

Employee Evaluation

Branch Name: Sydney/ACT
Service/Repairs

Auditor(s):

Sub-Contract Audit: No

Supervisor Name:

Department:

Employee Name:

Product Type:

Audit Date:

**Supervisors
(Count):**

Announced/Unannounced:

**Mechanics
(Count):**

Job Site Address:

Instructions for use of the FPA Form

1. This form should only be used by personnel that have completed the FPA Training Program. The form can be used as an audit, or at the Company level, as a self-inspection form for supervisors. All audit team members must be certified when the results are to be recorded as the Company score of record.
2. The criteria used for assessment is to be based primarily on the method of work used to safeguard against each category of risk. To evaluate all work procedures, the mechanic must be asked to physically demonstrate the procedure. A verbal explanation can not be used to answer either OK or NO.
3. For each risk category evaluated, a written explanation is required that defines the demonstration or physical fact used to answer OK or NO.
4. Wherever a deficiency is found, the appropriate tick box must be checked. If there is more than one tick box checked, a written explanation is required for each problem.
5. For all noted failures, the auditor must strive to understand the breakdown or failure in the management system that caused the failure (could be more than one cause). Each causative factor must be detailed in writing in the Observations section under each category or in the Management Systems section of this form.
6. FPA failures associated with the Cardinal Rules are indicated next to the item and are to be used only for reference. The 2-day discipline policy may only apply if it is a condition or activity identified prior to the audit process or under other special circumstances. Like any FPA failure, discussion and retraining must occur.

A Otis Australasia Focus Areas

Auditor Guidance: The following questions are annual focus areas that should be reviewed throughout the audit .To answer Y / N or NA indicates whether the employee has implemented the item and or it has been effective. If at any time during the audit the employee does not address one of the categories a no should be checked.

OK NO NA

Otis Australasia Focus Areas

- A 1** Was a JHA available for task being conducted?
- A 2** JHA adequate and signed off as required?
- A 3** Was Hot work permit adequate/available?
- A 4** Were appropriate gloves available with employee?
- A 5** Was the correct glove worn for the task?
- A 6** Safety glasses available? (Non conductive)
- A 7** Appropriate Safety Glasses worn as required?
- A 8** Appropriate Safety Boots worn?
- A 9** Clothing worn is appropriate for the task?
- A 10** Height Safety Equipment available with employee?
- A 11** Height Safety Equipment without defects?

- A 12** Height Safety Equipment labels clearly legible and in date?
- A 13** Portable Power Tools tested and tagged?
- A 14** SDS available for all chemicals at site?
- A 15** Other

Observations:**B Fall Protection**

Auditor Guidance: Fall protection shall be provided for and used by any employee who is exposed to fall hazard when working at an elevated level of 2 meters or more. When working on top of an elevator, running platform or scaffold, a fall hazard exists when there is a space of 300 mm or more in its least dimension, between the edge of the platform and the hoistway wall. In addition, there may be other hazardous conditions, such as working over machinery or moving equipment

OK NO NA

 Fall Protection

- B 1** Fall protection not used when exposed to a fall hazard (4.3)
- B 2** Fall protection equipment not certified or does not conform to Otis requirements (App.A.4.3).
- B 3** Guardrails are not adequate and no fall protection used (Appendix A.4.3)
- B 4** Inadequate barricades at hoistway openings (5.4.A)
- B 5** No fall protection while working on ladder at elevations greater than 2 meters (4.3) - Cardinal Rule
- B 6** More than one person tied off to the same lifeline (4.3.C)
- B 7** Lifelines not protected from sharp edges
- B 8** Inadequate or unknown capacity of anchorage point for lifeline and/or lanyard (App.A.4.3).
- B 9** Improper sequence of connecting and disconnecting lanyard
- B 10** Ladder not secured at elevations greater than 2 meters (4.3/5.3.C)
- B 11** Riding car top with long lanyard w/o inspection mode by 2 independent means (App. A)
- B 12** Other

Observations:**C Control of Elevator/Escalator**

Auditor Guidance: Complete control of the unit must be maintained at all times when working in a hoistway. This requires that control be assured, tested and verified prior to entering the hoistway and not relinquished until the associate has exited the hoistway

OK NO NA

 Access and Egress for Top of Car

- C 1** Improper verification of safety chain function (door, E-Stop) and Inspection Switch (5.2.A). Control of the elevator was not established or maintained. - Cardinal Rule
- C 2** Riding car top without top of car inspection fitted or used (5.2.C) - Cardinal Rule
- C 3** Riding the car top in Normal operation with out approval (5.2.C / App.A.5.2) - Cardinal Rule
- C 4** More than two people working in the hoistway without proper authorization (5.1.D)
- C 5** TOCI or stop switch located too far from landing and no alternate safe procedure used (App. A.5.2.C)
- C 6** Accessing/Egressing car top with stop switch in run position (5.2. A2) - Cardinal Rule
- C 7** Other

Observations:

OK NO NA

 Access and Egress for Pit/Escalator Truss
C 8

- Improper verification of safety chain function (door, E-Stop) (5.3.B) or Escalator control/stop switches. Control of the elevator or escalator was not established or maintained. - Cardinal Rule
- C 9** Stop switch located too far from landing and no alternate safe procedure used (5.3.A) - Cardinal Rule
- C 10** Improper door blocking device (5.4)
- C 11** More than two people working in the hoistway without proper authorization (5.1.D)
- C 12** No pit stop switch or equivalent form of protection (5.3.A) - Cardinal Rule
- C 13** Mechanism (switches, ladder, releases, etc.) locations prevent use of standard procedure. No alternative safe procedure available or used
- C 14** Did not correctly follow the Lower Door Lock (Landing) Procedure
- C 15** Other

Observations:**D Control of Hazardous Energy**

Auditor Guidance: Complete control of the unit must be maintained at all times when working in a hoistway. This requires that control be assured, tested and verified prior to entering the hoistway and not relinquished until the associate has exited the hoistway

OK NO NA

 Electrical

- D 1** Employee was not able to demonstrate lockout / tagout procedures (4.2.B/4.4)
- D 2** Employee did not have padlock in his/her possession during work activities (4.2.B / 4.4)
- D 3** Equipment not equipped with lockout capability & alternative method not used (4.2.B / 4.4) - Cardinal Rule
- D 4** Multiple employees using only one lock (4.4)
- D 5** Multiple employees have keys / combinations to all locks (4.4)
- D 6** Mechanics working on de-energized equipment that has not been locked & tagged (mainline, signal, fan & light circuit, etc.) (4.4) - Cardinal Rule
- D 7** Inadequate electrical protection in proximity of work activity (4.2.A.1) - Cardinal Rule
- D 8** Use of metal ladders where there is a potential for contact with electrical circuits (4.1.E)
- D 9** Failure to use Ground Fault Circuit Interrupters or equivalent protective devices (rated at 10mA max. trip level or less) (4.2.C)
- D 10** Mechanic did not verify a "zero energy state" (power, signal, fan & lights) (4.4. A / C) - Cardinal Rule
- D 11** Mechanic did not verify that the voltage tester was working properly (4.4.C.5)
- D 12** Employees working in wet pit with power on (5.3.G) - Cardinal Rule
- D 13** Jewelry and other metallic objects worn around live equipment (4.2.A) - Cardinal Rule
- D 14** Use of uninsulated tools around live equipment (4.2.A)
- D 15** Employee does not stand to side when turning main power on and off
- D 16** Other

Observations:

OK NO NA

 Mechanical

- D 17** Failure to use 2 independent means of protection to secure the car (4.7.G)
- D 18** Re-roping - Failure to use 2 independent means of protection to secure the car, activate safeties and removal of more than 1/2 the running ropes (5.7.E)
- D 19** Failure to use or improper use of a pipe stand or other means for landing a hydraulic elevator for work in the pit (5.3.D)

- D 20** CWT support not load rated or secured in place during repair activities (4.7.G)
- D 21** Employee did not know the weight of the car or CWT and did not know where to locate this info (4.7.G)
- D 22** Working in close proximity to unguarded drive or diverter sheaves or other rotating equipment (4.6) Note: A definition of working in proximity, is working within 1.5 m of the hazard - Cardinal Rules
- D 23** Failure to provide overhead protection while working in the hoistway (4.5.C / 5.1.D / 5.2.D / 5.3.I / 5.6.D) - Cardinal Rule
- D 24** Unsecured rope terminations (e.g. lockwire, cotter pins) (5.7.F.2)
- D 25** Unsafe oxygen-acetylene or compressed gases welding, cutting, heating equipment or procedures (4.1.I)
- D 26** Storage of jobsite materials creating an unsafe mechanical energy source (4.1.A)
- D 27** Failure to use two independent methods of preventing Step Chain movement when working in the truss of an Escalator, Travolator or Moving Walk (6.2.E) - Cardinal Rules
- D 28** Work procedure involves walking on Step Axle of Escalator, Travolator or Moving Walk. (6.2.C.2) - Cardinal Rule
- D 29** Work procedure involves riding the Escalator, Travolator or Moving Walk with one or more of the steps or pallets removed. (6.2.C.1) - Cardinal Rules
- D 30** Unprotected use of hazardous (toxic, flammable, corrosive, acidic, etc.) chemicals, or chemicals for which the hazards and protection requirements are not known (no MSDS, etc)
- D 31** Other

Observations:**E High Hazard Operations**

Auditor Guidance: Complete control of the unit must be maintained at all times when working in a hoistway. This requires that control be assured, tested and verified prior to entering the hoistway and not relinquished until the associate has exited the hoistway

OK NO NA

 Hoisting & Rigging (all departments)

- E 1** Out-of-date or no inspection of lifting apparatus while in use (4.7.E) - Cardinal Rule
- E 2** Slings not protected against sharp edges (4.7.B)
- E 3** Slings bent at too sharp an angle (4.7.B)
- E 4** Slings do not have sufficient strength for the load (4.7.B) - Cardinal Rules
- E 5** Knots tied in slings (4.7.B)
- E 6** Failure to use pre-fabricated slings (slings made up using clips) (4.7.B) - Cardinal Rule
- E 7** Damaged slings not removed from service (4.7.E.4)
- E 8** Working under suspended load (4.7.E.5) - Cardinal Rule
- E 9** Safety Helmet available and worn by employee
- E 10** Other

Observations:

OK NO NA

 Scaffolding (all departments)

- E 11** No certificates or inspection records (inability to assure that scaffold conforms to recognized standards) (4.5.A / B)
- E 12** Scaffolding not securely braced against swaying or movement (4.5.C)
- E 13** Improper structural bracing on scaffolds (4.5.C.2 / 4)
- E 14** Improper working platforms on scaffold structure (4.5.C.5)
- E 15** Improper means of access and egress (4.5.C.6)

- E 16 Inadequate overhead protection (4.5.C.1)
 E 17 Improper guardrail system (4.5.C.3)
 E 18 Employee was not familiar with requirements for use of scaffolding
 E 19 Other

Observations:

OK NO NA

 False Car / Running Platform

- E 20 Failure to use audio-visual alarms on false cars or running platforms (5.6.D.4 / App.A.D.4.1 / 4)
 E 21 Improper construction of false car (5.6.A)
 E 22 Failure to inspect and maintain false car in good working condition (5.6.A)
 E 23 Improper activation, construction and functioning of safeties (5.6.G)
 E 24 False car erected by untrained personnel w/o use of instructional guidelines (5.6.A)
 E 25 Inadequate guard rails (5.6.B / 5.6.D.2)
 E 26 Lack of automatically activated redundant safety mechanisms to prevent failure of false car or running platform (5.6.G)
 E 27 Employees not familiar with false car construction requirements (5.6.A)
 E 28 Employees did not know the capacity of a false car, 600 pounds
 E 29 Other

Observations:

OK NO NA

 Jumpers & Shunts

- E 30 Use of unauthorized jumpers (on site, on person, in tool box, etc) (4.9.C) - Cardinal Rule
 E 31 Non-retractable shunts used in swing or manual door locks (4.9.A)
 E 32 Jumpers in place when mechanic departed jobsite (4.9.D.3 / 4) - Cardinal Rule
 E 33 Mechanics could not explain use of jumpers (4.9.A)
 E 34 No control log or process for multiple jumpers (4.9.B)
 E 35 Jumper in place without proper control of the elevator (4.9.D.2) - Cardinal Rule
 E 36 Other

Observations:**F NE New Equipment**

Auditor Guidance: This section adds three questions to address key risks at New Equipment sites: failure to follow the FIM, failure to use required tooling, and failure to use proper fall protection, and must be evaluated during every New Equipment FPA.

OK NO NA

 NE New Equipment

- F 1 Correct FIM is not on site and/or is not being followed; deviations from method have not been approved.
 F 2 FIM required tooling not available on site or not used
 F 3 Fall protection Equipment (PPE, lifelines, brackets, barricades etc.) required but not available on site.

Observations:**G Management System Observation 1 - Training, Rules and Procedures, Inspections and Audits**

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OK NO NA

 Management System Observation 1 - Training, Rules and Procedures, Inspections and Audits

Observations:

H Management System Observation 2 - Training, Rules and Procedures, Inspections and Audits

.

OK NO NA

Management System Observation 2 - Training, Rules and Procedures, Inspections and Audits

Observations:

I Management System Observation 3 - Training, Rules and Procedures, Inspections and Audits

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OK NO NA

Management System Observation 3 - Training, Rules and Procedures, Inspections and Audits

Observations:

Findings	Action	Responsibility	Due Date	Closed
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OK	NO	NA	Score
0	0	9	0%