

TSM Safe, Healthy, and Respectful Protocol:
Abridged Checklist for Facilities with ISO 45001 Certification



Facilities that have achieved certification to the *ISO 45001:2018 Occupational health and safety management systems — Requirements with guidance for use* will have already demonstrated that they meet many of the criteria in the *TSM Safe, Healthy, and Respectful Workplaces Protocol*. This abridged checklist identifies additional TSM criteria required to reach Level A, AA, and AAA.

Criteria	Y	N	Description & Evidence
INDICATOR 1: COMMITMENTS AND ACCOUNTABILITY			
A: Are commitments, as defined and authorized by the company's senior management, consistent with the intent of the TSM Safe, Healthy, and Respectful Workplaces Framework?			
AA: Has an internal audit been conducted to determine the degree of consistency of the defined commitments with the intent of the TSM Safe, Healthy, and Respectful Workplaces Framework?			
AAA: Has the external audit determined the degree of consistency of the defined commitments with the intent of the MAC Safe, Healthy and Respectful Workplaces Framework?			
INDICATOR 2: SAFETY AND HEALTH MANAGEMENT SYSTEMS			
A: Does the documented physical safety and health management system incorporate identification of high consequence hazards and related critical controls?			
A: Does the documented physical safety and health management system incorporate an industrial hygiene program?			
AA: Are the industrial hygiene risks and controls reviewed by a qualified hygienist?			

AA: Has the facility verified that critical controls are in place and functioning, and does the definition of critical controls differentiate between critical controls, mitigating controls and underpinning controls?			
AA: Has the facility identified psychosocial hazards and harmful behaviors, and assessed, managed, and monitored the associated potential risks?			
AAA: Is the industrial hygiene program subject to oversight of a qualified hygienist?			
AAA: Have facility-specific and especially hazardous tasks been identified, and have critical controls for those tasks been identified through an established controls identification methodology (e.g., bowtie analysis)?			
INDICATOR 3: PSYCHOLOGICAL SAFETY AND RESPECTFUL BEHAVIOUR			
A: Have existing policies and processes been reviewed to integrate the promotion of psychological safety and respectful behaviour?			
A: Does the facility have programs to encourage health and wellness including mental health and a healthy lifestyle?			
A: Are there trauma-informed processes to report and respond to incidents of psychologically unsafe, harmful, or disrespectful behaviour in the workplace?			
a. Do these processes include training and resources to support informal incident resolution among coworkers, with the aim of fostering a workplace culture of continual improvement and learning related to psychological safety and respect?			
b. Do the processes include a prompt, confidential, and impartial mechanism for reporting and response to concerns, complaints, or suggestions that require support or investigation			

beyond informal incident resolution processes?			
AA: Does the facility collaborate with relevant internal or external communities of interest to review its trauma-informed reporting and response processes at Level A and, if appropriate, to develop alternative processes?			
AA: Does the facility communicate to its broader supply chain its policies and processes to promote psychological safety and respect?			
AA: Does the facility set performance objectives related to psychological safety and respect that include:			
a. Action plans developed to achieve performance objectives?			
b. Demonstration of progress towards performance objectives and internal reporting on this progress?			
AAA: Does the internal audit (completed at least every 3 years) of psychological safety engage a cross-section of perspectives and experiences that include relevant labour or worker groups and individuals who are underrepresented in the mining industry?			
AAA: Are the results of the internal audit communicated to workers and reported publicly?			
AAA: Does the facility collaborate with relevant COIs to promote psychological safety and respect in community settings?			
AAA: Does the facility integrate the principles of psychological safety and respect into its procurement processes and contractor relationships?			
INDICATOR 4: TRAINING, BEHAVIOUR AND CULTURE			
B: Does basic training on safety and health hazards and risks include high consequence tasks?			

B: Has basic training on psychological safety, respectful behaviour, identification of psychosocial hazards, and assessment of psychosocial risk been provided at the facility, and are associated training records maintained?			
A: Does the safe, healthy, and respectful workplace training / awareness program include an observation and engagement program for psychological safety and respect that supports and reinforces training?			
A: Does the hazard identification and control component of the training and awareness program address psychosocial hazards, and does it provide internal and external mechanisms to address these issues?			
AA: Do implemented guidelines for workplace design and culture prioritize physical and psychological safety, respect, and accessibility?			
AAA: Does facility management visibly demonstrate commitment to safe, healthy, and respectful behaviour and culture in interactions with employees?			
AAA: Are training programs monitored and assessed for effectiveness?			
INDICATOR 5: MONITORING AND REPORTING			
A: Do performance metrics (including psychological safety and health monitoring) include assessment against broader industry performance?			
A: Is data collected on the number and types of reported issues related to psychological safety and respectful behaviour, with ongoing monitoring and analysis of this data?			

A: Does the physical monitoring program include tracking and internal reporting of leading and lagging indicators, safety and health and industrial hygiene inspection and monitoring, health surveillance, and incident investigation and follow-up?			
A: Do the physical monitoring and audit programs include a focus on high consequence hazards?			
A: Does the regular management review include psychological safety and health performance?			
A: Is physical and psychological safety and health performance communicated to the public at least once per year?			
AA: Are thresholds and triggers related to the performance of physical critical controls in the process of being developed and implemented?			
AA: Do the physical monitoring and audit programs include a focus on critical controls?			
AA: Does the facility analyze aggregated and anonymized information on the response, resolution, and/or remediation of respectful workplace and psychological safety issues reported to the facility's response mechanism and does it conduct ongoing monitoring and analysis?			
AAA: Has an internal evaluation of effectiveness been conducted, and is a tracking process in place for opportunities for improvement identified?			
INDICATOR 6: PHYSICAL SAFETY AND HEALTH PERFORMANCE			
A: Can you confirm that the facility has not had a fatality in the reporting year?			
AA: Are performance targets set for both leading and lagging indicators?			
AA: Does the facility (or company) benchmark its physical safety and health performance against its peers?			
AAA: Has the facility consistently met its continual improvement performance targets (at least 3 of the last 4 years) and was the facility fatality-free over the entire four-year period?			