



## Field Audit Criteria

### Audit Methodology

Below is a list of criteria that aims to determine whether critical elements of a silvicultural contractor's safety management system have been communicated to operational personnel and relevant controls identified in WorkSafe Victoria's "Industry Standard – Safety in Forestry Operations (Harvesting and Haulage)" have been addressed. An assessment of the competence of each operator is also undertaken using key criteria from relevant Competency Standards of the Training Package for Forest Growing and Management.

Objective observable indicators have been described for each criterion. Three levels of performance have been defined and allocated a score based on its importance or priority.

- A zero (0) indicates sub standard performance and in all probability a potential breach of the relevant legislation.
- The mid-level score indicates that a basic level of compliance with the criteria and in most cases compliance with the relevant legislation has been achieved but improvement is possible.
- The top-level score indicates a high standard has been achieved. In most cases this level of performance is equivalent to industry best practice.

The importance or priority of each criterion is nominated. This importance rating should be used to prioritise your program to fix up problems identified in the audit.

Any criteria where you score zero then HVP Plantations require you to undertake action to fix the problem with the time frame specified in the following table.

Critical	Must be fixed before further work is undertaken
High	Must be corrected within a week
Medium	Must be corrected within a month
Low	Must be corrected before next audit.

If you score a mid level score then you need to consider any recommendations and make a decision about your plans to deal with the issue raised.

Follow up audits and desktop audits will check that you have fixed the problems identified and that what you have done is working.

During audits evidence will be collected by interviewing field personnel, inspecting records in the field and making observations.

Percentages for each individual's performance will be calculated as well as an overall score for the operation.

A report will be sent summarising the evidence gathered. The report will use the following colouring scheme:

- Where a high standard of performance has been achieved observations will be recorded in green coloured text.
- Where improvement is possible observations and suggestions for improvement will be recorded in blue coloured text.
- Where as basic level of compliance was not observed then the observations and suggestions for improvement will be recorded in red coloured text.

## Field Audit Criteria

### 1. Safety Awareness

To be assessed for every individual on operation.

Criteria	Indicator	Rating	Importance	Weighting
1.1. Hazard assessment	Are individuals able to demonstrate a recent hazard assessment? HVP document accepted.	0 = No 1 = Verbal Evidence 2 = Written Evidence	High	3
1.2. Safe work procedures	Are individuals able to locate written safe work procedures?	0 = No 1 = Verbal Evidence 2 = Written Evidence	High	3
1.3. Working zone	Are individuals able to describe a working zone for which they are responsible?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Critical	4
1.4. Other worker's zones	Is the operator able to describe the working zones of other members of the crew and what they must do if they wish to enter these zones?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Critical	4
1.5. Unsafe plant isolation procedure	Are individuals able to describe a robust isolation procedure?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium	2
1.6. Working Alone Procedures	Are individuals able to describe working alone and/or in isolation procedures?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium	2
1.7. Emergency procedures - Medical	Are individuals able to describe emergency response procedures to a medical emergency, including evacuation?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium	2
1.8. Emergency procedures – Fire	Are individuals able to describe emergency response procedures to a fire starting on the coupe?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium	2
1.9. Emergency procedures – Spill	Are individuals able to describe emergency response procedures to a spill and to locate procedures?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium	2
1.10. Unauthorised visitors	Are individuals able to describe response to unauthorised visitors to a coupe?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium	2
1.11. Injury reporting procedures	Are individuals able to describe or locate injury reporting procedure?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium	2
1.12. Issue resolution	Are individuals able to describe issue resolution procedures both for internal issues and issues involving HVP Plantations personnel?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium	2
1.13. Disciplinary procedures	Are individuals able to describe disciplinary sanctions for unsafe work?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium	2

## Field Audit Criteria

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### 2. Operator Personal Protective Equipment

To be assessed for every individual on operation.

Criteria	Indicator	Rating	Importance	Weighting
2.1. Safety Helmet	Is operator wearing a safety helmet compliant with AS/NZS 1801? (stickers on outer shell can be deemed acceptable)	0 = No 1 = Not compliant with AS 2 = Compliant with AS	Critical	4
2.2. High visibility clothing	Is operator wearing high visibility clothing compliant with AS/NZS 4602?	0 = No 1 = Not compliant with AS 2 = Compliant with AS	Critical	4
2.3. Cut resistant leg protection	Are all chainsaw users using cut resistant leg protection compliant with AS/NZS 4453?	0 = No 1 = Not compliant with AS 2 = Compliant with AS	Critical	4
2.4. Hearing Protection	Are all operators exposed to hazardous noise wearing hearing protection compliant with AS/NZS 1270?	0 = No 1 = Not compliant with AS 2 = Compliant with AS	Critical	4
2.5. Safety footwear	Are operators wearing safety footwear compliant with AS/NZS 2210? Above ankle support is mandatory. Boots used for spraying must have chemical resistance, either manufactured (i.e. gumboots) or treated (i.e. silicon spray).	0 = No 1 = Not compliant with AS 2 = Compliant with AS	Critical	4
2.6. Gloves	Are gloves compliant with AS/NZS 2161 available to be used to protect against hazardous substances, wire sprays or other hazards?	0 = No 1 = Not compliant with AS 2 = Compliant with AS	High	3
2.7. Eye Protection – not applicable to machine operators or trucks	Is eye protection compliant with AS/NZS 1336 worn where necessary?	0 = No 1 = Not compliant with AS 2 = Compliant with AS	Critical	4
2.8 Spraying overalls / clothing	Are non-absorbent overalls worn or is clothing regularly washed?	0 = No 1 = Absorbent clothing regularly washed 2 = Non absorbent spraying overalls worn	Critical	4

## Field Audit Criteria

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### 3. Competence and Equipment Condition

Specific field based assessments for each task

#### 3.1. Hand Falling

Criteria	Indicator	Rating	Importance	Weighting
3.1.1.Tree assessment	Does tree assessment ensure wind appropriate, lean not excessive, open area to fall into, no widow makers?	0 = No 1 = Most of the time 2 = All of the time	Critical	4
3.1.2.Escape route	Is appropriate escape route selected, cleared and used?	0 = No 1 = Most of the time 2 = All of the time	Critical	4
3.1.3.Falling technique	Is correct falling technique used?	0 = 0-25% 2 = 25-50% 4 = 50-75% 6 = 75 – 95% 8 = Greater than 95%	Critical	1
3.1.4.Stump check (with faller present)	Do recent stumps indicate that safe falling techniques have been used?	0 = 0-25% 2 = 25-50% 4 = 50-75% 6 = 75 – 95% 8 = Greater than 95%	Critical	1
3.1.5.Chainsaw condition	Is chainsaw maintained in compliance with AS/NZS 2726?	0 = No 1 = Most of the features 2 = All of the features	High	3
3.1.6.Additional gear	Does faller have belt, wedges, axe and correct fuel container?	0 = No 1 = Most of the features 2 = All of the features	High	3
3.1.7. Communication with other crew in area	Is faller aware of location of all people on the coupe?	0 = Not compliant 1 = Eye contact etc 2 = Electronic system in serviceable condition	High	3
3.18. Pre-operational checklist	Has documented check of safety features been completed?	0 = More than 5 days ago 1 = Not consistently or less frequently than weekly 2 = Weekly and consistently	Medium	2

## Field Audit Criteria

### 3.3. Machine Operations (e.g. dozer, excavator)

Criteria	Indicator	Rating	Importance	Weighting
3.3.1 Follows safe work procedures	Are safe work procedures followed while attaching/releasing logs, moving log, mount/dismount, working near ground workers?	0 = No 1 = Most of the issues 2 = All of the issues	Critical	4
3.3.2. Safe Working Condition	Is machine in safe working condition, including brakes, emergency exit, steps and grab rails?	0 = No 1 = Most of the features 2 = All of the features	Critical	4
3.3.3. Machine Guarding	Are all necessary guards in place and in a serviceable condition?	0 = No 1 = Most of the features 2 = All of the features	High	3
3.3.4. Falling Object Protection	Is there a Falling Object Protection Structure compliant with ISO 8083 or AS 2294.3 in a serviceable condition?	0 = No 1 = Minor Damage 2 = Present and compliant with standard	Critical	4
3.3.5. Roll Over Protection	Is there a Roll Over Protection Structure compliant with ISO 8082 or AS 2294.2 in a serviceable condition?	0 = No 1 = Minor Damage 2 = Present and compliant with standard	Critical	4
3.3.6. Windows	Are all windows in a serviceable condition?	0 = Window missing 1 = Present and damaged 2 = Serviceable Condition	Low	1
3.3.7. Seat Belts	Are seatbelts fitted and worn?	0 = Not fitted 1 = Fitted but not worn 2 = Fitted and worn	Medium	2
3.3.8. Safety information	Is appropriate safety information available? -decals -operators manual	0 = No 1 = Most of the features 2 = All of the features	High	3
3.3.9. Communication system/working with others.	Is good communication present?	0 = None 1 = Radios fitted and used	High	3
3.3.10. Shut down safety.	Are implements grounded when machine is stationery?	0 = No 1 = Most of the time 2 = All of the time	High	3
3.3.11. Pre-operational checklist	Has documented check of machines safety features been completed?	0 = More than 5 days ago 1 = Not consistently or less than 5 days ago 2 = Less than a day ago	Medium	2

## Field Audit Criteria

### 3.11. Manual Operations – incl. planting, fertiliser application, pruning.

Criteria	Indicator	Rating	Importance	Weighting
3.11.1. Follows Safe Work Procedures	Are safe work procedures followed?	0 = No 1 = Most of the time 2 = All of the time	High	3
3.11.2. Safe Work Zone	Does worker adhere to safe work zones (adequate separation from other workers)?	0 = No 1 = Most of the time 2 = All of the time	Critical	4
3.11.3. Safe Lifting Technique	Are safe lifting techniques used?	0 = No 1 = Most of the time 2 = All of the time	High	3
3.11.4. Handtools	Are handtools well maintained?	0 = No 1 = Most of the time 2 = All of the time	High	3
3.11.5. Additional Gear	Is all appropriate additional equipment present? Availability of ergonomic harnesses to carry plants or fertiliser considered best practice.	0 = No 1 = Most of the time 2 = All of the time	High	3
3.11.6. Communication With Others	Is communication with other people on the coupe adequate?	0 = No 1 = Most of the time 2 = All of the time	High	3
3.11.7. Managing fatigue (Ask supervisor)	Do workers take measures to manage fatigue such as taking breaks, drinking fluids & observing reasonable working hours?	0 = No 1 = Most of the time 2 = All of the time	Medium	2

## Field Audit Criteria

### 3.12. *Spraying Operations – incl. weed control and basal barking.*

Criteria	Indicator	Rating	Importance	Weighting
3.12.1. Follows Safe Work Procedures	Are safe work procedures followed?	0 = No 1 = Most of the time 2 = All of the time	High	3
3.12.2. Climatic Conditions	Are operations appropriate to the climatic conditions?	0 = No 1 = Most of the time 2 = All of the time	High	3
3.12.3. Safe Work Zone	Does worker adhere to safe work zones (adequate separation from other workers)?	0 = No 1 = Most of the time 2 = All of the time	High	3
3.12.4. Spray Equipment	Is spray equipment well maintained?	0 = No 1 = Most of the time 2 = All of the time	High	3
3.12.5. Communication With Others	Is communication with other people on the coupe adequate?	0 = No 1 = Most of the time 2 = All of the time	High	3
3.12.6. Pre-operational Checklist	Has a documented check of the machine's safety features been completed?	0 = No 1 = Most of the time 2 = All of the time	Medium	2
3.12.8. Managing fatigue (Ask supervisor)	Do workers take measures to manage fatigue such as taking breaks, drinking fluids & observing reasonable working hours?	0 = No 1 = Most of the time 2 = All of the time	Medium	2

## Field Audit Criteria

### 4. Combined Hazard Assessment

To be assessed for the operation as a whole.

Criteria	Indicator	Rating	Importance	Weighting
4.1. HVP Hazard Assessment	Is a HVP Hazard Assessment on site?	0 =No 2= Yes	Critical	4
4.2. Contractor Hazard Assessment	Have new hazards been documented by the contractor for current area of operations? New hazards can be added to the HVP form.	0 =No 1 = Most hazards recorded 2= All hazards recorded	Critical	4
4.6. Hazards communicated	Are authorised personnel and visitors warned of hazards and informed of work areas?	0 =Not authorised personnel 1 = All authorised personnel and most visitors 2 = Everyone	High	3
4.7. Responsibility for action (signed off)	Have controls been documented and signed off by all crew and visitors?	0 =No 1 = Most controls 2 = All controls	Medium	2
4.8. Car Park	Are cars parked so they are not at risk by the operations and allow easy access for emergency vehicles?	0 = No 1 = Most of the time 2 = All of the time	Medium	2
4.9. Machinery Servicing area	Is servicing area safe with no overhanging limbs or tripping hazards?	0 = No 1 = Most of the time 2 = All of the time	Medium	2
4.10. Road Management Plan	Are roads managed effectively eg. Signs, barriers, haulage routes, road closures	0 = No 1 = Most of the issues 2 = All of the issues	High	3

## Field Audit Criteria

### 5. Site Safety Gear

To be assessed on operation overall

Criteria	Indicator	Rating	Importance	Weighting
5.1. Tree Falling Signs	Are tree falling warning signs posted at all access points?	0 = No 1 = Most of the signs 2 = All signs at all entrances	High	3
5.2. Coupe Entry Signage	Is appropriate signage in place? Signage is mandatory for machinery, spraying and tree felling operations. Signs should include: - Forestry Operations in Progress - No Unauthorised Entry - PPE Required On Site.	0 = No 1 = Signs present, not to standard 2 = Yes	High	3
5.3. Radio Channel	Is the radio channel for contacting the crew posted on a sign? Mandatory for machinery operations.	0 = No 1 = Signs present, not to standard 2 = Yes	High	3
5.4. First aid equipment	Are all personnel able to rapidly access a well maintained, first aid kit which is relevant for most likely injuries on site.	0 = No First Aid Kit 1 = Basic First Kit 2 = First Aid Kit relevant to work being undertaken.	High	3
5.5. Emergency communication equipment	Does crew have the ability to call emergency services and direct them to coupe: - phone / radio - emergency plan incl. map?	0 = No 1 = Most of the time 2 = All of the time	High	3
5.6. Fire fighting Equipment	Is fire fighting equipment serviceable? - Extinguishers available charged and checked. - Appropriate gear during fire season.	0 = No 1 = Most of the time 2 = All of the time	High	3
5.7. Drinking Water	Is adequate clean drinking water available for the crew?	0 = No 1 = Most of the time 2 = All of the time	High	3
5.8. Washing, Sanitation Facilities and Shelter	Are these arrangements well maintained? - washing water - shelters	0 = No 1 = Water and soap for hand washing 2 = Other issues addressed including shelter	Medium	2
5.9. If you are injured poster	Is an "If you are Injured" poster available to crew?	0 = No 1 = Available 2 = All aware of location	High	3
5.10. MSDS	Are MSDS's available for hazardous substances?	0 = less than 75% of substances 1 = More than 75% of substances 2 = All substances	Medium	2
5.11. System documentation	Are relevant parts of system available to crew? - Induction Manual - Safe Work Procedures - Training Register	0 = No 1 = Manuals available 2 = Current version	High	3
5.12. Safety Notices	Is there evidence that all relevant Safety Notices have been discussed with the crew?	0 = No 1 = Most 2 = All	Medium	2

## Field Audit Criteria

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### 5. Stump Check Methodology

In order to assess whether a Hand Faller is working consistently in accordance with the falling technique recommended by AS 2727 stumps will be assessed for defects in association with handfaller. Defects that are considered significant may include:

- Undercutting the scarf.
- Overcutting the scarf.
- Backcut or scarf cuts not horizontal.
- Back Cut not high enough above scarf.
- Insufficient hinge-wood retained.

Each of these defects can lead to loss of control of the direction of fall. Undercutting and overcutting of scarfs can lead to slabbing up of free splitting timber.

For each faller a percentage compliance is calculated as follows.

$$\frac{(\text{No of Stumps} - \text{No Stumps with a Defect})}{\text{No of Stumps}} \times \frac{100}{1}$$

During Full Day Audits the following numbers of stumps will be assessed where practical:

- 35 previous stumps
- 15 fresh stumps (fallen during the audit)

During Half Day Audits the following numbers of stumps will be assessed where practical:

- 15 previous stumps
- 5 fresh stumps (fallen during the audit)

All stumps that are assessed will be marked with crayon and the defects will be marked on the stump.

An appendix will be added to the field report indicated the number of the stump the defects identified and the diameter of the stump.

## Field Audit Criteria

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<b>Version Information</b>
Version agreed on by HVP and silvicultural contractors based in Gippsland on 6 <sup>th</sup> August 2009