

CHANGE MANAGEMENT GUIDELINE FOR SOUTH AFRICAN INDUSTRY AUDIT TOOL

REGION:

NAME OF MINE			
NAME OF SHAFT / SITE			
NAME OF WORKING PLACE			
DMR MINE CODE			
DMRE SUB MINE CODE – (If Applicable)			
COMMODITY			
NAME OF INSPECTOR			
DATE OF AUDIT			
UNDERGROUND		SYSTEMS/THEORETICAL AUDIT	
SURFACE		PRACTICAL AUDIT	

MINE AUDIT TEAM MEMBERS		
NAME	SURNAME	DESIGNATION
DMRE AUDIT TEAM MEMBERS		
NAME	SURNAME	DESIGNATION
No	AREA (S) / ITEM (S) AUDITED	

1	Part A: Format and content of the COP
	Key elements to be addressed in the COP
2	PART B: Implementation
3	Part C: Monitoring and evaluation

PURPOSE: This audit tool assesses compliance with the change management guidelines in the South African Mining Industry, focusing on governance, accountability, processes, tools, and performance management.

PART A: FORMAT AND CONTENT OF THE COP				
1. TITLE PAGE	Y/N	N/A	Partial	Comments
Does the mine have a COP on Change Management?				
Does the mine COP have the following?				
1.1 Mine name;				

1.2 The heading: "Code of Practice for Change Management";				
1.3 A statement to the effect that the COP was drawn up in accordance with.....				
1.4 The mine reference number for the Code of Practice;				
1.5 The effective date;				
1.6 The revision dates (if applicable); and				
1.7 The DMRE mine code number.				
2 TABLE OF CONTENTS	Y/N	N/A	Partial	Comments
2.1 Does the COP have comprehensive table of contents?				
3 STATUS OF THE COP	Y/N	N/A	Partial	Comments
3.1 Does this section contain statements to the effect that:				
i. Has the COP been compiled specifically with the view to provide guidance to all stakeholders regarding their roles and responsibilities in change management?				
ii. In implementing the requirements of this guidance note, has the employer continued to comply with the provisions of the Mine Health and Safety Act 1996 (MHSA)?				
iii. Has the employer applied the requirements of this guidance note as a minimum (where applicable) guiding principle in developing his/her own COP in Change Management.				
3.2 Has the employer drawn up this COP in accordance with guidance as issued by the CloM?				
3.3 Does the COP contain a paragraph that indicates that the COP may be used in an accident investigation/inquiry to ascertain compliance and also to establish whether the COP is effective and fit for purpose?				
3.4 Does the COP contain a paragraph that indicates that all managerial instructions, recommended procedures (voluntary COPs) and standards on the relevant topics must comply with the COP and must be reviewed to ensure compliance?				
4 MEMBERS OF THE DRAFTING COMMITTEE	Y/N	N/A	Partial	Comments
4.1 Is there an indication that in accordance with section 9(4) of the MHSA the employer has consulted with the health and safety				

committee on the preparation, implementation or revision of this COP?				
4.2 Does the COP indicate that after the consultation with the employees in terms of the MHSA, the employer appointed a steering committee responsible for drafting a COP for Change Management in the South African Mining Industry.				
4.3 Does the COP contain a list of the members of the drafting committee assisting the employer in drafting the COP giving their full names, designations, affiliations and experience in current designations reflected?				
5 GENERAL INFORMATION	Y/N	N/A	Partial	Comments
5.1 Does the COP contain a brief description of the mine and its location?				
5.2 Does the COP indicate the commodities produced at the mine?				
5.3 Has the COP listed the mining method or combination of methods used at the mine, the potential risk of exposure for women in mining?				
5.4 Does the COP include the general controls in place to prevent the risk exposure to change management ?				
5.5 Does the COP indicate that other related COPs and management standards must be reviewed concurrently in order to avoid conflict of requirements as laid down by the mine and to have an integrated system?				
5.6 Does the COP indicate the unique features of the mine that have a bearing on this COP and cross-reference them to the risk assessment conducted?				
6 TERMS AND DEFINITIONS	Y/N	N/A	Partial	Comments
6.1. Does the mine's COP for Change Management in the South African Mining Industry include a section for definitions, acronyms and technical terms used?				
7 RISK MANAGEMENT	Y/N	N/A	Partial	Comments

7.1 Does the COP indicate that according to Section 11 (2) and (3) of the MHSA the employer has conducted a risk assessment to identify hazards, assess the health and safety risks to employees may be exposed while they are at work, record the significant hazards identified and risks assessed and that as far as is reasonably practicable, attempts will be made to eliminate, control and minimise the risk and to institute a programme to monitor the risk?				
7.2 Does the COP indicate that in addition to the periodic review required by Section 11(4) of the MHSA, the COP must be reviewed and updated within a reasonable period after implementation thereof, considering the results of investigations conducted in terms of section 11(5) of the MHSA?				
Part B: KEY ELEMENTS TO BE ADDRESSED IN THE COP				
8.1 Governance & Accountability	Y/N	N/A	Partial	Comments
8.1.1 Leadership Accountability - Has a senior leader been assigned accountability for managing change within the mining operation? - Does the senior leader actively champion the change initiative, communicate its importance, and align it with strategic objectives? 8.1.2 Governance Structure - Has a governance structure been established to oversee, direct, and support change initiatives? - Is the governance structure tailored to the size and complexity of the mining operation? 8.1.3 Roles and Responsibilities - Are roles and responsibilities for change management clearly defined and documented? - Are stakeholders held accountable at all levels? 8.1.4 Training and Competency - Has adequate training been provided to all role players involved in change management?				

Are employees competent in performing change management duties?				
8.2 Change Management Processes	Y/N	N/A	Partial	Comments
8.2.1 Structured Process or Methodology - Has a structured change management process or methodology been adopted? - Is the methodology flexible enough to adapt to mining-specific challenges?				
8.3 Change Management Tools & Templates	Y/N	N/A	Partial	Comments
8.3.1 Tools and Templates - Are standardized tools and templates used to manage change? - Are tools compliant with safety and regulatory requirements?				
8.4 Performance Management in Change Management	Y/N	N/A	Partial	Comments
8.4.1 Objective Performance Measures - Are clear, fair, and transparent performance measures in place? - Is performance data used for feedback and continuous improvement?				

PART C: IMPLEMENTATION				
8. IMPLEMENTATION PLAN	Y/N	N/A	Partial	Comments
9.1 Has the employer prepared an implementation plan for the COP that makes provision for issues such as organisational structures, responsibilities of functionaries, programmes and schedules for the COP that will enable proper implementation of the COP?				

10 COMPLIANCE WITH THE CODE OF PRACTICE	Y/N	N/A	Partial	Comments
10.1 Has the employer instituted measures for monitoring and ensuring compliance with the COP?				
11 ACCESS TO THE CODE OF PRACTICE AND RELATED DOCUMENTS	Y/N	N/A	Partial	Comments
11.1 Has the employer ensured that a complete COP and related documents are kept readily available at the mine for examination by personal employees?				
11.2 Has the employer provided a copy of the COP to the registered trade union/ a health and safety representative/ an employee representing the employees on the mine?				
11.3 Is the register maintained for all employees who are in possession of copies of the COP to facilitate updating of such copies?				
11.4 Has the employer ensured that all employees are fully conversant with those sections of the COP relevant to their respective areas of responsibilities?				

REMEDIAL STEPS

NAME AND SURNAME	DESIGNATION	SIGNATURE	DATE
	INSPECTOR OF MINES		
	EMPLOYEES' REPRESENTATIVE		

	EMPLOYER REPRESENTATIVE		
	WIM REPRESENTATIVE		