It is recommended these components reflect management system requirements in line with AS/NZS ISO 45001.

34. What could be included in an occupational hygiene program?

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

- Anticipation of potential exposures arising from workplace activities (e.g., purchasing and use of hazardous substances)
- Identification or 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)
- Controls to address a range of health hazards, including biological (e.g. legionella, mould and COVID-19), and physical (e.g. vibration, noise, radiation, chemical and psychosocial) risks
- A review of the effectiveness of controls to ensure that they are working as intended to reduce or eliminate exposures

35. How can a facility set objectives and performance requirements for critical controls?

Defining critical controls' objectives, performance requirements and how performance is verified in practice is an important step in critical control management. A company can start by defining the objective of the critical control to fully understand the role, expectations and outcomes of the control. The performance requirements are the standards to which a control must perform, consist of an action and a value.

Performance requirements for a control may already exist within company documents. This can be determined by reviewing the relevant processes, procedures, maintenance manuals and other support documents. Industry standards may also help to determine performance requirements. However, caution should be applied as industry-wide standards may not be specific or directly related to the context of the control.

Performance requirements should be specific, measurable, appropriate and realistic. It is also important to define the level of performance that would initiate immediate action to shut down or change an operation or to signal that improvements to the critical control are required. For more information, see: ICMM. 2015. [Critical Control Management Implementation Guide](#).

36. How can companies support informal incident resolution among workers?

Various types of training and resources can help workers to build the skills and understanding to address incidents of harmful, unsafe, or disrespectful behaviour in the workplace. Facilities should aim to develop a workplace culture that supports dialogue, conflict resolution, and understanding to resolve such incidents, while also offering a formal reporting and response mechanism for any incidents that need to be escalated to seek an effective resolution. For example, through appropriate bystander training and supports, workers and managers might be empowered to address behaviours like microaggressions and incivility before they escalate into more serious behaviours or incidents.

Refer to the MCA [toolkit of resources](#), including fact sheets, guidance and templates.

37. What should a facility consider when designing a response mechanism for unsafe, harmful, or disrespectful behaviours in the workplace?

When establishing or reviewing a response mechanism, it is important that workers trust that their concerns will be taken seriously, and that the facility will act as appropriate. Facilities may enhance existing response mechanisms or develop new mechanisms to meet the requirements of this protocol.

When developing or reviewing a response mechanism, facilities should consider the following elements:

- Workers are aware of the mechanism, how it works, and how and when to access it
- The response process is prompt and involves regular updates to impacted individuals or groups until the issue is resolved
- The response process aims to protect the confidentiality of impacted individuals or groups, unless otherwise requested, to mitigate concerns of victimisation or reprisal
- The response mechanism is equipped with trauma-informed, early intervention strategies to support impacted individuals or groups, and these supports remain available during and after the investigation process
- The investigation process is confidential and impartial and considers the duty of care that is appropriate to all involved individuals or groups, with input sought from the impacted individual or group regarding the approach to the investigation
- The investigation process seeks to establish what occurred, as well as the root and contributing causes
- Confidential records are maintained of issues reported to the mechanism, including responses, outcomes, and timeframes
- There is a process to evaluate the response mechanism process, review lessons learned, and adjust the process as necessary.

This is not to say that all outcomes will fully satisfy all parties. Even if the outcome of the response mechanism is not that desired by the impacted individual(s), resources should be available to support those impacted by the reported incident. It can be important to acknowledge that an individual may have experienced harm even if their experience differs from the findings of the investigation process.

Refer to the MCA [toolkit of resources](#), including fact sheets, guidance and templates.

38. What are some examples of external mechanisms that can be used to address issues like harassment, discrimination, or violence?

While this protocol requires companies to have trauma-informed processes to respond to incidents of unsafe, harmful, or disrespectful behaviour in the workplace, it is also important to recognise that there are external legal mechanisms available to workers to resolve issues like harassment, discrimination, or violence. For example, the Australian Human Rights Commission and jurisdictional equal opportunity bodies, jurisdictional safety and health regulators, mediation and alternate dispute resolution services and police services.

The Australian Government People at Work [website](#) provides a free and validated Australian psychosocial risk assessment survey. The survey assesses a number of the most common psychosocial hazards and factors.

Refer to the MCA [toolkit of resources](#), including fact sheets, guidance and templates.

39. What are some considerations for workplace design that prioritise psychological health and safety, respect, and accessibility?

There are many ways in which physical infrastructure and equipment can impact workplace safety and accessibility. Some considerations might include placement of women's washrooms; gender neutral infrastructure; personal protective equipment appropriate to different genders, body types, and physical needs; or private space for needs like breastfeeding or prayer. These needs will be unique to

each workplace and should be identified through engagement with workers and relevant communities of interest, as well as through internal assessments or audits.

Companies should engage workers and relevant communities of interest to identify and assess physical and psychosocial hazards that may impede their efforts to promote inclusive and respectful workplaces. For example, facilities can identify and assess physical barriers to safety, equity, and accessibility, such as security measures, gender-appropriate facilities and personal protective equipment for a range of body types and needs. Interpersonal behaviours, such as violence or harassment, can also impact workers. Measures to address identified hazards and risks should be developed and implemented.

Refer to the [MCA toolkit](#) of resources, including fact sheets, guidance and templates

The Australian Government People at Work [website](#) provides a free and validated Australian psychosocial risk assessment survey. The survey assesses a number of the most common psychosocial hazards and factors.

Safe Work Australia has published a [Model Code of Practice: Managing psychosocial hazards at work](#) and has extensive resources on their [website](#).

40. What are some resources to support companies in addressing sexual harassment?

The Minerals Council of Australia has developed an Industry Code to implement its commitment to eliminate sexual harassment. This Industry Code outlines expectations for companies to develop a culture of respect, with a focus on honest, respectful, and open communications. The document outlines key measures to prevent and respond to sexual harassment

For more information, see:

Minerals Council of Australia. 2021. [Industry Code on Eliminating Sexual Harassment](#)

[MCA toolkit](#) of resources, including fact sheets, guidance and templates

The Australian Government Respect@Work [website](#). This contains a comprehensive set of resources (information, videos, advice, good practice guides, education and training programs and workplace-assessment tools) to support individuals and organisations to better understand, prevent and address workplace sexual harassment.

Mining Industry Human Resources Council. 2022. [Safe Workplaces for All Report: Addressing Sexual Harassment in Canadian Mining](#).

Me Too Mining Association. 2019. [DIGGER Program Training](#).

41. What does a program to support worker mental health entail?

There are many useful resources that provide guidelines and recommendations for worker mental health programs. For example:

World Health Organization. 2022. [WHO Guidelines on Mental Health at Work](#).

Australian Government organisations: [Mental Health Commission](#) and [Head to Health](#)

Mental Health Commission of Canada. 2023. [13 Factors: Addressing Mental Health in the Workplace](#).

CAMH. 2020. [Workplace Mental Health: A Review and Recommendations](#)

Canadian Centre for Occupational Health and Safety. 2022. [Workplace Health and Well-being](#).

42. How can a facility collaborate with relevant communities of interest to promote psychologically safe, healthy, and respectful behaviour in community settings?

Through engagement with workers and local communities, facilities might identify several ways to promote psychologically safe, healthy, and respectful behaviour in community settings. For example,

sharing anti-racism training programs with community organisations or providing financial support for a regional hotline for women facing abuse.

43. How can a facility 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 or activity
- Exam or acknowledgment from the facility 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.

Examples of vocational training and formal education or certifications include:

- Formal Qualifications including
 - Certificate IV in Training and Assessment
 - Certificate IV in Work Health and Safety
 - Diploma of Work Health and Safety.
- Australian Institute of Health and Safety (AIHS) members
 - Certified OHS Practitioner
 - Certified OHS Professional or Chartered OHS Professional.

Training requirements may also be defined under applicable workplace health and safety law.

44. How can psychological safety and respectful behaviour be assessed against broader industry performance?

Unlike physical health and safety, where industry-level data on health and safety incidents is widely reported and available for analysis, there may currently be some limitations to benchmarking metrics on psychological safety and respectful behaviour given the limited availability of some of this data. As companies begin monitoring and reporting on these issues, availability of data may improve.

45. What kind of information can facilities report on psychological safety and respect performance?

Facilities can collaborate with their employees and relevant communities of interest to determine the type of information that may be most relevant to report in relation to psychological safety and respect performance.

The Australian Government has published a [Good Practice Indicators Framework for Preventing and Responding to Workplace Sexual Harassment](#). The framework contains intended outcomes and indicators of good practice with respect to preventing and responding to workplace sexual harassment, as well as suggested measurements which will allow employers to benchmark and assess their performance against each indicator over time.

The Global Reporting Initiative (GRI) includes issues like workplace violence and sexual harassment in its definition of a work-related incident and psychosocial hazards like verbal abuse, harassment, and bullying in its definition of a work-related hazard. Among other disclosures, GRI 403:

Occupational Health and Safety requires companies to report:

- Processes used to investigate work-related incidents.
- Processes used to identify work-related hazards and assess risks.

- Processes for workers to report work-related hazards and hazardous situations.
- Training provided to workers on specific work-related hazards.
- Work-related hazards that pose a risk of high-consequence injury.
- Actions taken or underway to eliminate other work-related hazards.
- Work-related hazards that pose a risk of ill health.

For more information, see GRI. 2018. [GRI 403: Occupational Health and Safety](#).

46. What level of benchmarking is adequate?

Recognising the limitations of doing so, for Indicator 5: Performance (Level AA), it is expected that the facility 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. Benchmarking may be done across facilities (internal to company) with peers (external to company) or a combination of both. Benchmarking should cover the range of identified performance targets.

47. What would prevent a facility from achieving a level A for indicator 6?

Facilities that have experienced an occupational fatality within the reporting year are not eligible for level A or higher for indicator 6. 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.

AUDIT

48. What is an audit?

An audit is a formal, systematic, and documented examination of conformance with explicit, agreed-upon, prescribed criteria. Audits evaluate and report on the degree of conformance with stipulated criteria, based on the systematic collection and documentation of relevant evidence. Audits involve some degree of judgment but are not designed to determine the root cause of deficiencies. Audits can be conducted by internal or external professionals.

An internal audit is conducted by employees of the company with appropriate knowledge and competencies. These employees must be independent, impartial, and objective with respect to the management of the facility being audited. For example, they could work at another facility or at the corporate level.

An external audit is conducted by auditors that are external to the company being audited. These auditors maintain an objective viewpoint throughout the audit process to ensure that findings and conclusions are based only on the evidence.

49. What is the expected focus of audit activities?

For Indicator 5: Monitoring and Reporting, it is expected that audit activities would assess the processes in place for collecting, compiling and reporting safety, health and respect data and information to confirm that defined processes are in place and to test that these processes are being consistently applied.

For Indicator 6: Performance (Level AAA), it is expected that external audit activities would test the robustness and accuracy of collected safety, health and respect 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.

50. Can a company or facility 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 facility'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 facility 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.

51. 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.

52. How may facilities conduct audits?

Audits evaluate and report on the degree of conformance with stipulated criteria based on the systematic collection and documentation of relevant evidence. Audits involve some judgement but are not designed to determine the root cause of deficiencies or evaluate management system effectiveness.

Internal audits are conducted by employees of the company with appropriate knowledge and competencies who are independent, impartial, and objective with respect to the management of the facility being audited. For example, they could work at other facilities in the corporate portfolio or at the corporate level.

External audits are conducted by auditors who are external to the company being audited. Auditors maintain an objective viewpoint throughout the audit process to ensure that findings and conclusions are based only on the evidence. (Adapted from ISO 19011).

APPENDIX 2: SAFE, HEALTHY AND RESPECTFUL WORKPLACES

SELF ASSESSMENT CHECKLIST

Facility Name:		Company Name:	
Assessed By:		Date Submitted:	

Supporting Documentation / Evidence:	
NAME OF DOCUMENT	LOCATION

Interviewees:			
NAME	POSITION	NAME	POSITION

INDICATOR 1: COMMITMENT AND ACCOUNTABILITY

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level B	1. Is a demonstrated commitment to safe, healthy and respectful workplaces evident?				
	2. Are one or more senior management representatives accountable for safe, healthy and respectful workplaces?				
	3. Has the facility developed an action plan to meet all Level A requirements?				
	<i>If you have answered "Yes" to all the Level B questions, continue to the Level A questions. If you have not answered "Yes" to all the Level B questions, assess the facility as a Level C.</i>				
Level A	1. Are commitments defined and authorised by the company's senior management and consistent with the intent of the MCA Safe, Healthy and Respectful workplaces policy?				
	2. Is there a process in place to ensure that employees, contractors, and suppliers who work at the facility are aware of the company's safety, health and respectful workplaces commitments?				
	3. Are accountabilities and responsibilities understood at all levels?				
	<i>If you have answered "Yes" to all the Level A questions, continue to the Level AA questions. If you have not answered "Yes" to all the Level A questions, assess the facility as a Level B.</i>				
Level AA	1. Has an internal audit been conducted to determine:				
	a. The degree of consistency that the commitments are applied with respect to the intent of the MCA Safe, Healthy and Respectful workplaces policy?				

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level AA	b. Whether accountabilities and responsibilities are understood?				
	c. Whether the commitments have been communicated to employees, contractors, and suppliers at the facility?				
	d. Whether processes are in place to ensure that employees, contractors, and suppliers who work at the facility are aware of the commitments?				
	2. Do employees at the facility demonstrate their commitment to safe, healthy and respectful workplaces?				
<i>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 the Level AA questions, assess the facility as a Level A.</i>					
Level AAA	1. Has an external audit been conducted to determine:				
	a. The degree of consistency that the commitments are applied with respect to the intent of the MCA Safe, Healthy and Respectful workplaces policy?				
	b. Whether accountabilities and responsibilities are understood?				
	c. Whether the commitments have been communicated to employees, contractors, and suppliers at the facility?				
	d. The effectiveness of the process in place to ensure that employees, contractors, and suppliers who work at the facility are aware of the commitments?				
<i>If you have answered "Yes" to all the Level AAA questions, assess the facility as a Level AAA. If you have not answered "Yes" to all the Level AAA questions, assess the facility as a Level AA.</i>					
ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 1					Level: ____

INDICATOR 2: SAFETY AND HEALTH MANAGEMENT SYSTEMS

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level B	1. Have some safety and health management systems been established, including a clear incident notification and investigation process?				
	2. Are risk control tools identified and available?				
	3. Has the facility identified the most common tasks?				
	4. Are standard operating procedures and safe work practices in place for the facility's most common tasks?				
	5. Has the facility developed an action plan to meet all Level A requirements?				
	<i>If you have answered "Yes" to all the Level B questions, continue to the Level A questions. If you have not answered "Yes" to all the Level B questions, assess the facility as a Level C.</i>				
Level A	1. Is a documented safety and health management system established, implemented, and maintained? At a minimum, does it incorporate:				
	a. Objectives and targets, with supporting plans to achieve them?				
	b. A hazard identification, risk assessment (HIRA) and control processes?				
	c. Identification of high consequence hazards and related critical controls?				

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level A	d. An occupational hygiene program?				
	e. Defined roles and responsibilities for safety and health management?				
	f. Workplace inspections?				
	g. Maintenance of physical safety and health records?				
	2. Are resources assigned to establish, implement, maintain, and improve the physical safety and health management system and validate effectiveness of controls?				
<i>If you have answered "Yes" to all the Level A questions, continue to the Level AA questions. If you have not answered "Yes" to all the Level A questions, assess the facility as a Level B.</i>					
Level AA	1. Has an internal audit been conducted to determine whether planning and implementation of the physical safety and health management system meets the requirements of Level A?				
	2. Have occupational hygiene risks and controls been reviewed by a qualified hygienist?				
	3. Has the facility verified on a pre-determined frequency that critical controls are in place and functioning, and does the definition of critical controls differentiate between critical controls, mitigating controls and underpinning controls?				
	4. Has the facility identified psychosocial hazards including harmful behaviours and are potential risks assessed, managed and monitored?				
	<i>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 the Level AA questions, assess the facility as a Level A.</i>				

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level AAA	1. Has an external audit been conducted to determine whether planning and implementation of the physical safety and health management system meets the requirements of Level A?				
	2. Is the occupational hygiene program subject to the oversight of a qualified hygienist?				
	3. Have facility-specific and especially hazardous tasks been identified, and critical controls for those tasks identified through an established controls identification methodology (e.g., bowtie analysis)?				
	<i>If you have answered "Yes" to all the Level AAA questions, assess the facility as a Level AAA. If you have not answered "Yes" to all the Level AAA questions, assess the facility as a Level AA.</i>				
	ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 2			Level: ____	

INDICATOR 3: PSYCHOLOGICAL SAFETY AND RESPECTFUL BEHAVIOUR

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level B	1. Does the facility have a mechanism for workers to report incidents related to psychological safety and respect?				
	2. Has the facility developed an action plan to meet all Level A requirements?				
	<i>If you have answered “Yes” to all the Level B questions, continue to the Level A questions. If you have not answered “Yes” to all the Level B questions, assess the facility as a Level C.</i>				
Level A	1. Have existing policies and processes been reviewed to integrate the promotion of psychological safety and respect?				
	2. Does the facility have programs to promote and encourage health and wellness, including mental health, and a healthy lifestyle?				
	3. Does the facility communicate to workers its policies and processes to promote psychological safety and respect?				
	4. Are there trauma-informed processes to report and respond to incidents of psychologically unsafe, harmful, or disrespectful behaviour in the workplace? Do these include:				
	a. Training and resources to support informal incident resolution among coworkers, with the aim of fostering a workplace culture of continual improvement and learning related to psychological safety and respect?				
	b. A prompt, confidential, and impartial mechanism for reporting and responding to concerns, complaints, or suggestions that require support or investigation beyond informal incident resolution processes?				
	<i>If you have answered “Yes” to all the Level A questions, continue to the Level AA questions. If you have not answered “Yes” to all the Level A questions, assess the facility as a Level B.</i>				

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level AA	1. Does the facility collaborate with relevant internal or external communities of interest to review its trauma-informed reporting and response processes at Level A and, if appropriate, to develop alternative processes?				
	2. Does the facility communicate to its broader supply chain its policies and processes to promote psychological safety and respect?				
	3. Does the facility set performance objectives, or apply performance objectives set at the corporate level, related to psychological safety and respectful behaviour? Do these include:				
	a. Action plans developed to achieve performance objectives?				
	b. Demonstration of progress towards performance objectives and internal reporting on this progress.				
	4. Is a program developed to support worker mental health and assist when required?				
	<i>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 the Level AA questions, assess the facility as a Level A.</i>				

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level AAA	1. Is there an internal audit at least every three years of the Level A and Level AA criteria?				
	a. Does the internal audit engage a crosssection of perspectives and experiences that include relevant labour or worker groups and individuals who are underrepresented in the mining industry?				
	b. Are the results of the internal audit communicated to workers and reported publicly?				
	2. Does the facility collaborate with relevant communities of interest to promote psychological safety and respect in community settings?				
	3. Does the facility integrate the principles of psychological safety and respect into its procurement processes and contractor relationships?				
<i>If you have answered "Yes" to all the Level AAA questions, assess the facility as a Level AAA. If you have not answered "Yes" to all the Level AAA questions, assess the facility as a Level AA.</i>					
ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 3					Level: ____

INDICATOR 4: TRAINING, BEHAVIOUR AND CULTURE

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level B	1. Has basic training on safety and health hazards and risks, including high consequence tasks, been provided at the facility and are training records maintained?				
	2. Has basic training on psychological safety, respectful behaviour, identification of psychosocial hazards, and assessment of psychosocial risks been provided at the facility and are training records maintained?				
	3. Has the facility developed an action plan to meet all Level A requirements?				
	<i>If you have answered "Yes" to all the Level B questions, continue to the Level A questions. If you have not answered "Yes" to all the Level B questions, assess the facility as a Level C.</i>				
Level A	1. Is a planned, documented, and functional safety, health and respectful workplace training and awareness program in place that includes:				
	a. Training needs analysis for employees, including consideration of required skills and competencies, and orientation for employees, on-site contractors, and visitors?				
	b. The training program is implemented and includes a mechanism for review?				
	c. Training records are maintained?				
	d. Resources are assigned to implement and maintain the training program?				
	e. Trainees are assessed for competency where tasks have safety and health competency-based requirements?				
	f. Processes to ensure that trainers are competent and/or to ensure the quality of training programs?				

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level A	g. A job observation program for physical safety and health that supports and reinforces training to ensure routine safety checks and coaching are in place to encourage safe behaviour and work practices?				
	h. An observation and engagement program for psychological safety and respect that supports and reinforces training?				
	i. Does the facility have mechanisms in place for the participation of workers in hazard identification, risk assessment and determination of controls and considering input from workers in setting safety, health and respectful objectives?				
	2. Does the training and awareness program include hazard identification and control, with a focus on preventative and proactive measures? Does it address physical and psychosocial hazards and provide internal and external mechanisms to address these issues?				
	<i>If you have answered "Yes" to all the Level A questions, continue to the Level AA questions. If you have not answered "Yes" to all the Level A questions, assess the facility as a Level B.</i>				
Level AA	1. Does the facility encourage organisational engagement in key requirements for health and safety by integrating safety and health criteria into core business processes and practices, including:				
	a. The annual business plan?				
	b. Purchasing decisions?				
	c. Performance appraisal processes?				

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level AA	d. The compensation system (i.e. the rewards package provided to employees is affected by safety and health performance)?				
	2. Are guidelines implemented for workplace design and culture that prioritise physical and psychological safety, respect, and accessibility?				
	<i>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 the Level AA questions, assess the facility as a Level A.</i>				
Level AAA	1. Is the commitment to safe, healthy and respectful workplaces visibly embedded throughout the facility?				
	2. Does facility management visibly demonstrate commitment with one-on-one interactions with employees?				
	3. Are processes in place to monitor and assess the effectiveness of training programs?				
	<i>If you have answered "Yes" to all the Level AAA questions, assess the facility as a Level AAA. If you have not answered "Yes" to all the Level AAA questions, assess the facility as a Level AA.</i>				
ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 4					Level: ____

INDICATOR 5: MONITORING AND REPORTING

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level B	1. Are some basic safety and health metrics monitored and reported to facility management on a regular basis, beyond regulatory requirements?				
	2. Are key performance indicators reported or posted within the facility?				
	3. Has the facility has developed an action plan to meet all Level A requirements?				
	<i>If you have answered "Yes" to all the Level B questions, continue to the Level A questions. If you have not answered "Yes" to all the Level B questions, assess the facility as a Level C.</i>				
Level A	1. Is there a, documented physical and psychological safe, healthy and respectful workplaces monitoring and reporting program in place that includes:				
	a. Performance metrics that are clearly defined, consistently applied, regularly assessed (including against broader industry performance), and internally reported?				
	b. Performance metrics used to analyse trends for informing decisions and guiding continuous improvement?				
	c. Data is collected on the number and types of reported issues related to psychological safety and respectful behaviour, with ongoing monitoring and analysis?				
	d. A safety and health monitoring program that includes: tracking and internal reporting of leading and lagging indicators, safety and health and occupational hygiene inspection and monitoring, health monitoring, organisational culture monitoring and incident investigation and follow up?				
	e. A physical safety and health audit program in place, and compliance audits and management system audits conducted in accordance with the audit plan?				
	f. The physical safety and health monitoring and audit programs include a focus on high consequence hazards?				

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level A	g. The facility assesses the adequacy and effectiveness of its safety and health management system annually and makes recommendations on how to make continual improvement?				
	h. Regular management review of physical and psychological safety and health performance takes place for the purpose of continual improvement and to inform decision-making?				
	i. Results of workplace monitoring, inspection and follow-up action are recorded and communicated within the facility?				
	j. Physical and psychological safety and health performance is communicated to the public on at least once per year?				
	<i>If you have answered "Yes" to all the Level A questions, continue to the Level AA questions. If you have not answered "Yes" to all the Level A questions, assess the facility as a Level B.</i>				
Level AA	1. Has an internal audit been conducted to determine whether the physical safety and health data and information collection, compilation and reporting meets the requirements of level A?				
	2. Are thresholds and triggers related to the performance of physical safety and health critical controls in the process of being developed and implemented, with some thresholds and triggers already in place?				
	3. Do physical safety and health monitoring and audit programs include a focus on critical controls?				
	4. Does the facility analyse aggregated and anonymised information on the response, resolution, and/or remediation of respectful workplace and psychological safety issues reported to the facility's response mechanism and conduct ongoing monitoring and analysis?				
	<i>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 the Level AA questions, assess the facility as a Level A.</i>				

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level AAA	1. Has an external audit been conducted to determine whether the physical safety and health data and information collection, compilation and reporting meets the requirements of level A?				
	2. Has an internal evaluation of effectiveness been conducted, and is a tracking process in place for opportunities for improvement identified? Does this include evaluation of the quality of investigations and the close-out of actions, contributing to a culture of continuous improvement?				
	<i>If you have answered "Yes" to all the Level AAA questions, assess the facility as a Level AAA. If you have not answered "Yes" to all the Level AAA questions, assess the facility as a Level AA.</i>				
ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 5				Level: ____	

INDICATOR 5: PHYSICAL SAFETY AND HEALTH PERFORMANCE

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level B	1. Are physical safety and health performance targets set for employees of the facility?				
	2. Are targets communicated to employees?				
	3. Has the facility developed an action plan to meet all Level A requirements?				
	<i>If you have answered "Yes" to all the Level B questions, continue to the Level A questions. If you have not answered "Yes" to all the Level B questions, assess the facility as a Level C.</i>				
Level A	1. Do performance targets include on-site contractors?				
	2. Is facility management involved in reviewing and improving performance relative to targets?				
	3. Are performance results communicated to employees and on-site contractors on a pre-determined frequency?				
	4. Is the facility fatality-free in the reporting year?				
<i>If you have answered "Yes" to all the Level A questions, continue to the Level AA questions. If you have not answered "Yes" to all the Level A questions, assess the facility as a Level B.</i>					

	QUESTION	Y	N	NA	DESCRIPTION & EVIDENCE
Level AA	1. Are performance targets set for both leading and lagging indicators?				
	2. Does senior company management review site targets and improvement plans on a pre-determined frequency?				
	3. Does the facility (or company) benchmark its safety and health performance against its peers?				
	<i>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 the Level AA questions, assess the facility as a Level A.</i>				
Level AAA	1a. Has the facility consistently met its continual improvement performance targets (at least 3 of the last 4 years)?				
	b. Has the facility been fatality free over the entire four-year period?				
	2. Does the facility externally audit its safety and health performance to ensure accuracy and reliability?				
	<i>If you have answered "Yes" to all the Level AAA questions, assess the facility as a Level AAA. If you have not answered "Yes" to all the Level AAA questions, assess the facility as a Level AA.</i>				
ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 6				Level: ____	