

DEPARTMENT OF MINERAL RESOURCES AND ENERGY

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MINE HEALTH AND SAFETY ACT, 1996 (ACT NO. 29 OF 1996)**GUIDELINE FOR A MANDATORY CODE OF PRACTICE FOR CHANGE MANAGEMENT
IN THE SOUTH AFRICAN MINING INDUSTRY**

I **DAVID MSIZA**, the Chief Inspector of Mines, in terms of section 49 (6) read together with Sections 9 (2) and 9 (3) of the Mine Health and Safety Act, 1996 (Act No. 29 of 1996) as amended, hereby issue the Guideline for a Mandatory Code of Practice for Change Management in the South African Mining Industry, as set out in the schedule below.



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SCHEDULE

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DEPARTMENT OF MINERAL AND PETROLEUM RESOURCES

MINE HEALTH AND SAFETY INSPECTORATE

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE FOR

CHANGE MANAGEMENT IN THE SOUTH AFRICAN MINING INDUSTRY



CHIEF INSPECTOR OF MINES



**mineral &
petroleum resources**

Department:
Mineral and Petroleum Resources
REPUBLIC OF SOUTH AFRICA

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

TABLE OF CONTENTS

PART A: THE GUIDELINE	3
1. Foreword	3
2. Legal status of guidelines and COPs	3
3. Scope	3
4. Objective of the guideline	4
5. Definitions and acronyms	5
6. Members of the task team	6
PART B: AUTHOR'S GUIDE	7
PART C: FORMAT AND CONTENT OF THE MANDATORY COP	8
1. Title page	8
2. Table of contents	8
3. Status of the COP	8
4. Members of the drafting committee	8
5. General information	9
6. Terms and definitions	9
7. Risk management	10
8. Aspects to be addressed in the COP	11
PART D: IMPLEMENTATION	14
1. Implementation plan	14
2. Compliance with the COP	14
3. Access to the COP and related documents	14
ANNEXURE A: Key differences between change management and MOC	15
ANNEXURE B: References	16

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

PART A: THE GUIDELINE**1. Foreword**

- 1.1 South Africa's mining sector serves as a fundamental economic foundation, generating substantial revenue and creating employment opportunities across the nation. As a world-renowned producer of valuable resources including gold, platinum, diamonds and coal, the industry boasts a rich heritage of more than a century. Nevertheless, contemporary obstacles such as diminishing mineral quality, escalating production expenses and shifting compliance requirements present growing concerns.
- 1.2 In today's fast-evolving operational environment, proficient **change management** has emerged as a crucial competitive advantage. The industry's conventional dependence on familiar methodologies and conservative approaches may impede necessary advancements, highlighting the importance of systematic transformation strategies. Failure to implement appropriate changes could lead to significant health and safety risks, economic losses, reduced productivity and failure to meet mandatory sector regulations.
- 1.3 This guideline has been developed to provide critical support for mining companies navigating organizational transitions. Adherence to this guideline facilitates smoother implementation processes by minimising resistance, gaining employee cooperation and maintaining operational continuity. Implementing robust **change management** guidelines will empower the sector to maintain its market position, exploit emerging prospects and preserve its significant economic contribution to the prosperity of South Africa.

2. Legal status of guidelines and COPs

- 2.1 In accordance with Section 9(2) of the **MHSA**, an employer must prepare and implement a **COP** on any matter affecting the health or safety of employees and other persons who may be directly affected by activities at a mine when the **CIOM** requires it.
- 2.2 The **COP** must comply with any relevant guidelines issued by the **CIOM** in accordance with Section 9(3) of the **MHSA**.
- 2.3 Failure by the employer to prepare or implement a **COP** in compliance with this guideline is a breach of the **MHSA**.

3. Scope

- 3.1 The **COP** should be drawn up by the employer in compliance with this guideline and should take all other **COPs** drawn up by the employer into account.
- 3.2 This **COP** covers the significant health and safety aspect associated with **change management** in the South African mining industry.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

- 3.3 This guideline provides a systematic approach for managing significant organisational changes across the mining sector or at mines. Changes may include, but are not limited to, operational, structural, regulatory, market-driven and cultural transformation. Changes may occur at all areas of a mine.
- 3.4 Employers may utilise any practical **change management** methodology that empowers mining companies to manage change effectively using whichever proven methodologies that work best in their unique context.
- 3.5 Employers may use any proven methodology (**MOC**, **SATCAP**, Prosci, etc.)
- 3.6 Both traditional and innovative approaches are recognised.
- 3.7 Business alignment is mandatory - methods must suit (amongst others):
 - 3.7.1 Organisational size and culture.
 - 3.7.2 Specific change requirements.
- 3.8 Custom implementation expected - approaches should be (amongst others):
 - 3.8.1 Tailored to operational realities.
 - 3.8.2 Integrated with existing systems.
 - 3.8.3 Measurable through clear key performance indicators (KPIs).
- 3.9 Outcomes over dogma - focus remains on (amongst others):
 - 3.9.1 Effective transition.
 - 3.9.2 Risk mitigation.
 - 3.9.3 Sustainable results.
- 4. **Objective of the guideline**
 - 4.1 The main objective of this guideline is to enable the employer at every mine to prepare a **COP** which, if properly implemented and complied with, would improve the **change management** processes.
 - 4.2 This guideline provides guidance of a general nature on the required format and content for the **COP** and details sufficient technical background to enable the drafting committee at the mine to prepare a comprehensive and practical **COP** for the mine.
 - 4.3 This guideline aims to:
 - 4.3.1 Provide employers with a systematic approach to implementing organisational, technological and operational transitions.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

- 4.3.2 Promote employee participation, address concerns and build support for new initiatives through effective management processes.
- 4.3.3 Assist employers to align **change management** processes with legal, safety and environmental requirements to avoid penalties and operational risks.
- 4.3.4 Assist with the development of dynamic resilience to effectively respond to changes triggered by common factors such as market volatility, technological disruptions, etc.
- 4.3.5 Identify significant changes early and implement measures to safeguard health and safety during transitions.

5. Definitions and acronyms

- 5.1 For the purpose of this guideline, unless the context otherwise indicates, the definitions and acronyms are as follows:
 - 5.1.1 **Change management** means a structured approach to transitioning individuals, teams and organisations from a current state to a desired future state and it focuses on the human side of change ensuring that people understand, embrace and adopt changes effectively.
 - 5.1.2 **CIOM** means Chief Inspector of Mines.
 - 5.1.3 **COP(s)** means Code(s) of Practice.
 - 5.1.4 **DMPR** means the Department of Mineral and Petroleum Resources.
 - 5.1.5 **Management of change (MOC)** a systematic process for handling changes in systems, processes or equipment, particularly in high-risk industries like mining, oil and gas, and manufacturing and it focuses on the technical and procedural side of change ensuring that changes are implemented safely, efficiently and in compliance with regulations.
 - 5.1.6 **MHSA** means the Mine Health and Safety Act, 1996 (Act No 29 of 1996) as amended.
 - 5.1.7 **SATCAP** means Successful Applications of Technologies Centred Around People.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

6. Members of the task team

6.1 This guideline was prepared by the Culture Transformation Advisory Committee of the Mine Health and Safety Council.

6.2 The members of this task team comprised of:

CHAIRPERSON		
Mr. V. Mahwasane		
STATE	EMPLOYERS	ORGANISED LABOUR
Mr. M. Madubane	Mr. L. McMaster	Mr. G. Nkosi
CONSULTED EXPERTS		
Mr. A. Mphephu		

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

PART B: AUTHOR'S GUIDE

1. The **COP** must, where possible, follow the sequence laid out in Part C: Format and content of the mandatory **COP**.
2. The pages as well as the chapters and sections must be numbered, where possible, to facilitate cross-referencing.
3. The wording used must be unambiguous and concise.
4. Unless otherwise indicated, for the purpose of drafting a **COP**, the meanings of the words mentioned in this guideline will also have the same meanings as those assigned to them in this document.
5. It must be stated in the **COP** whether:
 - 5.1 The annexure forms part of the guideline and must be complied with or incorporated in the **COP**, or whether aspects thereof must be complied with or incorporated in the **COP**.
 - 5.2 The annexure is merely attached as information for consideration in the preparation of the **COP** (i.e. compliance is discretionary).
6. When annexures are used, the numbering should be preceded by the letter allocated to that annexure, and the numbering should start at one again (e.g. A1, A2, A3, etc.).
7. Whenever possible, illustrations, tables, graphs and the like, should be used to avoid long descriptions and/or explanations.
8. When in-text referencing that relates to sources such as publications, and reports, have to be done, these sources must be included in the text, as footnotes or side notes, as well as in a separate bibliography section.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

PART C: FORMAT AND CONTENT OF THE MANDATORY COP**1. Title page**

1.1 The **COP** should have a title page reflecting at least the following:

1.1.1 The name of the mine.

1.1.2 The mine code number.

1.1.3 The heading: *Mandatory Code of Practice for Change Management in the South African Mining Industry*.

1.1.4 A statement to the effect that the **COP** was drawn up in accordance with the guideline with reference number **DMPR 16/3/2/1-B1** issued by the **CIOM**.

1.1.5 The mine reference number for the **COP**.

1.1.6 The effective date of the **COP**.

1.1.7 The revision dates of the **COP** (if applicable).

2. Table of contents

2.1 The **COP** must have a comprehensive table of contents.

3. Status of the COP

3.1 Under this heading the **COP** must contain statements to the effect that:

3.2 The **COP** was drawn up in accordance with the guideline with reference number **DMPR 16/3/2/1-B1** issued by the **CIOM**.

3.3 This is a mandatory **COP** in terms of Sections 9(2) and (3) of the **MHSA**.

3.4 The **COP** supersedes all previous relevant **COPs**.

3.5 All managerial instructions or recommended procedures (voluntary **COPs**) and standards on the relevant topics must comply with the **COP** and must be reviewed to assure compliance.

3.6 The **COP** may be used in investigations or inquiries in terms of the **MHSA** to ascertain compliance and to establish whether the **COP** is effective and fit for purpose.

4. Members of the drafting committee

4.1 The employer must convene a committee responsible for the drafting and revision of the **COP**.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

- 4.2 As far as practically possible the **COP** must not be an overly technical document.
- 4.3 When compiling the document, the participation of all levels of employees is essential.
- 4.4 In terms of Section 9(4), read with Section 25 of the **MHSA**, the employer must consult with the relevant health and safety structures or representatives at the mine in the preparation, implementation or revision of any **COP**.
- 4.5 It is recommended that the employer should, after consultation with the employees in terms of the **MHSA**, appoint a committee responsible for the drafting of the **COP**.
- 4.6 The members of the drafting committee assisting the employer in drafting the **COP** should be listed giving their full names, designations, affiliations and experience.
- 4.7 This committee should include competent persons sufficient in number to effectively draft the **COP**.
- 4.8 The **COP** must be signed off by all the members of the current committee.

5. General information

- 5.1 General relevant information relating to the mine must be stated in this section of the **COP**.
- 5.2 The following minimum information must be provided:
 - 5.2.1 A brief description of the mine and its location.
 - 5.2.2 The commodities produced.
 - 5.2.3 The mining methods or mineral excavation processes.
 - 5.2.4 A description of the systems in use on the mine relating to **change management**.
 - 5.2.5 The unique features or special conditions of the mine that have a bearing on this **COP**.
 - 5.2.6 Other relevant and applicable **COPs**.

6. Terms and definitions

- 6.1 Any word, phrase or term with a meaning that is not clear, or which will have a specific meaning assigned to it in the **COP**, must be clearly defined.
- 6.2 Existing and/or known definitions should be used as far as possible.
- 6.3 The drafting or reviewing committee should avoid jargon and abbreviations that are not in common use or that have not been defined.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

6.4 The definitions section should also include acronyms and technical terms used.

7. **Risk management**

7.1 Section 5(2) of the **MHSA** provides that, as far as reasonably practicable, every employer must:

7.1.1 Identify the relevant hazards and assess the related risks to which persons who are not employees are exposed.

7.1.2 Ensure that persons who are not employees, but who may be directly affected by the activities at the mine, are not exposed to any hazard to their health and safety.

7.2 Section 11 of the **MHSA** requires the employer to:

7.2.1 Identify hazards.

7.2.2 Assess the health and safety risks to which employees may be exposed to while at work.

7.2.3 Record the significant hazard(s) identified and risk(s) assessed.

7.3 The **COP** must address how the significant risks identified in the risk assessment process must be dealt with, having regard to the requirements of Sections 11(2) and 11(3) of the **MHSA**.

7.4 As far as reasonably practicable, attempts should be made to:

7.4.1 Eliminate the risk.

7.4.2 Thereafter, to control the risk at source.

7.4.3 Thereafter, to minimize the risk.

7.4.4 Thereafter, insofar as the risk remains, provide personal protective equipment and institute a programme to monitor the risk.

7.5 To assist the employer with the hazard identification and risk assessment processes, all possible relevant information such as routine inspections, accident statistics and research reports must be considered.

7.6 In addition to the periodic review required in terms of Section 11(4) of the **MHSA**, the **COP** must be reviewed and updated, if necessary:

7.6.1 After every reportable incident or accident relating to the topic(s) covered in the **COP**.

7.6.2 If significant changes are introduced to procedures relating to the implementation of the **COP**.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

8. Aspects to be addressed in the COP

8.1 The **COP** must set out how the significant risks are assessed and identified in terms of the risk assessment process referred to above will be addressed. The **COP** must cover at least the aspects set out below.

8.2 Governance and accountability

8.2.1 Governance and accountability are critical components of any successful **change management** process. This ensures that changes are managed in a structured, transparent and responsible manner, with clear roles, responsibilities and decision-making processes.

8.3. Leadership and accountability

8.3.1. The employer must assign a senior leader accountable for managing change at the mine.

8.3.2. Senior leadership accountability ensures that change initiatives are prioritised, adequately resourced and effectively implemented.

8.3.3. A senior leader assigned by the employer must champion the change initiative, communicate its importance and ensure alignment with the strategic objectives of the organisation.

8.4. Governance structure

8.4.1. The employer must establish a governance structure to oversee, direct, and support change initiatives.

8.4.2. The structure should be tailored to the size and complexity of the mining operation.

8.4.3. The governance structure should ensure effective delivery of change initiatives while considering resource constraints.

8.5. Roles and responsibilities

8.5.1. The employer should ensure that:

8.5.1.1. Roles and responsibilities for all stakeholders involved in **change management** are defined.

8.5.1.2. There is accountability at all levels to drive the engagement and successful implementation.

8.5.1.3. The roles are documented and communicated to avoid confusion and ensure alignment.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

8.6. Training and competency

8.6.1. The employer must:

- 8.6.1.1. Provide adequate training to all role players involved in **change management**.
- 8.6.1.2. Ensure competency in performing **change management** duties through continuous development programmes.
- 8.6.1.3. Invest in training to build a capable and confident workforce that can effectively manage and drive change.

8.7. **Change management** process

- 8.7.1. A structured **change management** process is essential for implementing changes smoothly, minimising disruption and achieving desired outcomes.
- 8.7.2. Structured process or methodology
 - 8.7.2.1. The employer must adopt a structured process or methodology for managing change.
 - 8.7.2.2. The chosen methodology must align with the mine's goals, culture and specific change initiative.
 - 8.7.2.3. The chosen methodology must be flexible enough to adapt to the unique challenges of the mining operation.

8.8. **Change management** tools and reporting templates

- 8.8.1. Using **change management** tools and templates ensures a systematic, consistent and effective approach to managing change.
- 8.8.2. The employer must use relevant tools and templates to manage change effectively.
- 8.8.3. Tools and templates must be standardised and consistent.
- 8.8.4. Examples of tools include change impact assessments, communication plans, risk registers, **change management** reporting and stakeholder analysis templates.

8.9. Performance management in **change management**

- 8.9.1. Performance management is vital for guiding, sustaining and evaluating the success of change initiatives.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

8.9.2. Objectives performance measures

8.9.2.1. The employer must:

8.9.2.1.1. Establish clear, fair and transparent performance measures to evaluate the success of change initiatives.

8.9.2.1.2. Ensure that these measures are:

- a) Aligned with strategic goals.
- b) Compliant with health and safety prescripts and principles.
- c) Realistic and achievable.
- d) Clearly communicated to all stakeholders.

8.9.2.2. Use performance data to provide feedback, identify areas for improvement and foster a culture of continuous improvement.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

PART D: IMPLEMENTATION**1. Implementation plan**

- 1.1. The employer must prepare an implementation plan for a **COP** that makes provision for issues such as organisational structures, responsibilities of functionaries and programmes and schedules for the **COP**, which will enable proper implementation of the **COP** (a summary of and a reference to, a comprehensive implementation plan may be included).
- 1.2. Information may be graphically represented to facilitate easy interpretation of the data and to highlight trends for the purposes of risk assessment.

2. Compliance with the COP

- 2.1. The employer must institute measures for auditing, monitoring and ensuring compliance with the **COP**.

3. Access to the COP and related documents

- 3.1. The employer must ensure that a complete **COP** and related documents are kept readily available at the mine for examination by any affected person.
- 3.2. A registered trade union with members at the mine, or where there is no such union, a health and safety representative on the mine, or if there is no health and safety representative, an employee representing the employees on the mine, must be provided with a copy. A register must be kept of such persons or institutions with copies to facilitate the updating of such copies.
- 3.3. The employer must ensure that all employees are fully conversant with those sections of the **COP** relevant to their respective areas of responsibilities.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

ANNEXURE A: Key differences between change management and MOC*(For information purposes only)*

ASPECT	CHANGE MANAGEMENT	MOC
Purpose	Focus on managing the people side of change to ensure successful adoption and minimise resistance.	Focus on managing the technical and procedural side of change to ensure safety, compliance and efficiency.
Scope	Broad: <ul style="list-style-type: none"> • Applies to organisational, cultural or strategic changes (e.g. digital transformation, restructuring). 	Narrow: <ul style="list-style-type: none"> • Applies to operational, technical or engineering changes (e.g. modifying equipment, updating processes, etc.).
Key focus areas	<ul style="list-style-type: none"> • Communication. • Stakeholder engagement. • Training. • Resistance management. • Cultural alignment. 	<ul style="list-style-type: none"> • Risk assessment. • Safety reviews. • Documentation. • Approval of workflows. • Compliance with regulations.
Examples of methodologies and/or tools	<ul style="list-style-type: none"> • ADKAR (awareness, desire, knowledge, ability, reinforcement) model • Kotter's 8-step process • Lewin's change management model. 	<ul style="list-style-type: none"> • MHSA standards • Process hazard analysis (PHA) • Hazard and operability study (HAZOP). • ISO 45001.
Outcome	Successful adoption of change by people, leading to improved organisational performance.	Safe and compliant implementation of technical or operational changes, minimising risks and disruptions.

GUIDELINE FOR THE COMPILATION OF A MANDATORY CODE OF PRACTICE CHANGE MANAGEMENT IN SOUTH AFRICAN MINING INDUSTRY

ANNEXURE B: References

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