



Internal Audit Tool Template

Order 34 Guideline 2018 – cl. 8.1.1



Disclaimer:

This Audit Tool is designed to assist coal operations to audit and improve their Training Scheme. It is not an absolute measure of legislation compliance. The contents of this document are intended as general guidance only. Operators and managers of coal operations should rely upon their own advice, skills and experience in auditing and reviewing Training Schemes for their coal operation.

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Introduction

A. Customisation

This Audit Tool has been developed as a template for use by coal operations. As part of preparation for an audit, the auditor should customise the **Evidence** column in every section. The purpose of this customisation is to:

- a. pre-determine all the evidence to be collected during the audit, based on the training systems and processes at the specific coal operation
- b. determine the relevant people to interview, and
- c. enable comprehensive preparation for the audit.

B. Interview guideline

A significant part of evidence collection for this type of audit is the information obtained from interviews. As part of preparation for an audit, the auditor should prepare for interviews by:

- a. determining the relevant people to interview
- b. develop interview questions for each interviewee before the audit (*auditor tip – use a separate sheet for interview questions and answers – an example of a format for this is **Attachment A – Interview Form***)
- c. provide to each interviewee a copy of their questions (*auditor tip – it is very helpful if the interview questions are completed by the interviewee before the interview – the interview can be conducted in a shorter time, and can be used to verify answers and explore any issues arising from the answers*).

C. Auditor skills

Internal auditors should be competent in the training and assessment processes, and have current knowledge and practical experience as a minimum. In addition, it is preferable (but not compulsory) that they have trainer / assessor qualifications.



1. Resources

		What to look for:	Evidence (write your audit notes here):
1.1 The Training and Competence Management Scheme (TCMS) must describe the provision of adequate training and assessment resources commensurate with the size and nature of the coal operation.		Does the coal operation have appropriate training resources and aids? <i>Note the additional guidance under s. 1.1 of the Guideline.</i>	<u>Documents and Records</u> <u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i> • • <u>Observations</u> • <i>Training room(s) with audio visual aids?</i> • <i>Training handbooks / guides?</i> • <i>Assessment resources?</i>
1.2 The TCMS must describe how the coal operation provides for specialist qualified training and / or assessment advice and services where these services cannot be provided in-house.		Are there effective arrangements for provision of specialist advice and services?	<u>Documents and Records</u> <u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i> • • <u>Observations</u> •

Other Issues:

- Does the TCMS contain wording that complies with the Order 34 Guideline?
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Actions

#	Issue	Action (e.g. NCR, Improvement Opportunity)



2. Responsibilities and Accountability

	What to look for:	Evidence (write your audit notes here):
2.1 The TCMS must define the roles / responsibilities / accountabilities of:		<u>Documents and Records</u> <i>Does the TCMS define roles / responsibilities / accountabilities for:</i>
2.1.1 the person (or persons) responsible for: a. managing the training and competence systems at the coal operation b. reporting on the performance of training and assessment at the coal operation; and; c. reviewing and improving the TCMS.	Who has responsibilities / accountabilities for: • managing? • reporting on performance? • review and improvement? of the training and competence systems?	<ul style="list-style-type: none"> trainers? assessors? mentors / coaches? co-assessors / content experts? the person who manages the training and competence systems? person(s) responsible for the competencies of contractors?
2.1.2 trainers	Are these roles / responsibilities / accountabilities defined and applied?	<u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i> • • <u>Specific interview evidence:</u> • Are roles and responsibilities applied? • Do persons with these roles understand their responsibilities / accountabilities?
2.1.3 assessors		
2.1.4 mentors / coaches (if used at the coal operation)		
2.1.5 co-assessors / content experts (if used at the coal operation)		
2.1.6 the person (or persons) responsible for the competencies of contractors.	Who is responsible for the competencies of contractors? <i>Note the additional guidance under s. 2.1.6 of the Guideline.</i>	<u>Observations</u> •

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3. Training and Competence
3A Training Needs Analysis

	What to look for:	Evidence (<i>write your audit notes here</i>):
<p>3.1 The TCMS must describe a Training Needs Analysis (TNA) process to determine the competencies required to safely undertake all processes and activities performed at the coal operation. This must include describing how the TNA is:</p> <p>3.1.1 developed in consultation with relevant coal operation personnel, and</p> <p>3.1.2 regularly reviewed and updated</p>	<p>Is there a TNA process?</p> <p>Does the TNA address all processes and activities?</p> <p>Does it address all jobs / functions?</p> <p>Are the relevant people consulted when the TNA is developed and reviewed?</p> <p>Is the TNA reviewed and updated?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • <i>Hard copy or electronic TNA</i> <p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • • <p><u>Observations</u></p> <ul style="list-style-type: none"> • <i>TNA displayed</i>
<p>3.2 The TNA must include as a minimum:</p> <p>3.2.1 required qualifications for specific positions</p> <p>3.2.2 specific training on the safety management system at the coal operation</p> <p>3.2.3 all machine / plant / process operation skills / competencies used at the coal operation</p> <p>3.2.4 specific pre-requisites and training for supervisors.</p>	<p>Are all these areas addressed in the TNA?</p> <p>Qualifications for specific positions – e.g. Statutory positions, trades?</p> <p>Specific requirements for supervisors?</p> <p><i>Note the additional guidance under s. 3.2.1 & 3.2.2 of the Guideline.</i></p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • <i>Hard copy or electronic TNA</i> <p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •

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3. Training and Competence

3B Competency Standards

	What to look for:	Evidence (<i>write your audit notes here</i>):
3.3 Where available, recognised units of competency from endorsed Industry Training Packages should be used for training and assessment.	Are RII Resources and Infrastructure Industry Training Package units of competency used for training and assessment? <i>Note the additional guidance under s. 3.4.1 of the Guideline.</i>	<u>Documents and Records</u> <ul style="list-style-type: none"> • <i>Mapping of assessments to units of competency</i> <u>Interviews</u> <i>Decide on interviewees and People interviewed (attach separate interview sheet)</i> <ul style="list-style-type: none"> • • <u>Observations</u> <ul style="list-style-type: none"> •
3.4 The TCMS must describe: 3.4.1 the competency requirements for persons who <u>develop training and assessment materials</u> , or who <u>oversee the development of training and assessment materials</u> .	What are the qualifications of these people? <i>Note the <u>minimum requirements</u> under s. 3.4.1 of the Guideline.</i>	<u>Documents and Records</u> <ul style="list-style-type: none"> • <i>Training records – copies of qualifications</i> • <i>Training records – evidence of Maintenance of Competence for workplace trainers and assessors</i>
3.4.2 the competency requirements for persons who <u>perform training and/or assessments</u> at the coal operation (i.e. workplace trainers and assessors)	What are the qualifications of workplace trainers and assessors? <i>Note the <u>minimum requirements</u> under s. 3.4.2 of the Guideline.</i>	<u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i> <ul style="list-style-type: none"> • • • <u>Observations</u> <ul style="list-style-type: none"> •

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3. Training and Competence

3C Induction Training & Assessment

	What to look for:	Evidence (<i>write your audit notes here</i>):
3.5 The TCMS must describe the <u>induction</u> training and assessment process at the coal operation, including:	<i>For all s. 3.5, note the additional guidance under s. 3.5.5 of the Guideline.</i>	<u>Documents and Records</u> <ul style="list-style-type: none"> Induction training and assessment records <u>Interviews</u> <ul style="list-style-type: none"> Decide on interviewees and develop interview questions before audit Use separate sheet for interview questions and answers <u>Observations</u> <ul style="list-style-type: none">
3.5.1 induction for visitors and new workers (addressing all relevant categories of “workers”, including contractors)		
3.5.2 the types of site inductions – e.g. surface, CHPP, underground accompanied, underground unaccompanied, etc.	Does the coal operation have appropriate induction training?	
3.5.3 how each worker is ‘given information, training and instruction on the safety management system for the mine that is designed to provide the worker with knowledge of all relevant aspects of the safety management system’ before commencing work at the operation (WHS (Mines and Petroleum Sites) Regulation 2014 – cl. 105)	How is a worker given the key information on the SMS? Is this part of induction?	<u>Documents and Records</u> <ul style="list-style-type: none"> Content of induction training and assessment Induction training and assessment records Refresher induction training and assessment records <u>Interviews</u> People interviewed (attach separate interview sheet) <ul style="list-style-type: none">
3.5.4 how workers are ‘trained in relation to the emergency plan’ before commencing work at the operation (WHS (Mines and Petroleum Sites) Regulation 2014 – cl. 95 (a))	How is a worker given the key information on the Emergency Plan? Is this part of induction?	<ul style="list-style-type: none"> <u>Observations</u> <ul style="list-style-type: none">
3.5.5 Requirements for re-induction or refresher induction training.	Does induction training need to be refreshed and/or re-assessed?	

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3. Training and Competence

3D Training required by Legislation

	What to look for:	Evidence (write your audit notes here):
<p>3.6 The TCMS must describe the training and assessment process for <u>all workers</u> in relation to the following requirements in the WHS (Mines and Petroleum Sites) Regulation 2014 – clause 104 (2) & (3):</p> <p>3.6.1 <i>hazards associated with the work being carried out by the worker, - cl. 104 (2) (a)</i></p>	<p>For all s. 3.6, note the additional guidance under s. 3.6.6 of the Guideline.</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> Content of induction training and assessment Induction training and assessment records Refresher induction training and assessment records
<p>3.6.2 <i>the implementation of risk control measures relating to the work being carried out by the worker, including controls in relation to fatigue, the consumption of alcohol and the use of drugs, - cl. 104 (2) (b)</i></p>	<p>What is the training and assessment process for <u>all workers</u> (employees and contractors) for each of these areas?</p>	<p><u>Interviews</u> People interviewed (attach separate interview sheet)</p> <ul style="list-style-type: none">
<p>3.6.3 <i>the content and implementation of the relevant parts of the safety management system for the mine, - cl. 104 (2) (c)</i></p>	<p>Note the additional guidance under s. 3.6.5 of the Guideline.</p>	<p><u>Observations</u></p> <ul style="list-style-type: none">
<p>3.6.4 <i>the emergency plan for the mine, - cl. 104 (2) (d)</i></p>		
<p>3.6.5 <i>the safety role for workers implemented under clause 120 - cl. 104 (2) (e).</i></p>		
<p>3.6.6 <i>ensur(ing) that each worker ... is trained, and is competent, in basic risk management techniques used at the mine having regard to the nature of the work carried out by the worker - cl. 104 (3).</i></p>	<p>How are <u>all types of workers</u> trained and assessed as competent in basic risk management techniques?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> Content of induction training and assessment <p><u>Interviews</u> People interviewed (attach separate interview sheet)</p> <ul style="list-style-type: none">

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3. Training and Competence

3E Emergency Response Training & Assessment

	What to look for:	Evidence (<i>write your audit notes here</i>):
<p>3.7 The TCMS must describe how the coal operation ensures that the following matters are addressed in relation to <u>emergency procedures and the operation’s emergency plan</u>:</p> <p>3.7.1 “<i>an adequate number of persons (are) trained in the use of rescue equipment ...</i>” WHS (Mines and Petroleum Sites) Regulation 2014 – clause 88 (2) (a) (iv)</p>		
<p>3.7.2 <u>for underground mines only</u> - “<i>workers who may need to use exits are provided with sufficient training and instruction so as to be made familiar with those exits</i>” WHS (Mines and Petroleum Sites) Regulation 2014 – clause 96 (5) (c)</p>	<p>What is the training and assessment process for <u>all workers</u> (employees and contractors) for each of these areas?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • <i>Content of induction training and assessment</i> • <i>Induction training and assessment records</i> • <i>Refresher induction training and assessment records</i>
<p>3.7.3 <u>for underground mines only</u> - that a person who is to go underground “<i>is trained in the use of and is able to use, the self-rescuer provided</i>” WHS (Mines and Petroleum Sites) Regulation 2014 – clause 100 (2)</p>		<p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • • •
<p>3.7.4 <u>for underground mines only</u> - the criteria used to determine that “surface contacts” have the competence to perform the specific functions, as outlined in WHS (Mines and Petroleum Sites) Regulation 2014 – clause 102 <i>Competent persons at surface</i> - (b) to (d)</p>	<p><i>Note the additional guidance under s. 3.7.3 of the Guideline.</i></p>	
<p>3.7.5 “<i>the minimum mines rescue training to be provided</i>” WHS (Mines and Petroleum Sites) Regulation 2014 – Schedule 7 <i>Matters to be included in emergency plan for a mine</i> – cl. 4 (3) (a)</p>		<p><u>Observations</u></p> <ul style="list-style-type: none"> • “Mock” emergency • Fire team training • Donning practices
<p>3.7.6 “<i>...details of the persons having the competency to fight fires and to train others in firefighting</i>” WHS (Mines and Petroleum Sites) Regulation 2014 – Schedule 7 <i>Matters to be included in emergency plan for a mine</i> – cl. 5 (4)</p>		



	What to look for:	Evidence (<i>write your audit notes here</i>):
3.7.7 “...appointing and training competent people to be responsible for the control of emergency situations” - NSW Code of Practice: Safety management systems in mines – NSW Mine Safety, February 2015, p. 26		

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3. Training and Competence

3F Supervisor and Manager Training & Assessment

	What to look for:	Evidence (write your audit notes here):
<p>3.8 The TCMS must describe the process to:</p> <p>3.8.1 verify qualifications and provide specific training and assessment to “ensure that any individual who is nominated to exercise a statutory function at the mine is ... capable of exercising, the statutory function” (WHS (Mines and Petroleum Sites) Regulation 2014 – cl. 137 (2))</p>	<p>For <u>all persons</u> nominated to perform statutory functions, what is the process to:</p> <ol style="list-style-type: none"> 1. verify qualifications? 2. train and assess to ensure they are “capable of exercising the statutory function”? 	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • Training and assessment records – including copies of qualifications, certificates of competency • <p><u>Interviews</u> People interviewed (attach separate interview sheet)</p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •
<p>3.8.2 provide formal training and assessment to <u>all managers and supervisors</u> on the components of the coal operation’s Safety Management System relevant to their role, including their specific roles/ responsibilities/ accountabilities detailed in all elements of the Safety Management System</p>	<p>For <u>all managers and supervisors</u>, what is the process to train and assess on:</p> <ol style="list-style-type: none"> 1. the relevant parts of the SMS? 2. their roles/ responsibilities/ accountabilities in relevant parts of SMS? 	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • Training and assessment records • <p><u>Interviews</u> People interviewed (attach separate interview sheet)</p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •
<p>3.8.3 develop, assess and/or verify the competence of <u>all supervisors</u> (including mining supervisors) in Associated Non-Technical Skills.</p>	<p>What is the process to develop the competence of <u>all supervisors</u> in ANTS?</p> <p><i>Note the additional guidance under s. 3.8.3 of the Guideline.</i></p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • Training and assessment records • <p><u>Interviews</u> People interviewed (attach separate interview sheet)</p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •

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3. Training and Competence

3G Training & Assessment - General Requirements

	What to look for:	Evidence (<i>write your audit notes here</i>):
<p>3.9 The TCMS must describe:</p> <p>3.9.1 training and assessment of inexperienced workers (i.e. workers who are new to the coal mining industry)</p>	<p>What is the induction process for inexperienced workers?</p> <p>What is the procedure to train/assess inexperienced workers in operations skills?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • • <p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •
<p>3.9.2 recognition of current competency (RCC) and/or recognition of prior learning (RPL)</p>	<p>What is the procedure for RCC and/or RPL?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • • <p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •
<p>3.9.3 assessment of competence following skills training</p>	<p>How is a person assessed as competent after completing skills training?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • • <p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •
<p>3.9.4 the requirement for the trainee and assessor (and co-assessor if utilised) to sign all completed assessments</p>	<p>Have the trainee and assessor (and co-assessor if utilised) signed assessments?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • • <p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •



	What to look for:	Evidence (<i>write your audit notes here</i>):
3.9.5 how a person assessed as “not yet competent” is given the opportunity to become competent	How is a person assessed as “not yet competent” given the opportunity to become competent?	<u>Documents and Records</u> <ul style="list-style-type: none"> • • <u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i> <ul style="list-style-type: none"> • • <u>Observations</u> <ul style="list-style-type: none"> •
3.9.6 the process for authorisation / appointment / nomination, or other record following assessment of competence	What is the authorisation / appointment / nomination process following assessment as competent?	<u>Documents and Records</u> <ul style="list-style-type: none"> • • <u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i> <ul style="list-style-type: none"> • • <u>Observations</u> <ul style="list-style-type: none"> •
3.9.7 how language, literacy and numeracy issues are addressed in training and assessment.	How does training and assessment allow for language, literacy and numeracy issues? Do trainers / assessors have specific skills to address these issues?	<u>Documents and Records</u> <ul style="list-style-type: none"> • • <u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i> <ul style="list-style-type: none"> • • <u>Observations</u> <ul style="list-style-type: none"> •

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3. Training and Competence

3H WHS Representative Training

	What to look for:	Evidence (write your audit notes here):
<p>3.10 The TCMS must describe how the coal operation implements:</p> <p>3.10.1 training of safety and health representatives (includes <i>site safety and health representatives</i>, and/or <i>electrical safety and health representatives</i>) – as per section 45 of the WHS (Mines and Petroleum Sites) Act 2013</p>	<p>Have mine safety and health representatives (previously called “site check inspectors”) been trained in an approved course?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • <i>Training and assessment records</i> • <p><u>Interviews</u></p> <p><i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •
<p>3.10.2 (if required) training of health and safety representatives in an approved course of training in work health and safety - as per the Work Health and Safety Act 2011 - section 72</p>	<p>Have health and safety representatives (may have been previously called “OHS Committee members”) been trained in an approved NSW WorkCover course?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • <i>Training and assessment records</i> • <p><u>Interviews</u></p> <p><i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •

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3. Training and Competence

3I Review of Training and Assessment and Follow-up Training

	What to look for:	Evidence (<i>write your audit notes here</i>):
3.11 The TCMS must describe:	<i>For all s. 3.11, note the additional guidance under s. 3.11.3 of the Guideline.</i>	
3.11.1 how training and assessment (including induction training) is reviewed and as necessary revised, and		
3.11.2 review of training and assessment for these “trigger events”:	How is training / assessment reviewed (and revised if necessary) following each of these “trigger events”?	<u>Documents and Records</u> <ul style="list-style-type: none"> Incident and Investigation reports Revised training and assessment documents as a result of findings from an investigation.
3.11.2.1 when new work processes, fixed plant / mobile equipment, technology, materials / substances, and/or work procedures are revised or being introduced		
3.11.2.2 when significant revisions are made to key elements of the safety management system (e.g. management plans, procedures, TARPs, etc.)		
3.11.2.3 when near misses or incidents / accidents occur and training is identified as a contributing factor to the incident		
3.11.2.4 ‘as soon as is reasonably practicable after any significant revision to the (emergency) plan’ (WHS (Mines and Petroleum Sites) Regulation 2014 – cl. 95 (b)).		
3.11.2.5 following changes to legislation and/or other significant “trigger events”.	How are workers (employees and contractors) retrained / reassessed following any revision?	<u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i> <ul style="list-style-type: none">
3.11.3 follow-up re-training and/or re-assessment following any revision to training/assessment materials.	Has training been identified as a contributing factor to any incident? Have training issues been considered, implemented, and communicated? Has training been reviewed, revised, and workers re-trained, assessed?	

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3. Training and Competence

3J Maintenance of Competence / Re-assessment

	What to look for:	Evidence (write your audit notes here):
<p>3.12 The TCMS must describe:</p> <p>3.12.1 the process used for re-assessment to ensure ongoing safe performance of a task or skill</p>	<p>What is the re-assessment process?</p> <p>Does the re-assessment tool differ from the original assessment?</p> <p><i>Note the additional guidance under s. 3.12.1.</i></p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • <i>Assessment tools</i> • <i>Re-assessment tools</i> • • • <p><u>Interviews</u></p> <p><i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> •
<p>3.12.2 the process used to determine the interval between successive re-assessments</p>	<p>What criteria are used to determine re-assessment intervals?</p> <p><i>Note the additional guidance under s. 3.12.2.</i></p>	<ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> • • •
<p>3.13 The TCMS must describe the process for Maintenance of Competence for all individuals nominated to exercise a statutory function at the coal operation (note - <i>statutory functions</i> and <i>requirements for nomination to exercise the statutory function</i> are listed in the WHS (Mines and Petroleum Sites) Regulation 2014, Schedule 10 <i>Statutory functions</i>).</p>	<p>What is the process for Maintenance of Competence for <u>all</u> persons exercising a statutory function?</p> <p><i>Note the additional guidance under s. 3.13.</i></p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • • • •
<p>3.14 The TCMS must describe the process for Maintenance of Competence for all individuals nominated to exercise a statutory function at the coal operation who are required to have a <u>Practising Certificate</u>, as per the NSW Resource Regulator's requirements.</p>	<p>(same as above) for persons who are required to have a <u>Practising Certificate</u>?</p> <p><i>Note the additional guidance under s. 3.14.</i></p>	<p><u>Interviews</u></p> <p><i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • •
<p>3.15 The TCMS must describe how the coal operation provides for, and maintains records of, the on-going Maintenance of Competence for persons who <u>perform training and/or assessments</u> at the coal operation (i.e. workplace trainers and assessors).</p>	<p>What is the process for Maintenance of Competence for <u>workplace trainer/assessors</u>?</p> <p><i>Note the additional guidance under s. 3.5.</i></p>	<p><u>Observations</u></p> <ul style="list-style-type: none"> • •



Other Issues:

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Notes / Actions

#	Issue	Action (e.g. NCR, Improvement Opportunity)



4. Consultation and Communication

	What to look for:	Evidence (<i>write your audit notes here</i>):
<p>4.1 The TCMS must describe the processes in place for consultation and communication on training, assessment and competency issues at the coal operation. This must include consultation when:</p> <p>4.1.1 developing and reviewing the TCMS,</p>	<p><i>For all s. 4.1, note the additional guidance under s. 4.1.3 of the Guideline.</i></p> <p>What consultation & communication occurs on training, assessment and competency issues?</p> <p>Is consultation done via a Training committee?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • • <p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •
<p>4.1.2 developing and reviewing any Training Needs Analysis (TNA) – as required in section 3A of this Guideline</p>		
<p>4.1.3 making decisions about the procedures for providing information and training for workers (NSW Work Health and Safety Act 2011 s. 49 (e) (v)).</p>		

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Notes / Actions

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5. Documentation and Document Control

	What to look for:	Evidence (write your audit notes here):
5.1 The TCMS must:	<p><i>For all s. 5.1, note the additional guidance under s. 5.2 of the Guideline.</i></p> <p>Is the TCMS a separate document?</p> <p>Does it describe the key training and assessment processes?</p> <p>Does the TCMS detail processes for controlling documents?</p> <p>Are all training and assessment documents “document controlled”?</p> <p>Does the TCMS reference other relevant Management Plans, standards, procedures, etc.?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> controlled copy of the TCMS used by the coal operation
5.1.1 be detailed in a separate document		<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> controlled copy of the TCMS used by the coal operation
5.1.2 define the procedures and processes for the key training and assessment activities at the coal operation		<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> controlled copy of the TCMS used by the coal operation
5.1.3 describe a process for controlling training and assessment documentation which is consistent with the Document Control system for the coal operation		<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> controlled copy of the TCMS used by the coal operation
5.1.4 provide direction to related documentation, including relevant Management Plans, standards, procedures, etc.		<p><u>Documents and Records</u></p> <p>controlled copy of the TCMS used by the coal operation</p>
5.2 The controlled copy of the TCMS used by the coal operation must be the latest version of the TCMS approved by Coal Services.	<p>Are the 2 versions the same?</p>	<p><u>Documents and Records</u></p> <p>Compare:</p> <ul style="list-style-type: none"> TCMS approved by Coal Services controlled copy of the TCMS used by the coal operation

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Notes / Actions

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6. Measurement and Evaluation

	What to look for:	Evidence (<i>write your audit notes here</i>):
<p>6.1 The TCMS must describe how the coal operation:</p> <p>6.1.1 establishes goals and objectives for training and assessment activities, and</p> <p>6.1.2 measures the effectiveness of training and assessment activities.</p>	<p><i>Note the additional guidance under s. 6.1.2 of the Guideline.</i></p> <p>How are <u>goals and objectives</u> for training and assessment activities <u>established</u>?</p> <p>How is the <u>effectiveness</u> of training and assessment activities <u>measured</u>?</p> <p>Are there specific procedures in place for this?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • • <p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •

Other Issues:

- Does the TCMS contain wording that complies with the Order 34 Guideline?
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7. Records and Record Management

	What to look for:	Evidence (write your audit notes here):
<p>7.1 The TCMS must describe the system for the maintenance and storage of training and assessment records (including records of induction training), and must include:</p> <p>7.1.1. paper or electronic (or both) record of each worker’s training, assessments, re-assessments, and the currency of their competencies</p>	<p>What are the procedures for maintaining training and assessment records?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • Training and assessment records • • <p><u>Interviews</u></p> <p>People interviewed (attach separate interview sheet)</p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •
<p>7.1.2 while a worker remains engaged at the operation, how training and assessment records are:</p> <p>a) stored;</p> <p>b) maintained;</p> <p>c) retrieved; and</p> <p>d) accessed by authorised personnel</p>		
<p>7.1.3 on request, providing a copy of training and assessment records to a worker (cl. 108 of the WHSMPs Regulation 2014).</p>	<p>How can a worker obtain a copy of their training and assessment records?</p>	<p><u>Interviews</u></p> <p>People interviewed (attach separate interview sheet)</p> <ul style="list-style-type: none"> • •
<p>7.1.4 defining the period that records are preserved;</p>	<p>For 7.1.4 & 7.1.5 - see the additional guidance under s. 7.1.5 of the Guideline.</p> <p>What are the procedures for preserving, archiving, disposing of training records?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • Training and assessment records • <p><u>Interviews</u></p> <p>People interviewed (attach separate interview sheet)</p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •
<p>7.1.5 procedures for archiving and disposing of training and assessment records.</p>		

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Notes / Actions

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8. Audit

	What to look for:	Evidence (write your audit notes here):
8.1 The Training and Competence Management Scheme (TCMS) must describe:	<p><i>For all s. 8.1, note the additional guidance under s. 8.1.6 of the Guideline.</i></p> <p>What is the procedure for internal audits of the TCMS and associated processes?</p> <p>What is the internal audit frequency?</p> <p>What are the auditor qualifications?</p> <p>Is auditing of training and assessment records part of internal audits?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • • • <p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> • • •
8.1.1 internal auditing of the TCMS at regular intervals not exceeding three (3) years		
8.1.2 the minimum qualifications and/or experience of persons conducting internal audits of the TCMS		
8.1.3 auditing of training and assessment records to determine their accuracy		
8.1.4 compliance auditing of the coal operation's approved training scheme from time to time by representatives of Coal Services	Not applicable for this type of audit.	
8.1.5 how actions from audits are tracked and implemented (both internal and Coal Services audits)	<p>How are actions from audits implemented?</p> <p>How are the results of audits communicated?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • • <p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> •
8.1.6 how information on the results of audits is communicated to management and workers.		

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9. Management Review

	What to look for:	Evidence (<i>write your audit notes here</i>):
9.1 The TCMS must describe the process of reviewing the TCMS to ensure its continuing suitability, adequacy and effectiveness. As a minimum, this must state that the TCMS will be reviewed within 12 months of the commencement of mining operations at the operation and at least once every 3 years after that.	<p><i>Note the two additional guidance notes under s. 9.1 of the Guideline.</i></p> <p>What is the review frequency?</p> <p>In what circumstances are reviews carried out other than specified review time-frames?</p> <p>When was the last review completed?</p> <p>Are internal and external audit results considered as part of the review?</p> <p>Was the TCMS submitted to Coal Services for approval following the last review?</p>	<p><u>Documents and Records</u></p> <ul style="list-style-type: none"> • • • • <p><u>Interviews</u> <i>People interviewed (attach separate interview sheet)</i></p> <ul style="list-style-type: none"> • • <p><u>Observations</u></p> <ul style="list-style-type: none"> • • •

Other Issues:

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Attachment A – Interview Form

Name:		Date:
Role / Position:	/...../.....
Order 34 section #	Questions (Q) and Answers (A):	
	Q – A –	
	Q – A –	
	Q – A –	
	Q – A –	
	Q – A –	
	Q – A –	
	Q – A –	
	Q – A –	
	Q – A –	