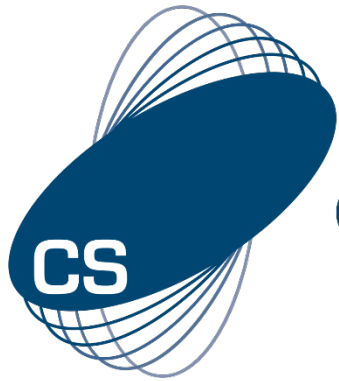


Coal Services

**Order 34**

**2017 Regional  
Communication  
Workshops**



Coal Services

# Welcome and overview

# Introduction

- Emergency Procedure
- Toilets / smoking areas
- Order 34 team and guest presenters
- Participant introductions
- Breaks – morning tea, lunch, etc.



Coal Services

# Today's Program

8.00 - 8.30 Register/coffee

8.30 - 10.00 Overview 2017 audit

Includes local area presentation

10.00 - 10.20 Morning tea

10.20 - 10.50 Proposed Mine Site trainer/  
assessor qualification and refresher

10.50 - 12.15 Maintenance of

Competence for Practising Certificates  
(Resource Regulator presenter)

12.15 - 1.00 Lunch

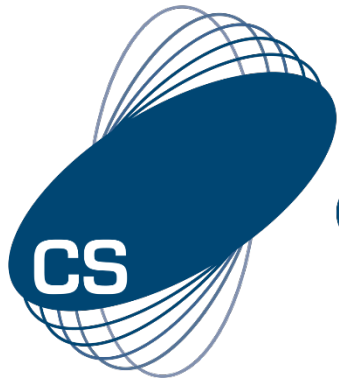
1.00 - 1.30 Virtual Reality remote platform  
and training management system

1.30 - 2.45 Small group workshops (future  
needs and feedback)

2.45 - 3.00 Conclusion



Coal Services



Coal Services

# Overview 2017 audit

# Overview 2017 audit

Topics to be addressed:

- Audit scope & purpose
- Key statistics:
- Improvement Opportunities – common themes
- Commendable Practices - common themes
- Non Conformances
- Unexpected Results
- Other issues:
- Q &A



---

# 2017 audits

## Audit scope & purpose



Coal Services

# Audit scope & purpose

## ***Purpose***

- to verify training, assessment and re-assessment for mobile plant operators, covering:
  - production,
  - transport and
  - ancillary/support
- and the associated appointments/authorisations/permits issued to mobile plant operators.



# Audit scope & purpose

## ***Scope***

- specific appointments / authorisations / permits issued to mobile plant operators
- operators of mobile plant – Production, Transport and Ancillary / Support
- assessors who conduct assessments and re-assessments
- relevant training / assessment and associated documents
- training / assessment records for nominations / appointments / authorisations / permits



# Audit scope & purpose

## ***Focus***

- significant change of focus from previous audits, which largely focussed on documents/systems
- Focus of this audit was:
  - “what is happening in practice?”
  - “what training and assessment systems/processes verify that a person is competent to operate mobile plant?”

---

# 2017 audits

## Key statistics



Coal Services

# Key Statistics

- 45 operations – audits from March to November
  - 1 more to be done
- 205 Improvement Opportunities
  - average 4.53 per operation
  - most – 13
  - least - 1
- 100 Commendable Practices
  - average 2.22 per operation
- 9 Non Conformances



---

# 2017 audits

## Improvement Opportunities



Coal Services

# Improvement Opportunities

1. Address deficiencies in Safety Alert Management system (26/45)
  - not having a register of all alerts
  - no evidence of actions being identified and followed up
  - no evidence of addressing specific training recommendations
2. Implement regular meetings of workplace trainer/assessors (25/45)

# Improvement Opportunities

3. “Nomination” to perform statutory function (21/45)
  - “appointment” rather than the WHSMPS Reg. term, “nomination”
  - “appointment” does not specify the function to be performed – i.e. wording from the WHSMPS Reg.
  - some reference old legislation (Coal Mine Health and Safety Act 2002)
  
4. Controlled copy of TCMS not the Coal Services approved version (15/45)
  - “stamped and approved” version not the controlled version



# Improvement Opportunities

5. No automated reminders for TCMS:
  - internal audit, and/or
  - review (14/45)
  
6. Trainer/assessors not trained and assessed prior to appointment (8/45)
  - roles / responsibilities / expectations
  - key requirements in TCMS
  
7. Actions from previous Order 34 audits not completed (7/45)



# Improvement Opportunities

## 8. High Risk Work Licences

- no site assessment – HRWL as evidence of competency
- no site appointment
- no alignment between HRWL expiry and site expiry

## 9. Using full assessment tool for re-assessment – suggest develop streamlined version for re-assessment

# Improvement Opportunities

10. No space on assessment tool for co-assessor / SME to write name and sign
11. Internal audits of TCMS
  - no internal audit done
  - actions not completed
12. No separation of trainer and assessors
13. Not displaying skills matrix or providing skills list to workers

# Improvement Opportunities

14. Difference in training/assessment standards for mine v's CHPP
15. Review requirement for minimum hours in “operate solo” phase
16. Integrate learnings from past site incidents into training materials
17. No specific assessments on “higher risk” LHD attachments (U/G issue)
18. Re-assessment on mobile plant only based on theory questions – no practical observation



---

# 2017 audits

## Commendable Practices



Coal Services

# Commendable Practices

- a. Safety Alert Management system (though 26/45 had this as an IO)
- b. Access to training records through kiosk or site log-in system
- c. Process after Not Yet Competent (NYC) at first assessment
- d. Use of log books
  - used during the “operate solo” phase of learning
  - best examples - signed by supervisor or trainer each day



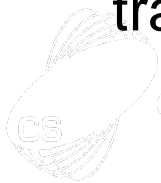
# Commendable Practices

- e. Delegation of authorisations for mobile plant
- f. Separation of trainers and assessors
- g. Specific training and assessment for workplace trainer/assessors prior to appointment
- h. Trainer/assessor guide given to trainer/assessors at time of appointment
- i. Use of lead trainer/assessors, in addition to crew trainers – to conduct final assessment



# Commendable Practices

- j. Simplified authorisation process
- k. Dedicated “training area” in mine
- l. Regular meetings of trainer/assessors – used for maintaining competence and maintaining standards
- m. Well thought out nomination of persons to perform statutory functions under Schedule 10 of the WHSMPS Reg.
- n. Involving trainer/assessors in review of training and assessments documents



# Commendable Practices

- o. No time-frame pressures on workers learning to operate mobile plant
- p. (at most operations) Very good systems of communicating incidents, investigation findings and actions
- q. Access to more than one mentor/trainer when in “operate solo” phase
- r. Comprehensive and complete training records
- s. Delegation of the TNA to process owners





# Commendable Practices

- t. Simplified authorisation process requiring only signatures of the trainer/assessor and Shift Undermanager

---

# 2017 audits

## Non Conformances



Coal Services

# Non Conformances

- Total 9 NCR's at 6 operations
- Issues:
  - No re-assessment intervals for mobile plant
  - Internal audits not done
  - Controlled version of TCMS is not the version approved by Coal Services
    - Note - this NC is not just stamp is missing but completely different version was uploaded with significant differences



---

# 2017 audits

## Unexpected Results



Coal Services

# Unexpected Results

- Safety Alert Management system
  - 26/45 operations had this as an IO
- Controlled copy of the TCMS
  - Why can't the “stamped and approved” version from Coal Services be placed on the document control system as the ‘controlled copy’?”
- High Risk Work Licences
  - Risk at a number for operations that a worker may operate equipment requiring a HRWL when the HRWL has expired



# Unexpected Results

- Forms for “nomination to perform statutory function”:
  - at some CHPP operations, trades not “nominated” or “appointed”
  - the forms need review at 21 out of 45 operations audited

---

# 2017 audits

Other issues



Coal Services

# Other issues

- The Order 34 Guideline makes it clear that Maintenance of Competence is required for :
  - all persons performing Statutory Functions, not just those requiring a Practising Certificate – cl. 3.13
  - workplace trainer/assessors – cl. 3.4.3
  - all appointments / authorisations / skills / competencies (as per the re-assessment requirements – cl. 3.12)



# Other issues

- Audit preparation:
  - generally excellent
  - requested documents sent prior to audit – 100%
  - significant improvement from earlier audits
- Availability of workers to interview:
  - we asked for 6, and most sites provided 4 to 6
  - some smaller sites had difficulty providing that many
  - some larger sites provided many less than expected





Questions?



Coal Services