Compliance priority report

Safety management systems – tier 2 quarries

July 2024 to June 2025

Published by the Department of Primary Industries and Regional Development

Title: Compliance priority report – Safety management systems – tier 2 quarries - July 2024 to June 2025
First published: August 2025
Department reference number: D25/64323

More information

Amendment schedule		
Date	Version	Amendment
August 2025	1	First published

Table of Contents

Executive summary

A crucial part of the Resources Regulator's incident prevention strategy for mines and petroleum sites involves:

- targeted assessments and planned inspection programs – focusing on assessing an operation's control of critical risks by evaluating the effectiveness of control measures in the mine's safety management system

- priority programs – proactively assessing a topic that is an emerging risk throughout the industry, which is determined primarily from incident data as well as evolving industry trends.

Incidents reported to the Regulator between May 2023 and May 2024 included 8 serious injuries in tier 2 quarries that had the potential to cause a fatality. One of the injuries resulted in a permanent disability and 2 other injuries with serious burns. In 4 of the reported incidents, a mechanical control plan was not available at the site.

Regulator inspectors attended tier 2 quarries focusing on principal hazard management plans and principal control plans. The compliance priority program also verified if quarry managers held a current practicing certificate and reviewed the Regulator's site tier profiles to ensure quarries were assessed at the appropriate frequency.

This report summarises the compliance priority program undertaken at tier 2 quarries for the review of site safety management systems, quarry manager practicing certificate and mine record requirements between July 2024 and June 2025.

The 288 tier 2 quarries were assessed consisting of:

- 274 extractives construction materials sites

- 11 extractives industrial minerals sites

- 2 surface metalliferous metal mines

- one metalliferous mineral sands mine.

The Regulator developed 18 assessment criteria to review tier 2 quarries for safety management systems, quarry manager practicing certificate and mine record requirements.

In summary, of the 288 tier 2 quarries assessed, a total of 1,106 compliance notices were issued to 268 sites.

Explanatory notes on the assessment system are in Appendix A.

Assessment criteria for assessments

A table detailing the criteria to review tier 2 quarries for safety management systems, quarry manager practicing certificate and mine record requirements is in Table 1.

Table 1: Criteria for tier 2 quarries safety management systems, quarry manager practicing certificate and mine record

Criteria number	Criteria
1	Does the quarry manager hold a current practising certificate, either a tier 2 all or conditioned for the mine?
2	Does the mine have a mine record and does that record contain copies of the prescribed information?
3	Does the mine have an emergency management plan and provisions for first aid? Has the emergency plan been tested in the past 12 months?
4	For mines that have determined a hazard **is not** a principal hazard: Does the mine operator have systems, procedures, plans and other control measures to manage the hazard?
5	For mines where they have identified a principal hazard from Schedule 1: What principal hazard management plans (PHMP) does the quarry have in place?
6	Are there risk assessments to support the PHMP?
7	When were the PHMPs last reviewed?
8	Are principal control plans (PCPs) documented and in place?
9	Are there risk assessments to support the PCPs? Was Schedule 1 or 2 considered?
10	When were the PCPs last reviewed?
11	Does the health control plan include worker dust monitoring?
12	Does the mechanical engineering control plan have procedures for maintenance and inspection of plant, including maintenance of controls?
13	Does the electrical engineering control plan have procedures for maintenance and inspection of plant, including maintenance of controls?
14	What are the contractor management arrangements?
15	How are supervisors trained in PHMP and PCPs?
16	How are workers trained in PHMP and PCPs?
17	Have workers been trained in pre-use inspections on mobile plant (defect management)?
18	Have workers been trained in pre-use inspections on plant and conveyors (defect management)?

Assessment findings and ratings for tier 2 quarries

Overall assessment findings and ratings for 288 tier 2 quarries assessed were:

- 5,184 individual findings

- 1,106 compliance notices were issued to 268 of the 288 tier 2 quarries assessed

- 71% assessment overall finding for the 18 criteria assessed.

Figure 1 provides a summary assessment of the overall findings by criteria for tier 2 quarries

Key for Figure 1:

- Green (=100%)
- Yellow (>= 80% and <100%)
- Orange (>= 65% and <80%)
- Red (<65%)
- Not applicable

Figure 1: Summary assessment findings by criteria for tier 2 quarries

No.	Criteria	Result
01	Does the Quarry Manager hold a current practising certificate, either a Tier 2 All or Conditioned for the mine?	91%
02	Does the mine have a Mine Record and does that record contain copies of the prescribed information?	81%
03	Does the Mine have an Emergency Management Plan and provisions for first aid? Has the emergency plan been tested in the past 12 months?	62%
04	(For mines that have determined a hazard IS NOT a Principal Hazard) Does the mine operator have systems, procedures, plans and other control measures to manage the hazard?	87%
05	(For mines where they have identified a Principal Hazard from Sch 1) What Principal hazard Management Plans does the Quarry have in place?	70%
06	Are there risk assessments to support the Principal Hazard Management Plans?	64%
07	When were the PHMPs last reviewed?	76%
08	Are Principal Control Plans documented and in place?	70%
09	Are there risk assessments to support the Principal Control Plans? Was Schedule 1 or 2 considered?	54%
10	When were the PCP's last reviewed?	78%
11	Does the Health Control Plan include worker dust monitoring?	58%
12	Does the Mechanical Engineering Control Plan have procedures for maintenance and inspection of plant, including maintenance of controls?	59%
13	Does the Electrical Engineering Control Plan have procedures for maintenance and inspection of plant, including maintenance of controls?	59%
14	What are the contractor management arrangements?	64%
15	How are supervisors trained in PHMP and PCPs?	80%
16	How are workers trained in PHMP and PCPs?	75%
17	Have workers been trained in pre-use inspections on mobile plant (defect management)?	81%
18	Have workers been trained in pre-use inspections on plant and conveyors (defect management)?	72%
Grand Total		71%

In summary, the overall assessment ratings were 58% documented and implemented, 18% implemented but not documented, 6% documented but not implemented and 15% were not documented and not implemented.

Figure 2 provides an overall assessment findings ratings for tier 2 quarries assessed.

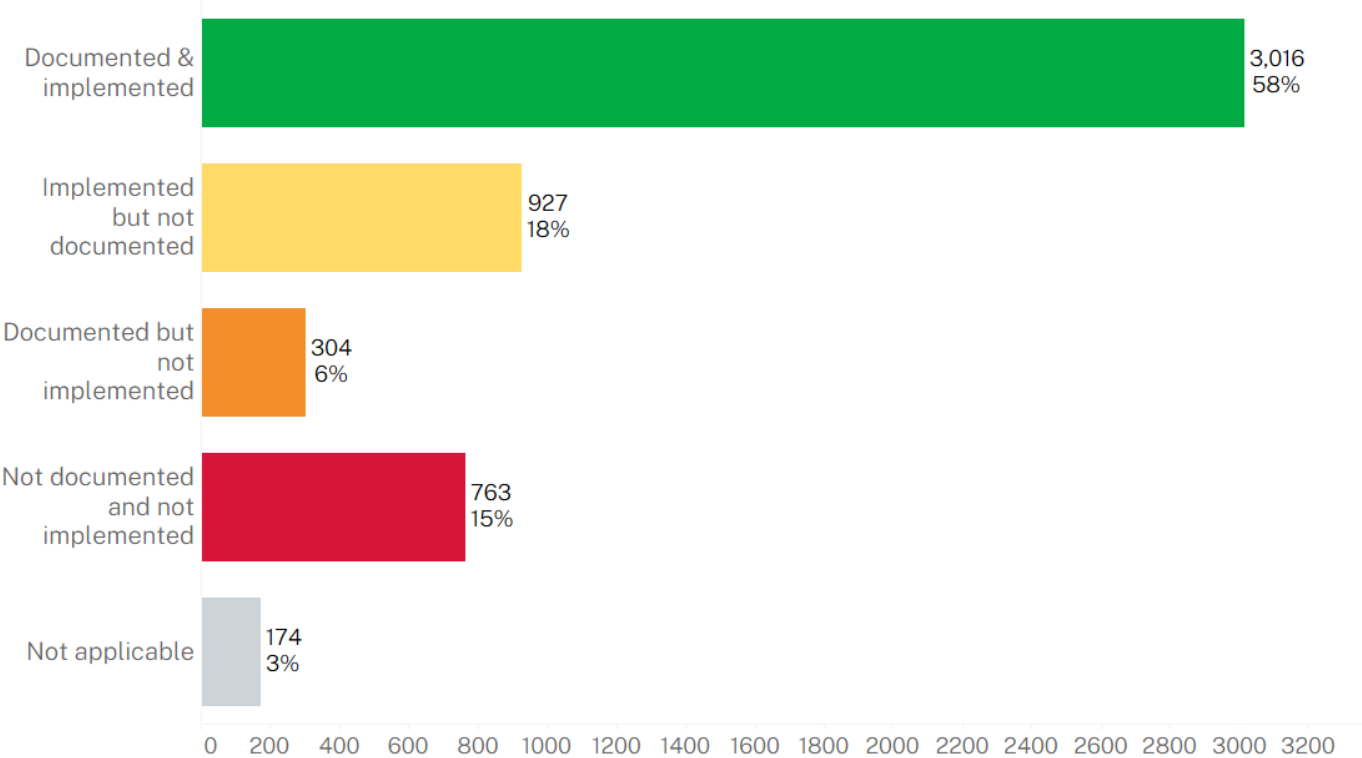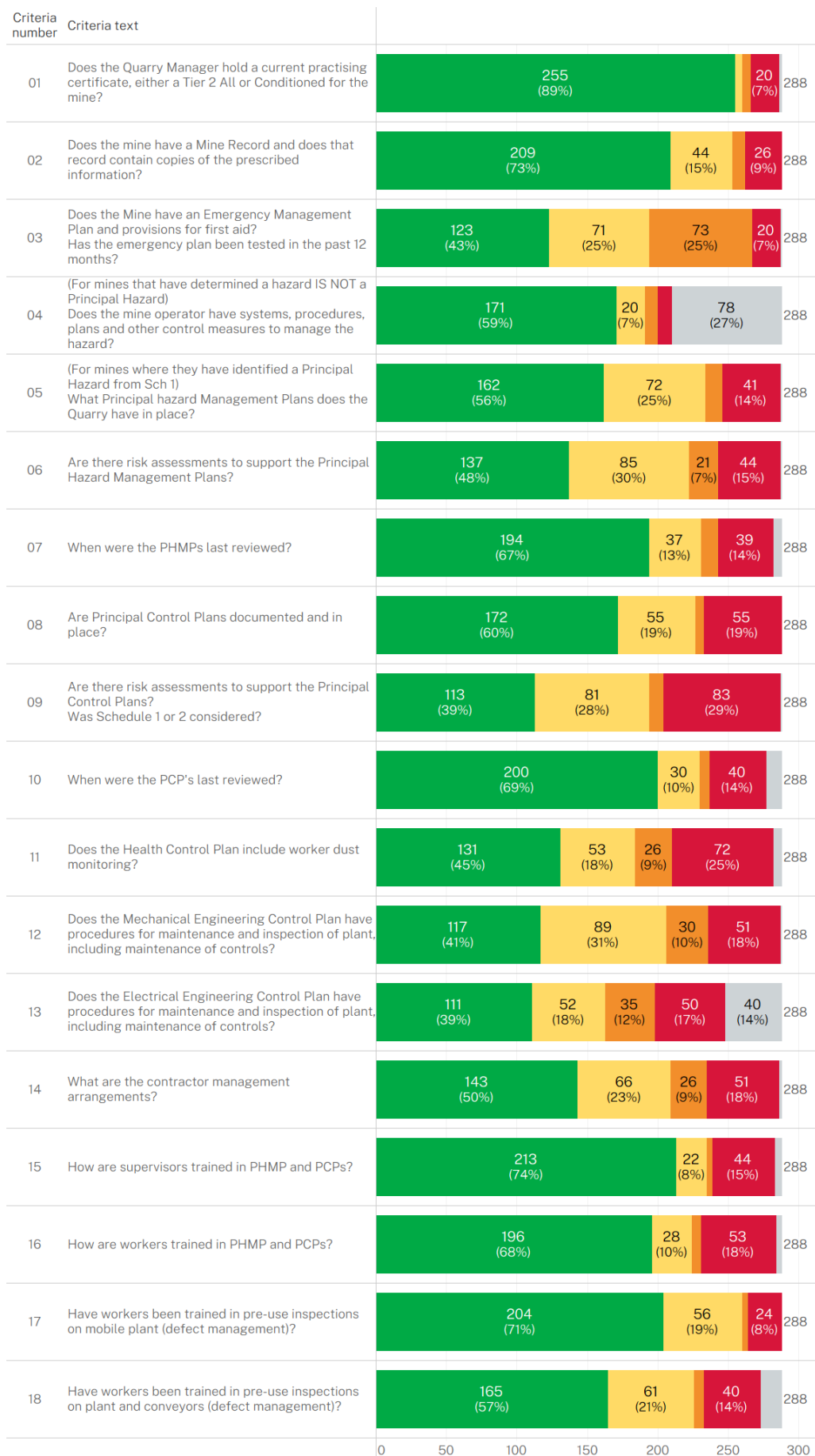Figure 2: Overall assessment findings ratings for tier 2 quarries assessed

Figure 3 provides an overall assessment findings by criteria for tier 2 quarries assessed.

Key for Figure 3:

- Not applicable
- Not documented and not implemented
- Documented but not implemented
- Implemented but not documented
- Documented & implemented

Figure 3: Overall assessment findings ratings by criteria at tier 2 quarries assessed

Criteria number	Criteria text	Green	Yellow	Orange	Red	Grey	Total
01	Does the Quarry Manager hold a current practising certificate, either a Tier 2 All or Conditioned for the mine?	255 (89%)			20 (7%)		288
02	Does the mine have a Mine Record and does that record contain copies of the prescribed information?	209 (73%)	44 (15%)		26 (9%)		288
03	Does the Mine have an Emergency Management Plan and provisions for first aid? Has the emergency plan been tested in the past 12 months?	123 (43%)	71 (25%)	73 (25%)	20 (7%)		288
04	(For mines that have determined a hazard IS NOT a Principal Hazard) Does the mine operator have systems, procedures, plans and other control measures to manage the hazard?	171 (59%)	20 (7%)			78 (27%)	288
05	(For mines where they have identified a Principal Hazard from Sch 1) What Principal hazard Management Plans does the Quarry have in place?	162 (56%)	72 (25%)		41 (14%)		288
06	Are there risk assessments to support the Principal Hazard Management Plans?	137 (48%)	85 (30%)	21 (7%)	44 (15%)		288
07	When were the PHMPs last reviewed?	194 (67%)	37 (13%)		39 (14%)		288
08	Are Principal Control Plans documented and in place?	172 (60%)	55 (19%)		55 (19%)		288
09	Are there risk assessments to support the Principal Control Plans? Was Schedule 1 or 2 considered?	113 (39%)	81 (28%)		83 (29%)		288
10	When were the PCP's last reviewed?	200 (69%)	30 (10%)		40 (14%)		288
11	Does the Health Control Plan include worker dust monitoring?	131 (45%)	53 (18%)	26 (9%)	72 (25%)		288
12	Does the Mechanical Engineering Control Plan have procedures for maintenance and inspection of plant, including maintenance of controls?	117 (41%)	89 (31%)	30 (10%)	51 (18%)		288
13	Does the Electrical Engineering Control Plan have procedures for maintenance and inspection of plant, including maintenance of controls?	111 (39%)	52 (18%)	35 (12%)	50 (17%)	40 (14%)	288
14	What are the contractor management arrangements?	143 (50%)	66 (23%)	26 (9%)	51 (18%)		288
15	How are supervisors trained in PHMP and PCPs?	213 (74%)	22 (8%)		44 (15%)		288
16	How are workers trained in PHMP and PCPs?	196 (68%)	28 (10%)		53 (18%)		288
17	Have workers been trained in pre-use inspections on mobile plant (defect management)?	204 (71%)	56 (19%)		24 (8%)		288
18	Have workers been trained in pre-use inspections on plant and conveyors (defect management)?	165 (57%)	61 (21%)		40 (14%)		288

Compliance notices issued to tier 2 quarries

Compliance notices comprised of:

- 53 x section 195 prohibition notices

- 952 x section 191 improvement notices

- 101 x section 23 cause for concern notices.

Table 2 lists the compliance notices issued by type and number at tier 2 quarries assessed.

Table 2: Notices issued to tier 2 quarries assessed

Category	Desktop Assessment	Site Assessment	Grand Total
WHS(MPS)A s23 notice of concerns		101	101
WHSA s191 improvement notice	2	950	952
WHSA s195 prohibition notice		53	53
Grand Total	2	1,104	1,106

Recommendations for operators of tier 2 quarries

Based on the findings outlined in this report, and in relation to the numbers and types of compliance notices issued during the compliance priority program undertaken at tier 2 quarries for the review of site safety management systems, quarry manager practicing certificate and mine record requirements, it is recommended that the following topics should be reviewed by operators of tier 2 quarries:

- Ensure risk assessments are completed and implemented to support the safety management system (SMS). Specifically, the PHMP and PCP require risk assessments. Ensuring that subject matter experts are involved and the workers have representation and are consulted in the development and implementation of the plans.

- Ensure there is an inspection process in place to verify that controls from the PHMPs and PCPs remain in place and effective.

- Ensure that the mechanical and electrical engineering control plans have been developed by appropriately qualified persons and have considered schedule 2 in the Work Health and Safety (Mines and Petroleum Sites) Regulation 2022.

- Ensure that dust sampling has been completed and results have been used to inform the health controls plan and the PHMP for dust and airborne contaminants.

- Ensure that a subject matter expert like a hygienist has been used in the development of the health control plan and the PHMP for dust and airborne contaminants.

- Ensure that there is an agreed contractor management process in place. Furthermore, that there is agreement and it is signed off, of which sections of the mine operators and the contractors SMSs are being used.

- Ensure that the emergency control plan is tested and then subsequently reviewed every 12 months.

- Operators should also review the information resources provided on the Regulator's website at:

  www.resources.nsw.gov.au/resources-regulator/safety/health-and-safety-management/small-mines-and-quarries

For more information on safety assessment programs, the findings outlined in this report, or other mine safety information, please contact the Regulator.

Contact	Contact details
Email	cau@regional.nsw.gov.au
Incident reporting	To report an incident or injury call 1300 814 609 or log in to the Regulator Portal
Website	www.resources.nsw.gov.au
Address	Resources Regulator 516 High Street Maitland NSW 2320

Appendix A – Assessment criteria rating

Each assessed criteria is rated from one to 4 based on evidence supporting the expected control supports identified at the mine site.

Evidence supporting expected control supports

Expected control supports	Rating	Evidence supporting rating / comments
	4 3 2 1	

Assessment findings results are calculated based on the total points allocated to the assessed ratings as a percentage of the maximum possible points for each criteria group, and any findings rated as 'Not applicable' were excluded from the calculation.

Criteria assessed ratings and points

Assessed as	Rating	Points
Documented & implemented Compliant	4	4
Implemented but not documented Improvement needed	3	2
Documented but not implemented Significant improvement needed	2	1
Not documented and not implemented Non compliant	1	0
Not applicable (N/A)		

Findings results (points) with colours assigned as follows:

- Green (=100%)
- Yellow (>= 80% and <100%)
- Orange (>= 65% and <80%)
- Red (<65%)
- Not applicable