CORESAFETY Gap Assessment Tool

Committed to Excellence in Mining Safety

Compare your company's current health and safety program or system to the **CORE**Safety management system modules. **Does your company have or do the following:**

CORESafety Modules	Task	Module or Process Already Exists? YES / NO	System Gap* (1 or 2)	Comments on Gap
1 **Leadership Development**	A leadership development process that will support the company in achieving the **CORE**Safety objectives.	YES / NO	1 / 2	
2 **Responsibility and Accountability**	A commitment to **CORE**Safety confirmed by the signature of your company's highest ranking officer on the NMA **CORE**Safety Pledge.	YES / NO	1 / 2	
	A written safety and health management system that is equivalent to **CORE**Safety and has ben communicated by senior management.	YES / NO	1 / 2	
	A process to ensure all employees, including management, have committed to the accomplishment of the company's safety and health management policy.	YES / NO	1 / 2	
	Written responsibilities and accountabilities for all functions (and specific individuals, as appropriate) relating to the development, implementation and maintenance of the company's safety and health management system.	YES / NO	1 / 2	
	A management-led process to assess progress towards safety and health management responsibilities and the application of positive and negative consequences, where appropriate.	YES / NO	1 / 2	
	A communication that has been circulated to all employees that:			
	• Clearly defines how the goals and objectives of your company's health and safety management system will be accomplished	YES / NO	1 / 2	
	• Establishes timeframes for meeting objectives	YES / NO	1 / 2	
	• Includes the appropriate authority and responsibilities for each management level in the company	YES / NO	1 / 2	

*1 = No process or practice in place. The gap requires management attention
2 = A process or practice functionally equivalent to stated objective is in place, but may need revision.

⊕3

Management Systems Coordination

One or more senior managers are formally designated with responsibility for ensuring a safety and health management system is developed and implemented within all affected departments, levels, facilities and business units within the organization.

YES / NO   1 / 2

A process to establish, review and continually improve performance that affects the goals and objectives of **CORE**Safety.

YES / NO   1 / 2

A process to review periodically and ensure the safety and health management system remains relevant and appropriate to the organization as it undergoes change.

YES / NO   1 / 2

⊕4

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Risk Management

A health and safety management process or system that reflects the risk associated with the company's operations and processes. (See Risk Assessment tool)

YES / NO   1 / 2

A comprehensive and prioritized assessment and proposed controls for hazards and risks at all new and existing mines and processing plants mine exploration activities, development operations, production operations and related maintenance and reclamation practices.

YES / NO   1 / 2

⊕5

Training and Competence

A task training program that ensures employees are competent for any assigned task(s), with additional training provided as determined by a needs assessment. The program accounts for differing levels of responsibility, literacy, risk and skill.

YES / NO   1 / 2

⊕6

Emergency Management

On-going procedures that respond to incidents and other emergencies with the aim of preventing or minimizing their impacts.

YES / NO   1 / 2

Procedures that define appropriate emergency supply provisions and competencies for employee and third-party rescue and medical services including:

YES / NO   1 / 2

- Communications

YES / NO   1 / 2

- Community coordination

YES / NO   1 / 2

- Recovery

YES / NO   1 / 2

And processes for responding to raw material, product, waste material and transportation incidents.

YES / NO   1 / 2

6

Emergency Management
(continued)

In coordination with federal, state and local emergency personnel, periodic tests are conducted of the company's emergency response procedures, including evaluations of the adequacy and appropriateness of emergency supplies and communications systems.

YES / NO   1 / 2

7

Culture Enhancement

A process to confidentially survey employee and contractor perceptions of health and safety at the company, with regular assessments that are used to enhance the safety culture within each mine and mining related operation.

YES / NO   1 / 2

A management-led plan to improve safety culture weaknesses that are identified in the assessment.

YES / NO   1 / 2

8

Collaboration and Communication

A process to communicate the company's health and safety management system to all employees and other stakeholders.

YES / NO   1 / 2

A consultation process that incorporates input from employees and other important stakeholders on the development, communication and implementation of the **CORE**Safety initiative within the company's health and safety efforts, with particular attention given to improving risk management and job safety performance.

YES / NO   1 / 2

A willingness to openly share safety and health practices and procedures that might be useful to other NMA companies and to participate in mutual assistance organizations and programs.

YES / NO   1 / 2

9

Reinforcement and Recognition

A program to recognize and reinforce employee participation, performance and desirable behaviors that advance the **CORE**Safety objectives.

YES / NO   1 / 2

10

Resources and Planning

The allocation of sufficient resources to support achievement of CORESafety goals and objectives.

YES / NO   1 / 2

Specific performance objectives that are measurable and reflect:

• The 0:50:5 goal

YES / NO   1 / 2

• Legal requirements

YES / NO   1 / 2

10
Resources and Planning
(continued)

- Hazards and risks — YES / NO — 1 / 2
- Technological options — YES / NO — 1 / 2
- Economic, strategic and operational requirements — YES / NO — 1 / 2
- Input from relevant stakeholders, as applicable — YES / NO — 1 / 2

11
Change Management

Processes that identify hazards, assess and prioritize risks and implement effective controls whenever changes are being introduced into any aspect of mining, including development, operations, maintenance and reclamation practices. — YES / NO — 1 / 2

12
Safe Work Procedures and Permits

Processes that identify hazards, assess and prioritize risks and implement effective controls for all operations and maintenance activities, including safe job standards for tasks and equipment operations. — YES / NO — 1 / 2

Effective operational and procedural standards that control risks associated with development, production and maintenance activities. — YES / NO — 1 / 2

13
Occupational Health

An occupational hygiene exposure assessment system that assesses and applies appropriate actions to worker health risks. — YES / NO — 1 / 2

An occupational health management mechanism to assess the physical impact of potential exposures to occupational health hazards. — YES / NO — 1 / 2

14
Incident Reporting and Investigation

An ongoing process to identify and report safety and health incidents relating to operations and other company activities, including non-conformance with the **CORE**Safety or equivalent management system. — YES / NO — 1 / 2

An ongoing process to investigate appropriate incidents to:

- Identify root causes — YES / NO — 1 / 2
- Minimize negative impacts — YES / NO — 1 / 2
- Ensure corrective action — YES / NO — 1 / 2
- Communicate key findings to internal and external stakeholders — YES / NO — 1 / 2

5 Behavior Optimization

Employee-driven processes to address at-risk behavior among workforce, including managers, that effectively enhances desired behaviors and modifies at-risk behaviors associated with injuries or illness.

YES / NO   1 / 2

6 Safety and Health Management Assurance

A Plan-Do-Check-Act improvement cycle that identifies and assesses compliance with applicable legal (federal, state and local legislative and/or regulatory requirements) and other safety and health management requirements and keeps this information current.

YES / NO   1 / 2

7 Assurance

Senior management approval (sign-off) on periodic reviews that:

- Affirm the effectiveness of the company's safety and health management system

YES / NO   1 / 2

- Ensures optimal operation and continual improvement

YES / NO   1 / 2

Regular evaluations, using metrics and other relevant performance and trend measurements, of all operations and processes that can have a significant impact on safety and health.

YES / NO   1 / 2

8 Documentation and Information Management

A summary of progress on the **CORE**Safety or equivalent management system that is up-to-date and accessible to all employees and relevant stakeholders, including NMA.

YES / NO   1 / 2

Clear and dated records of required training, reportable incidents and other management activities relevant to the accomplishment of the 0:50:5 objective. Records are accessible to all interested employees and other stakeholders.

YES / NO   1 / 2

9 Engineering and Construction

Design practices that strive to eliminate or minimize risk at its source, including for workplaces, processes, installations, fixed and mobile equipment, operations and work organization.

YES / NO   1 / 2

20

Contractor Management and Purchasing

An evaluation process that assures the qualifications of contractors working on company managed property, including their awareness of and agreement with all company safety and health management systems.

YES / NO   1 / 2

A public information program that educates all visitors, vendors, customers and third-party providers to the operational expectations of company safety and health management systems.

YES / NO   1 / 2