
Field Audit Criteria

Audit Methodology

Below is a list of criteria that aims to determine whether critical elements of an organisations safety management system have been communicated to operational personnel and that specific legislated controls have been addressed. Where appropriate compliance with standards specified in Victorian Legislation will be assessed.

Objective observable indicators have been described for each criterion. The scores have been defined so that 0 indicates sub standard performance, 1 indicates that a basic level of compliance with the criteria has been achieved but improvement is possible and 2 indicate a high standard has been achieved. Several criteria have been greater emphasis and will be weighted by a factor of 4 in the final score.

Evidence will be collected by interviewing field personnel, inspecting records in the field and making observations. As well as a numerical score a description of the evidence observed and any recommended actions will be reported.

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. The following table indicates the time frame for action to be taken for any criteria where a **zero** score was allocated.

Follow up audits will check that you have addressed the identified issues and that action taken is effective.

Importance	Time to address identified deficiencies
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.

Where a score greater than zero but less than full marks is awarded by an auditor it is expected that the issue identified is addressed in a timely manner. Subsequent audits will be used to verify any action taken. Percentages for each individual's performance will be calculated as well as an overall score for the operation. These will be reported along with observations of evidence gathered.

- 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.

Criteria	Indicator	Rating	Importance
1.1. Hazard assessment	Are individuals able to demonstrate a recent hazard assessment?	0 = No 1 = Verbal Evidence 2 = Written Evidence	High
1.2. Safe work procedures	Are individuals able to locate written safe work procedures?	0 = No 1 = Verbal Evidence 2 = Written Evidence	High
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	High
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	High
1.5. Unsafe plant isolation procedure	Are individuals able to describe a robust isolation procedure?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.6. Working Alone Procedures	Are individuals able to describe working alone procedures?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
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
1.8. Emergency procedures – Fire	Are individuals able to describe emergency response procedures to a fire caused by the operation?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.9. Emergency procedures – Spill	Are individuals able to describe emergency response procedures to a spill?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.10. Injury reporting procedures	Are individuals able to describe injury reporting procedure?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.11. Issue resolution	Are individuals able to describe issue resolution procedures both for internal issues and issues involving RTL personnel?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium
1.12. Disciplinary procedures	Are individuals able to describe disciplinary sanctions for unsafe work?	0 = No 1 = Verbal Evidence 2 = Written Evidence	Medium

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2. Operator Personal Protective Equipment

To be assessed for every individual.

Criteria	Indicator	Rating	Importance
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
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
2.3. 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
2.4. Safety footwear	Are operators wearing safety footwear compliant with AS/NZS 2210?	0 = No 1 = Not compliant with AS 2 = Compliant with AS	Critical
2.5. Gloves	Are gloves compliant with AS/NZS 2161 available to be used to protect against hazardous substances, wire sprags or other hazards?	0 = No 1 = Not compliant with AS 2 = Compliant with AS	Medium
2.6. Eye Protection	Is eye protection compliant with AS/NZS 1336 worn where necessary?	0 = No 1 = Not compliant with AS 2 = Compliant with AS	High
2.7. Other PPE	Is other PPE compliant with relevant Australian Standard is available for use where necessary? e.g. welding mask, respiratory protection, cut resistant trousers	0 = No 1 = Not compliant with AS 2 = Compliant with AS	Critical

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3. Competence and Equipment Condition

Specific field based assessments for each task

Criteria	Indicator	Rating	Importance
3.1. Follows safe work procedures	Are safe work procedures followed?	0 = No 1 = Most of the issues 2 = All of the issues	Critical
3.2. Safe Working Condition	Is plant and equipment in a safe working condition?	0 = No 1 = Most of the features 2 = All of the features	Critical
3.3. Safe Work Zone	Does operator continuously work in a safe zone?	0 = No 1 = Most of the time 2 = All of the time	High
3.4. 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
3.5. Roll Over Protection	Is there a Roll Over Protection Structure compliant with ISO 8082 or AS 2294.2 in a serviceable condition where necessary?	0 = No 1 = Minor Damage 2 = Present and compliant with standard	Critical
3.6. Operator Protective Guards	Is there Operator Protective Guarding compliant with AS 4988, ISO 8084 or AS 2294.1 Supp 1 in a serviceable condition where necessary?	0 = No 1 = Minor Damage 2 = Present and compliant with standard	Critical
3.7. Windows	Are all windows in a serviceable condition?	0 = Window missing 1 = Present and damaged 2 = Serviceable Condition	Low
3.8. Seat Belts	Are seatbelts fitted and worn?	0 = Not fitted 1 = Fitted but not worn 2 = Fitted and worn	Medium
3.9. Hand Held Equipment	Is hand held equipment well maintained and safe to operate?	0 = No 1 = Most of the issues 2 = All of the issues	High
3.10. Safety information	Is appropriate safety information available? -decals -operators manual	0 = No 1 = Most of the features 2 = All of the features	High
3.11. Communication with others	Is an agreed method of communication with other parties available and in use?	0 = None 1 = Ad hoc communication 2 = Continuous electronic communication	High
3.12. Shut down safety.	Is plant and equipment left in a zero energy state when operator ceases operations?	0 = No 1 = Most of the time 2 = All of the time	High
3.13. Site Hand Over	Is site left in safe condition after operation?	0 = No 1 = Most of the time 2 = All of the time	High
3.14. Pre-operational checklist	Has documented check of machines safety features been completed?	0 = No 1 = Less regularly than daily 2 = Daily	Medium

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4. Hazard Assessment and Control Adequacy

To be assessed on operation overall

Criteria	Indicator	Rating	Importance
4.1. JSA	Are all visible hazards documented?	0 = No 1 = Most hazards recorded 2 = All hazards recorded	Critical
4.2. SWP – Manual Handling	Has all hazardous manual handling been identified and controlled?	0 = No 1 = Most of the issues 2 = All of the issues	Critical
4.3. SWP – Noise	Are appropriate risk control measures implemented where it is likely that an employee is exposed to noise that exceeds the noise exposure standard?	0 = No 1 = Most of the issues 2 = All of the issues	Critical
4.4. SWP – Prevention of Falls	Have all tasks an employee is required to undertake at a workplace that involves a fall hazard been identified and appropriate controls implemented?	0 = No 1 = Most of the issues 2 = All of the issues	Critical
4.5. SWP – Confined Spaces	Have all hazards associated with work in a confined space been identified and controlled?	0 = No 1 = Most of the issues 2 = All of the issues	Critical
4.6. SWP – Plant Hazards	Have all hazards related to the installation, commissioning, decommissioning, dismantling, erection and use of plant and the systems of work associated with that plant been identified and controlled?	0 = No 1 = Most of the issues 2 = All of the issues	Critical
4.7. SWP – Hazardous Substances	Have all hazardous substances used in the workplace been identified and are appropriate measures in place to reduce the risk of exposure?	0 = No 1 = Most of the issues 2 = All of the issues	Critical
4.8. SWP – Other Hazards	Have all other hazards been identified and controlled. These other hazards may include: <ul style="list-style-type: none"> - Working Alone - Working with poor visibility - Fatigue - Exposure to sun - Slips and Trips - Neighbours and Public - Violence, harassment and workplace stress 	0 = No 1 = Most of the issues 2 = All of the issues	Critical

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5. Supporting Equipment and Documentation

To be assessed on operation overall

5.1. Signage	Are appropriate signs around the work site e.g. -PPE -"No unauthorised access"?	0 =No 1 =Most of the signs 2 = All signs	High
5.2. First aid equipment	Are all personnel able to rapidly access well maintained, first aid equipment adequate to deal with a major laceration?	0 =No 1 = Most of the time 2 = All of the time	High
5.3. Emergency communication equipment	Does crew have the ability to call emergency services and direct them to worksite: - phone / radio - emergency plan incl. map?	0 =No 1 = Most of the time 2 = All of the time	High
5.4. Fire fighting equipment	Is fire fighting equipment serviceable? - Gear prescribed by RTL Procedures	0 =No 1 = Most of the time 2 = All of the time	High
5.5. MSDS	Are MSDS's available for hazardous substances?	0 = No 1 = Most substances 2 = All substances	Medium
5.6. System documentation	Is all system documentation current and well maintained?	0 =No 1 = Some Documentation 2 = All necessary documentation	High

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Version Information

Original version was developed in December 2008 in consultation with RTL management and selected suppliers.
