

**Training & Competence
Order 34 Audit
Supervisor
Non Technical Skills**

DPI Mechanical Engineers'
Conference

5th August 2009

Background to Audit

- Interim targeted audits
- Findings from Wran and Digging Deeper reports
- Supervision as factor in accident investigation and prosecution
- OHSA and CMHSA requirement to employ competent supervision
- Supervisory skills only

Audit Process

- Audit design Jan 09
- Notice to mines before audit
- Evidence by Documentation & selected interview
- Closeout meeting and feed back
- Final report to mine
- Summary of findings

Audit Criteria

- Applicable elements of AS/NZS 4801
- Applicable findings Digging Deeper report 2007
- First half 2009

4.4.2

Training and competency

Non-technical Skills	Required/Not Required	Informal Training	Formal Training (Competency Standard Indicated)	Assessment Evidence
<i>Consultation</i>				
<i>Communication</i>				
<i>Situational Awareness(e.g. Risk management)</i>				
<i>Team Work</i>				
<i>Decision making</i>				
<i>Leadership</i>				
<i>Operations' policies, procedures and standards</i>				

4.4.2 Training and competency

- *Show Training Needs Analysis – (TNA) process for non-technical supervisor*
- *Maintenance of competency (non Technical Skills)*
(Re-assessment or refresher periods?)
- *Selection of mentors, assessors and co-assessors (if they are used?)*

4.4.2 Training and competency

- *List the supervisor positions in the Engineering departments*
- *Are engineering supervisors appointed to supervise contractors ?.*
- *How do you identify persons necessary to hold a set of supervisor competencies?*
- *Include training for "Step up" supervisors*

4.4.2 Training and competency

- *Is there a system to ensure all necessary supervisor non-technical competencies, are identified (TNA)?*
 - *Have the appropriate standards of competence been identified (national competency stds, etc)?*
 - *How is non-technical supervisor training conducted?*
 - *How is non-technical Supervisor training assessed?*
 - *How is non-technical supervisor training maintained?*
 - *How is a person appointed as a supervisor- i.e. authorisation / approval procedure following assessment?*

4.4.2 Training and competency

- *Supervisor Training given to communicate new work procedures when introduced or revised?*
- *Supervisor Training given for risk management/assessment?*
- *Supervisor Training given for legislative responsibilities?*
- *Describe supervisor training given in their specific responsibilities under the Operation's Safety Management System?*
- *Describe supervisor training given for the fire and emergency management system?*

4.4.1.1 Resources

- *Do you have a document in place that describes non-technical skills training for supervisors?
(Table document)*
- *Are Specialist Training Personnel used? (Internal or external)*
 - *Qualifications of specialist training personnel?*
 - *Is external training provider a Registered Training Organisation?*
- *Do external providers use off the shelf material?*
 - *Extent of contextualisation (adapted to site requirements)?*

4.4.3.1 Consultation

- *Is there a role defined for supervisors in the consultation arrangements? Show documentation.*
- *How are supervisors trained in the consultation arrangements at the operation?*

4.4.3.2 *Communication*

- *What document defines the site Communication Standard? (Table document.)*
 - *Is the role defined in the arrangements for the operation?*
 - *What is communicated by a supervisor?*

- *What documentation of communications is kept? (Show example).*

4.5.1 Measurement and evaluation

- *Is there a performance management system in place to identify performance issues in the non-technical skills?*
- *How do you measure the effectiveness of a supervisor in non-technical skills?*

4.5.3 Records and Records Management

- *Records of supervisor training in non-technical skills supervision?*
- *Are all the skills identified in the TNA documented in training records? (Hard and/or electronic copy)*

Best Practice

- Supervisor training & Company Standard combined
- Formal Training & Assessment
- Mapped to National Comp. Stds. (e.g. Front Line Management)
- Mentored after training until performance acceptable
- Annual performance appraisal has KPIs linked to supervision competencies.

Recommendations

- Determine skills needed (TNA)
- Have site input (context)
- Formalise course (training & assessment)
- Mentor (individual)
- Measure performance (KPI)
- Review & Revise

Future Actions

- 2nd half 2009
- Induction Process
- Internal audit completed by Operation
- 2010
- Full audit
- Training & Competence Scheme Review by Operation