### CORESafety Assurance

The importance of assurance (as a process) in optimizing our SHMS.

<table>
<thead>
<tr>
<th>My Position</th>
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| □ I fully agree, just need to get it done  
□ Not sure I agree, need more info/time  
□ I disagree, need to talk to my colleagues |

The importance of using third party auditing to hold all NMA members accountable (to each other) for implementing the CORESafety SHMS, or its equivalent.

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It’s possible to comply with all MSHA/OSHA regulations while transitioning to a management system approach to safety.

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### NMA SHMS Module Expectations

#### Safety and Health Management Assurance:

- Establish a procedure to assess compliance with applicable legal and other S&H management requirements and keep this information current.

- Compliance with regulations should be managed through the Plan-Do-Check-Act improvement cycle and should be integrated with the company SHMS.

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□ Not doing this, but working on it  
□ Doing this, or something equivalent |

**Action needed:**

#### Audit and Review:

- Develop a process to measure system and S&H management performance through the use of lagging and leading indicators.

- Ensure that senior management participates in the performance assurance process to optimize transparency and ensure there are adequate resources to facilitate system improvement.

- Non-conformance against the SHMS should be addressed with appropriate actions to correct the non-conformance.

- Internal audits should be scheduled in advance and conducted by personnel with adequate experience and knowledge of SHMS, audit methods and processes.

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## Audit and Review: (cont.)
- Routine audits (and periodic external audits) should be conducted by a competent third party at an interval sufficient to ensure continuous improvement.

### Documentation and Information Management:
- Develop a documentation retention process that balances need to retain with the need to perform and improve.
- Records should be legible and identifiable linked to the activities from which they derive. They should be readily retrievable and physically protected.
- Documents retention should reflect regulatory requirements as well as company document retention policy, as appropriate.
- Determine performance trends by looking for common or significant events and patterns in root causes, inspection records, audit action items, behavior observations, etc.

### Action needed:
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### Action needed:

### Notes:

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