

Auditor Guide Mobile Equipment

Standard requirement	Summary of evidence to be sighted	General hints for auditor Look for objective evidence
1.1 Risk Assessment	Hazard Identification and Risk Assessment carried out for each operating area (mine, plant, exploration) where mobile equipment is used	<ul style="list-style-type: none"> Examine formal hazard identification/risk assessments carried out for mobile equipment (including major contractor) Check that the risk assessment has been done using the Operation's Hazard Identification and Risk Assessment Procedure. In the case of major contractors, check that their risk assessment meets the above requirements Check that the Procedure includes the complete process: <ul style="list-style-type: none"> Hazard identification Determination of likelihood Determination of consequence Calculation of level of risk Setting priorities Determination of controls Hierarchy of controls Action plans Review of residual risk Monitoring of critical controls Check that the risk assessment includes: <ul style="list-style-type: none"> Mobile equipment specifications Operator training and competency Standard Operating Procedures (SOP's) for operation and maintenance Roadway design, construction, and maintenance Traffic and pedestrian control Interfaces between operating areas (eg. where underground ore haulage transfers to treatment plant haulage, ROM) Check that the results of the risk assessment are included in the operation's (or contractor's) Hazard/Risk Register
1.2 Equipment Specifications	Equipment specifications are documented	<ul style="list-style-type: none"> Check that documented specifications exist for all mobile equipment including minimum safety requirements.

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1.3 Equipment Acquisition & Assessment	All mobile equipment is assessed to confirm meeting specifications	<ul style="list-style-type: none"> Check that all mobile equipment has been evaluated and assessed as meeting the documented specifications in 1.2 above, including: <ul style="list-style-type: none"> Operation's equipment Contractors' equipment Check that all mobile equipment (including contractors' equipment eg. cranes, trucks) brought to site has been assessed as fit for use (eg. pre-use inspection) <ul style="list-style-type: none"> Examine a sample of pre-use inspection records for mobile equipment brought to site (eg. previous 3 months)
1.4 Existing Equipment	Existing mobile equipment meets minimum safety requirements	<ul style="list-style-type: none"> Check that a gap analysis for all mobile equipment (against minimum requirements in 1.2 above) has been conducted <ul style="list-style-type: none"> Examine completed check lists against minimum requirements for existing equipment If deficiencies found check that a formal risk assessment has been completed (see 1.1 above)
1.5 Equipment and Task Allocation	Only trained competent people operate mobile equipment	<ul style="list-style-type: none"> Examine a sample of shift reports (eg. previous 3 months) and check training records of mobile equipment operators to confirm they have been trained and competency assessed.
1.6 Training and Competency	Competency training is provided for operators and maintainers	<ul style="list-style-type: none"> Examine the training program for operators and maintainers of mobile equipment (including major contractors). Check it includes: <ul style="list-style-type: none"> Competency standards for operators Competency standards for maintainers Training modules that have a direct correspondence with Standard Operating Procedures (SOP) or Work Instructions (WI). The use of written questionnaires to demonstrate understanding. The use of workplace assessors Refresher training at appropriate intervals Examine the training records of the same sample of maintainers in 1.5 above. Confirm that: