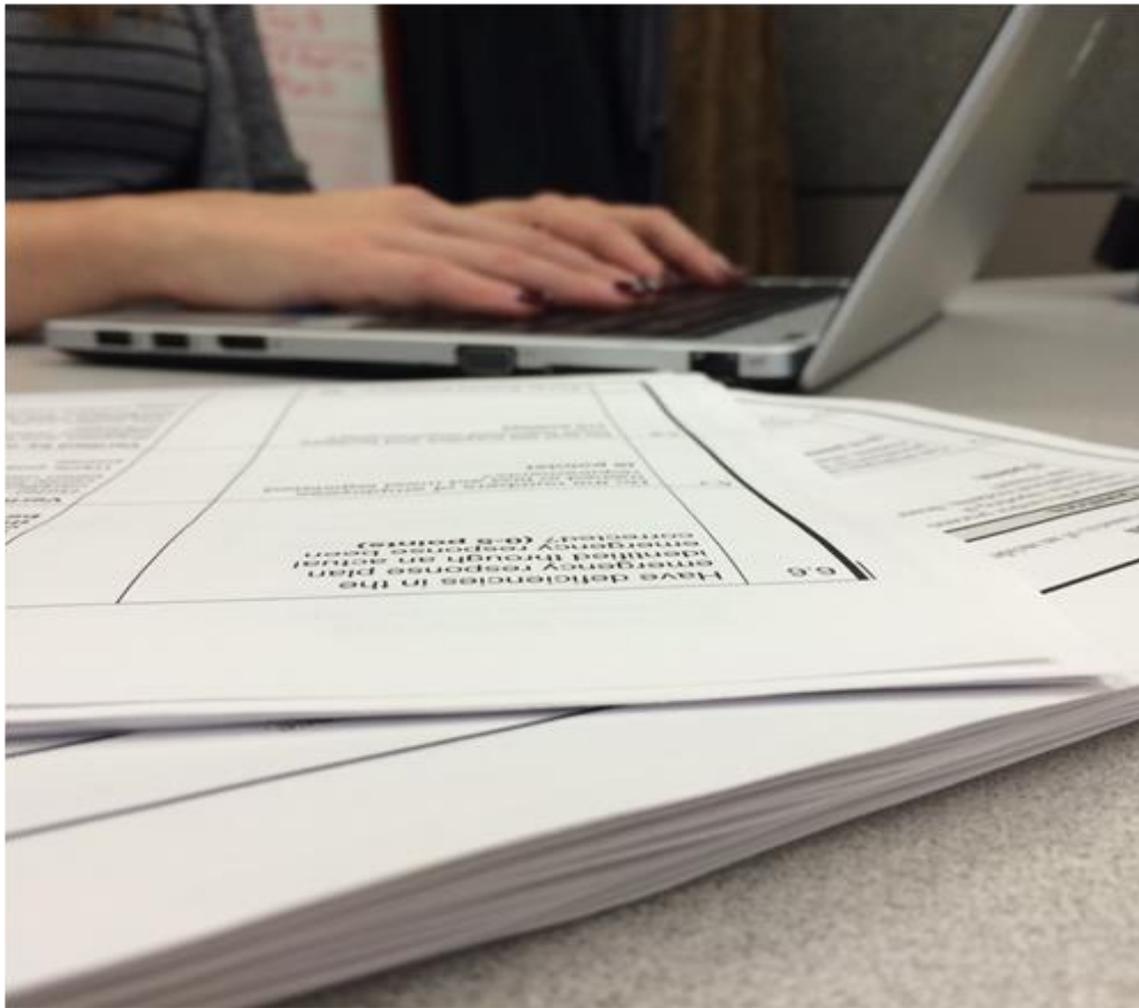# DRAFT AUDIT INSTRUMENT PACKAGE

Alberta Government

AN APPROVED Partnerships AUDIT INSTRUMENT

AUDIT 2018

Alberta Government

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SECTION A

INTRODUCTION

(Audit Instrument Package)

INTRODUCTION

This package includes all the forms and instructions for using and completing a Partnerships audit.

PURPOSE

A Health and Safety System Audit is a comprehensive and objective review of the design and effectiveness of your health and safety system. Evaluating your health and safety system allows you to:

- – Obtain valuable input from employees and others at your work site on the usability and practicality of your health and safety system.

- – Review each individual component of your operation to determine how well your system is being implemented.

WHO PERFORMS THE AUDIT?

A Health and Safety Audit can be done by employees trained in auditing or by external, trained auditors. Note that an external, independent audit is required for achieving a Partnerships Certificate of Recognition (COR).

FREQUENCY OF AUDITS

How often you audit your health and safety system may vary. The frequency will depend on:

- – Changes in business operations
- – Degree of work hazards
- – Incident frequency

- – Staffing changes
- – Past audit results
- – COR requirements

Thank you for choosing the Partnerships Audit Instrument for evaluating your organization. If you have questions or suggestions for improvement, we encourage you to contact the Partnerships Team at (780) 415-8690 or toll free at 1-866-415-8690.

INSTRUCTIONS

The Partnerships health and safety audit instrument is designed for use in auditing health and safety systems.

MAINTAINING CONFIDENTIALITY

When people are interviewed, auditors will keep their names confidential. It is important to protect the rights of individuals so they can express their opinions freely without experiencing negative consequences.

Auditors should not include the names of sources in any notes they make on the audit instrument. If auditors want to keep track of sources for future reference, they should keep these records separate and confidential.

HOW TO SCORE

All-or-none questions (e.g. 10 points): In order to award points, some questions will require 100% positive indicators, while other questions may only require 70%, 80% or 90% positive indicators. . The auditor must reference each instruction to determine scoring requirements for a particular question.

Range-of-points questions (e.g. 0-10 points): The auditor can award part marks based on findings in sampling. Points are awarded based on the percentage of positive indicators.

Validation Techniques: The auditor must validate the answer to the audit question using the validation techniques (i.e. documentation, interviews, and observation) as outlined in the auditor instruction for each question.

Some audit questions require the use of more than one validation technique to determine scoring. For example, if instructions indicate verification "by documentation <u>and</u> interviews," points are awarded based on consideration of both validation techniques.

Use of "Not Applicable" (N/A): In a few cases, the auditor has the option of determining that the question is "not applicable" (n/a). This option has been provided because some questions may not be applicable to every operation. If the auditor scores a question as "n/a," the points for that question are deducted from the total points possible for the element and for the audit. Auditor notes must clearly justify any "n/a" response.

Rounding Rules for Scoring: Regular rounding rules apply. From .1 to .4 round <u>down</u> to the nearest whole number, and .5 to .9 round <u>up</u> to the nearest whole number. For example, 6.37 would be rounded down to 6, and 5.67 would be rounded up to 6.

All scoring must be justified through the use of clear and complete auditor notes that:
- clearly explain how scoring was derived
- indicate the validation method(s) used to score the question, and (where applicable) the percentage positive indicators found
- are consistent with the notes and score awarded for other related questions

Once all audit questions have been completed and the scores determined, the total audit score can be calculated. A table for calculating the final score is provided at the end of the audit instrument.

STEPS FOR COMPLETING AN AUDIT

1.	Pre-Audit Meeting	This is to give a brief overview of the audit process. Attendees should include appropriate senior management and labour representatives. Ensure that the whole site is made aware that the audit is going to take place.
2.	Familiarization Tour	This is a short tour of the facilities included in the scope of audit. Someone knowledgeable with the whole operation should lead the auditor on this tour.
3.	Review Documentation	This is a review of the applicable health and safety documentation. Use the Audit Documentation Guideline included in Section E of the appendix in this package. Use the findings from the documentation review to score the appropriate audit questions.
4.	Interviews	Conduct the interviews that you have pre-determined using representative sampling requirements. Use the **Interview Record Forms** included in Section C of this package. Comment and score the appropriate audit questions.
5.	Site Observation Tour	This is for verifying audit questions where the validation technique is listed as "Observation." The Audit Observation Tour Guideline in Section E provides a format for visually verifying findings from your documentation review and interview results. Use the findings from the observation tour to score the appropriate audit questions.
6.	Organize The Findings	Create a summary of your overall findings for the Post-Audit Meeting (Step 7).
7.	Post-Audit Meeting	The same people who attended the pre-audit meeting should be present. You will be reviewing the audit process, presenting strengths and recommendations, and answering any questions. An audit score should not be shared at the meeting. You can inform attendees that a final report, once approved through the Quality Assurance process, will be forwarded to the employer in a reasonable amount of time.
8.	Final Report	Once data gathering activities have concluded, you will prepare a final report that the organization can use for improving its health and safety system. You can use the **Audit Report Summary** template (Section D) to provide a summary of all the audit findings. **The audit report, completed audit instrument with auditor notes, and pre-audit information must be submitted to the Certifying Partner within 21 days after the completion of data gathering activities.**

SECTION B

AUDIT INSTRUMENT

(Audit Instrument Package)

Partnerships Audit Instrument

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1. MANAGEMENT LEADERSHIP AND ORGANIZATIONAL COMMITMENT

Management commitment and leadership is the essential foundation for a successful occupational health and safety management system (OHSMS). Management and employees working cooperatively together is required for a health and safety system to succeed.

	Questions	Score	Instructions	Notes
1.1	Is there a written Health and Safety Policy signed by the current senior manager? **(5 points)**		**Verified by reviewing written policy.** To award the 5 points, the policy be signed by the current senior manager, and **must include**: - declaration of management commitment to health and safety that addresses physical, psychological, and social well-being - general health and safety responsibilities of managers, supervisors, workers and contractors - expectation that employees will comply with applicable legislation and the organization's own health and safety standards **Points are awarded based on 100% positive indicators from documentation.**	**Questions 1.1 and 1.2 – combined into one question** **Instructions require 3 criteria** **Scoring require 100% positive indicators to award 5 points or zero is awarded**

1.2	Is the Health and Safety policy readily available to employees? **(0-5 points)**		**Verified by observation.** The current policy may be posted on bulletin boards, in lunchrooms and/or any areas accessible to employees. It may also be in employee handbooks, safety manuals, and/or downloaded or stored electronically. Notes must describe where the policy is located, and how it is made accessible to all employees at that location. Provide Examples. Points are awarded based on the percentage of locations the policy was available.	**1.3 question was "or interviews"** **Scoring was 0-3 points** **Changed validation method to an observation only.**
1.3	Is the health and safety policy communicated to employees? **(0-5 points)**		**Verified by senior manager, manager, and supervisor interviews.** Interviewees must be able to describe how they ensure that the policy is communicated to employees. Points are awarded based on the percentage of positive responses. Provide examples.	This question is new.
1.4	Are employees aware of the health and safety policy's content? **(0-5 points)**		**Verified by employee interviews.** Employees must be able to explain, in general terms, the policy's content. Provide examples. Points are awarded based on the percentage of positive responses.	
1.5	Have specific health and safety responsibilities been written for all levels? **(0-10 points)**		**Verified by reviewing documentation**, other than the policy (e.g. job descriptions, and health and safety manuals, staff handbooks, etc.). There must be responsibilities written for all applicable employee levels: • Senior Managers • Managers • Supervisors • Workers Points awarded based on the percentage of positive indicators.	**1.5a/b/c/– same question** **Was all or nothing for a min 70% positive indicators at each level** now range of points. **Senior Managers** added to the list and contractors removed.

1.6	Do employees understand their: a. Individual OHS rights **(0-5 points)** b. Company assigned health and safety responsibilities **(0-5 points)** c. Legislated health and safety responsibilities **(0-5 points)**		**Verified by employee interviews.** Employees must be able to identify the three OHS rights (right to know, right to participate, right to refuse dangerous work), what their company designated health and safety responsibilities are (e.g. report incidents, follow safe work procedures, participate in inspections, take required training, etc.), and legislation that applies to the work they do. Provide examples. Points are awarded based on the percentage of positive responses.	New question **1.6 a/b/c–question different wording and excludes contractors 1.6d**
1.7	Do managers and supervisors understand their responsibility for the health and safety of the workers under their supervision? **(5 points)**		**Verified by manager and supervisor interviews.** Managers and supervisors must be able to describe how they ensure the health and safety of the employees under their supervision. Provide examples. Points are awarded based on a minimum 80% positive responses.	New question **The 80% positive responses for interviews required.**
1.8	Are employees evaluated on their individual health and safety performance? **(0-10 points)**		**Verified by employee interviews.** Employees at all levels must be able to explain how their occupational health and safety performance is evaluated These can include: • Performance appraisals • Discipline policy/process for non-performance • Letters from employer • Positive reinforcement by supervisors • Job safety observations • Management and supervisor reviews, etc. Provide examples. Points are awarded based on the percentage of positive responses.	**1.7a/b/c was interview verification,** **Scoring was 0-5 points** New question **Different wording, this question is asked at all levels of interviews.**
1.9	Does senior management communicate to employees, at least annually, the organization's commitment to health and safety? **(10 points)**		**Verified by employee interviews.** Notes must include examples of how senior management communicates health and safety commitment. Provide examples. Points are awarded based on a minimum 80% positive responses.	**1.8 was interview verification, required 70% to award 5 points.** **The 80% positive responses for interviews required.**

1.10	Does senior management demonstrate commitment to occupational health and safety? **(10 points)**		**Verified by employee interviews.** Employees must identify how senior management demonstrates their commitment to health and safety (e.g. site tours, participate in inspections or committees, using hazard controls, etc.). Provide examples. Points are awarded based on a minimum 80% positive responses	New question **Eliminated old question 1.9a/b** **Score based on minimum 80% positive responses.**
1.11	Is current health and safety legislation readily available at all work sites? **(5 points)**		**Verified through observation at work sites.** The current occupational health and safety legislation (e.g. federal and/or provincial) appropriate to the operation of the work site(s) must be readily available. Provide examples. Points are awarded based on 100% positive indicators from observations.	**1.10 was observation verification, required 70% to award 5 points.** **The 100% positive responses for interviews required.** **Original questions 1.11 and 1.12 are eliminated from Element 1 moved to new Element 6.**
1.12	Does management participate in meetings where health and safety is discussed? **(0-10 points)**		**Verified by review of health and safety meeting minutes.** To award points there must be documented evidence of management participation in meetings where health and safety is on the agenda. Points are awarded based on the percentage of positive indicators of sampled meeting minutes.	**This question was moved from element 8**
1.13	Does the employer provide resources needed to implement and improve health and safety? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to describe health and safety resources provided (e.g. paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.). Provide examples. Points are awarded based on the percentage of positive responses.	**1.13a/b/c was interviews, 0 – 5 for each part.** **New wording in question and instructions.**
	TOTAL POINTS POSSIBLE: 105			

Total points possible __105__ - Points not applicable (N/A) _____ = Total points _____

Total points scored = [   ]

(divided by) _____ x 100 = FINAL SCORE_____ %

Total points possible [   ]

2. HAZARD ASSESSMENT

A **formal hazard assessment** takes a close look at the overall operations of an organization to identify hazards, measure risk (to help prioritize hazards), and develop, implement and monitor related controls. Worker jobs or types of work are broken down into separate tasks. Formal hazard assessments are detailed, can involve many people, and will require time to complete.

A **site-specific hazard assessment** (also called field-level) is performed before work starts at a site and at a site where conditions change or when non-routine work is added. This flags hazards identified at the location (e.g. overhead powerlines, poor lighting, wet surfaces, extreme temperatures, the presence of wildlife), or introduced by a change at the work site (e.g. scaffolding, unfamiliar chemicals, introduction of new equipment). Any hazards identified are to be eliminated or controlled right away, before work begins or continues.

	Questions	Score	Instructions	Notes
2.1	Have jobs been inventoried for the purpose of formal hazard assessments? **(0-10 points)**		**Verified by reviewing documentation.** Notes must include examples of the jobs/positions identified, and any that were missed. Points are awarded based on the percentage of jobs and occupations inventoried compared to the number required as identified on staff listings or organizational charts. Sampling is not acceptable for this question.	New question **2.1a question worded differently** **Question focused on jobs/occupations inventoried for hazard assessment purposes.**
2.2	Has the employer compiled a list of tasks associated with each job? **(0-20 points)**		**Verified by review of formal hazard assessments.** The various tasks associated with each occupation/job must be identified. Notes must include examples, and list any tasks that were missed. Points are awarded based on the percentage of tasks identified for jobs in the inventory. The **maximum** score allowed for this question will be determined by the total percentage awarded in question 2.1. For example, if only 50% of the points are awarded in question 2.1 (e.g. 5 points), then a maximum of 50% (e.g. 10 points) can be awarded in question 2.2.	New question **Cascade question** **2.1b – was greater point value up from 0 – 10** **Cannot award a greater percentage than awarded in 2.1 (no longer an a/b question).**

| 2.3 | Are health and safety hazards identified for the tasks associated with each job?
 (0-20 points) | | **Verified by review of formal hazard assessments** to confirm that **both** health and safety hazards have been identified for tasks where applicable. (confirmed by question 2.2).

 Notes must include examples of both health and safety hazards identified. A health hazard is anything that could harm someone's health, either immediately or over time. A safety hazard is anything that could cause injury or damage.

 Consider the four categories for health and safety hazards, which include:

 • Physical (e.g. radiological, working at heights, lifting heavy loads, extreme temperatures, violence, ergonomics, etc.)

 • Chemical (e.g. fumes, vapours, gases, waste products, etc.)

 • Biological (e.g. bodily fluids, viruses, bacteria, moulds, etc.)

 • Psychological (e.g. harassment and bullying, stress, fatigue, etc.)

 Provide examples.

 Score: 0 - 10 points for health hazards
         0 - 10 points for safety hazards

 Note: All hazard categories may not be applicable to every task identified on formal hazard assessments.

 Points are awarded based on the average percentage of tasks for which hazards have been identified. The **maximum** score allowed for this question will be determined by the total percentage awarded in question 2.2.

 For example, if only 50% of the points are awarded in question 2.2 (e.g. 10 points), then only 50% (e.g. 10 points) can be awarded in question 2.3. The scoring maximums for both health and safety hazards would be reduced to a maximum of 5 points each for this question. | New question

 Cascade question

 2.3 a/b was worth up to 40 pts

 No longer a/b question.

 The auditor will provide one note that will specifically address types of health hazards identified and types of safety hazards identified.

 The points awarded in each category will be averaged in the audit tool to assign a percentage and points. |

2.4	Have the identified health and safety hazards been evaluated according to risk? **(0-10 points)**		**Verified by review of formal hazard assessments** to confirm that each hazard identified in question 2.3 has been assessed for risk to determine priority using a consistent approach of at least 2 factors (e.g. severity and likelihood). Notes must describe the system in use. Points are awarded based on the percentage of health and safety hazards that have been assessed/prioritized. The **maximum** percentage allowed for this question cannot exceed the percentage awarded in question 2.3.	New question **Cascade question 2.4a/b was worth up to 20 pts.** **No longer a/b question.** **Note: changes in the instructions – at minimum, a 2-factor measure must be used. Cannot award a greater percentage than in 2.3.** **Notes must include verification for both health and safety hazard evaluation.**
2.5	Is senior management knowledgeable about the high hazard tasks related to their operations? **(10 points)**		**Verified by senior manager interviews.** Senior management must be knowledgeable of the high hazard (critical) tasks related to their operations (identified in question 2.4). Provide examples. Points are awarded based on a minimum 80% positive responses.	New question **The 80% positive responses for interviews required.**

2.6	Do the following participate in the formal hazard assessment process?
	  a. Managers
	      (10 points)
	  b. Supervisors
	      (10 points)
			Verified by manager/supervisor interviews.
			
			Confirm that management and supervisory levels are involved in the formal hazard assessment process, and/or in the regular review of formal hazard assessments. Provide examples.
			
			Points are awarded based on a minimum 80% positive responses.
				New question
				
				The 80% positive responses for interviews required.

2.7	Have workers participated in the development, and/or review of the formal hazard assessments. **(0-10 points)**		**Verified by worker interviews.** Workers must be able to describe how they participated in the development and/or review and revision of the formal hazard assessments and the identification of controls. Provide examples. Points are awarded based on the percentage of positive responses.	2.5 was scored all or nothing. **Not all workers need to be involved in Development, however all workers need to have reviewed the hazard assessment for their job assignment, therefore should be able to describe some involvement.**

2.8	Are employees designated to lead the formal hazard assessment process trained? **(0-5 points)**		**Verified by review of formal hazard assessments and training records.** Employees who lead the formal hazard assessment process (e.g. managers, supervisors, team leaders, etc.) must be trained. Refer to completed formal hazard assessments to determine who lead employees are. Then refer to the training records to determine if these employees have completed training. Training may be done internally or by a third party provider. Points are awarded based on the percentage of positive indicators.	**2.6 was verified by interviews and Document** **Verified by documentation in new audit**
2.9	Is there a written policy and/or process to review formal hazard assessments? **(5 points)**		**Verified by review of formal hazard assessment policy and/or process.** Documentation must confirm a requirement to review formal hazard assessments, and includes the following criteria: • On a regular basis to keep the results up-to-date • When changes are made to the operation or work-related process • When a new work process is introduced • When site-specific hazard assessments identify a new hazard • When an inspection identifies a new hazard • When an investigation identifies a new hazard Points are awarded based on 100% positive indicators from documentation.	New question
2.10	Are formal hazard assessments reviewed as per the policy and/or process? **(0-5 points)**		**Verified by hazard assessment lead interviews.** **Hazard assessment leads** are those that lead the hazard assessment process (e.g. managers, supervisors, team leaders, etc.). Interviewees should be able to describe examples of formal hazard assessments that have been reviewed as per the policy and/or process For example, if a new process has been introduced, or a new hazard has been identified from inspections or investigations. Provide examples. Points are awarded based on percentage of positive responses.	**2.7a/b was range of points, up to 30 pts. and verified by documentation and interviews.** **New audit only one verification – interviews.**

2.11	Does the employer have a process for conducting site-specific hazard assessments when: a. A new activity has been temporarily introduced at the work site? **(5 points)** b. Work is conducted at a temporary/mobile work site (whether owned by the employer or not)? **(5 points)**		**Verified by review of documentation.** A policy and/or process and procedures for conducting site-specific hazard assessments must be in place to award points for this question. Question "a" cannot be marked not applicable (n/a). If the employer does not have temporary/mobile work sites, question "b" may be marked not applicable (n/a). Provide justification. Points are awarded based on 100% positive indicators from documentation.	New question
2.12	Have site-specific hazard assessments been: a. conducted before work begins on the day of the job? **(5 points)** b. repeated if changes are introduced? **(5 points)**		**Verified by review of completed site-specific hazard assessments.** If site specific hazard assessments were not required in the previous 12 months, this question may be marked not applicable (n/a). Provide justification. Points are awarded based on 100% positive indicators from documentation.	New question
2.13	Have controls been identified for site specific hazard assessments? **(0-5 points)**		**Verified by review of documentation.** Site-specific hazard assessment records must identify controls. Points are awarded based on the percentage of positive indicators. If site specific hazard assessments were not required in the last 12 months, this question may be marked not applicable (n/a). Provide justification.	New question
2.14	Do site-specific hazard assessments involve affected employees at the work site? **(0-10 points)**		**Verified by manager/supervisor and worker interviews.** Interviewees must be able to describe how they participate in the site specific hazard assessment process. Provide examples. Points are awarded based on the percentage of positive responses. If site specific hazard assessments were not required in the last 12 months, this question may be marked not applicable (n/a). Provide justification.	New question

2.15	Is there a system in place for workers to report newly identified hazards? **(0-10 points)**		**Verified by worker interviews.** Workers must be able to describe the system to report unsafe or unhealthy conditions and practices. Points are awarded based percentage of positive responses.	New question Similar to Q 4.8 in previous audit
	TOTAL POINTS POSSIBLE: 160			

Audit Score

Total points possible __160__ - Points not applicable (N/A) _____ = Total points _____

Total points scored = [   ]

(divided by) _____   x 100 = FINAL SCORE_____   %

Total points possible [   ]

3. HAZARD CONTROL

If an identified hazard cannot be eliminated, controls are implemented to reduce the risk of the hazard. Implementation of hazard controls will result in the reduction of incidents. Three methods of control are: Engineering (i.e. elimination, substitution, guards, ventilation, sound barriers, etc.); Administrative (i.e. safe work practices, job procedures, job rotation, training, etc.); Personal Protective Equipment (i.e. eye protection, hearing protection, gloves, fire retardant coveralls, etc.).

	Questions	Score	Instructions	Notes
3.1	Have controls been identified for the hazards listed in the formal hazard assessments? **(0-10 points)**		**Verified by review of formal hazard assessments.** Hazard assessments must include controls for each hazard identified, including engineering, administrative, and PPE controls where applicable. Points are awarded based on the percentage of hazards for which controls have been identified in question 2.3. The **maximum** percentages allowed for this question will be determined by the percentage awarded in question 2.3. See question 2.3 for an example on calculating score.	Cascade Question **3.1a/b/c scoring was much greater** **Verified by documentation review.**
3.2	Have the identified engineering controls been implemented? **(0-20 points)**		**Verified by observation.** Refer to question 3.1 to obtain a sample of engineering controls, and verify through observation that they have been implemented. Auditors must include high hazard items in the sample to verify they have been given priority. Provide examples. Points are awarded based on the percentage of engineering controls sampled from the formal hazard assessment that have been observed.	New question **3.1a was 0 – 25 pts.** **Verified by observation.**
3.3	Have the identified administrative controls been implemented? **(0-20 points)**		**Verified by review of documentation** Refer to question 3.1 obtain a sample of administrative controls to verify through a review of documentation. Auditors must include high hazard items in the sample to verify they have been given priority. Points are awarded based on the percentage of administrative controls sampled from the formal hazard assessments that have been verified through documentation.	New question **3.1b was 0 – 25 pts**

3.4	Have the identified personal protective equipment (PPE) controls been implemented? **(0-20 points)**		**Verified by observation.** Refer to question 3.1 to obtain a sample of controls, and verify through observation that they have been implemented. Auditors must include high hazard items in the sample to verify they have been given priority. Provide examples. Points are awarded based on the percentage of controls sampled from the formal hazard assessment that have been observed.	New question **3.1c was 0 – 15 pts**
3.5	Are changes to hazard controls communicated to affected employees? **(0-5 points)**		**Verified by employee interviews.** Interviewees must be able to explain how they were informed of a change to hazard controls relevant to their job tasks. If no changes have been made, interviewees must be aware of how they will be informed of changes. Provide examples. Points are awarded based on percentage of positive response.	New question **Questions 3.2 and 3.3 are no longer in the audit**
3.6	Are employees using the established hazard controls? **(0-5 points interview)** **(0-10 points observation)**		**Verified by employee interviews and observation.** Interviewees must confirm their use of hazard controls. Observe employees performing their jobs, and verify they are **using** the established hazard controls identified in the interviews. Provide examples. Score: 0 - 5 points for interviews 0 - 10 points for observations Points are awarded based on the percentage of positive responses and positive indicators from observations.	**3.4 was 15 pts. required 90% average to score.** **Average percentage from interviews and observations will be assigned. 0 –15 pts. available.**
3.7	Do managers/supervisors enforce the use of hazard controls? **(0-5 points)**		**Verified by managers/supervisor and worker interviews.** Managers/supervisors must be able to give examples of how they enforce the use of controls. Workers must be able to describe the enforcement process. Provide examples. Points are awarded based on the percentage of positive responses.	New question **Question 3.5a/b was 0 – 10 pts. Question 3.5c was 0-15 pts. Verified by interviews and observations.**

3.8	Is there a process in place for preventative maintenance of equipment, vehicles, facilities, and tools? **(5 points)**		**Verified by review of policy and/or process documents.** Documentation must include a policy and/or process requiring ongoing preventative maintenance for vehicles, equipment, facilities, and tools. (e.g.: overhead doors, cranes, localized ventilation, forklifts, power tools, etc.). There must be maintenance schedules where applicable. Points are awarded based on 100% positive indicators from documentation.	**Question 3.6 no longer in the audit** **Question 3.7 was 10 pts. – verified by documentation and interviews.** **Preventative maintenance questions are split into three separate questions in the new audit covered in Q 3.8, 3.9 and 3.10**
3.9	Is the preventative maintenance process in use? **(0-5 points)**		**Verified by review of documentation.** Documentation must confirm that preventative maintenance is being performed according to the schedule as identified in question 3.8. Points are awarded based on the percentage of positive indicators.	**3.7 was 10 pts. with 70% positive indicators, verified by documentation and interviews.**
3.10	Is there a system that ensures defective equipment, vehicles, facilities, and tools are taken out of service? **(0-10 points)**		**Verified by worker interviews.** Worker interviews must be able to describe when and how defective equipment, vehicles, facilities, and tools are removed from service or for repair. (e.g. tag out, lock out, energy isolation, etc.). Provide examples. Points are awarded based on the percentage of positive responses.	**3.7 was 10 pts. verified by documentation and interviews.**
3.11	Is there a written Violence Prevention Policy as per legislative requirements? **(5 points)**		**Verified by review of documentation** As part of an employer's violence prevention plan, a policy must be in place that includes (but is not limited to): • commitment to eliminating or controlling the violence • responsibility to investigate any incidents of violence • commitment to maintain confidentiality of personal information of those involved, where appropriate. • statement that the policy is not intended to discourage a worker from exercising their rights **Points are awarded based on 100% positive indicators.**	New question

3.12	Are there Violence Prevention Procedures written as per legislative requirements? **(5 points)**		**Verified by review of documentation** As part of an employer's violence prevention plan, a procedure must be in place that includes (but is not limited to): - the hazards related to specific, general, or potential violence - eliminating or controlling the hazard of violence - how to obtain immediate assistance when an incident of violence occurs - how to report violence - investigating an incident of violence, and implementing controls as appropriate - informing the parties involved of the results of the investigation, and corrective actions. **Points are awarded based on 100% positive indicators**	New question
3.13	Are employees trained in the Violence Prevention Plan? **(0-5 points)**		**Verified by employee interviews.** Employees must be able to explain, in general terms, the plan content, such as how they report violence and how to they would obtain immediate assistance. Provide examples. **Points are awarded based on the percentage of positive responses.**	New question
3.14	Is there a Harassment prevention policy as per legislative requirements? **(5 points)**		**Verified by review of documentation** Documentation must confirm the Harassment Prevention policy includes the following criteria: - commitment to eliminating or controlling the harassment - responsibility to investigate any incidents of harassment and take corrective actions - commitment to maintain confidentiality of personal information of those involved where appropriate. - statement that the policy is not intended to discourage a worker from exercising their rights **Points are awarded based on 100% positive indicators**	New question

3.15	Are there Harassment Prevention Procedures written as per legislative requirements? **(5 points)**		**Verified by review of documentation** Documentation must confirm there are Harassment Prevention procedures written for the following • how to report harassment • documenting, investigating and preventing harassment • informing the parties involved of the results of the investigation, and corrective actions. **Points are awarded based on 100% positive indicators**	New question
3.16	Are employees trained in the Harassment Prevention Plan? **(0-5 points)**		**Verified by employee interviews.** Employees must be able to explain, in general terms, the plan content, such as how they report harassment. Provide examples. **Points are awarded based on the percentage of positive responses.**	New question
3.17	Have the Violence and Harassment Policies and Procedures been reviewed? **(5 points)**		**Verified by review of documentation** The violence and harassment policies and procedures must be reviewed: • when an incident occurs related to violence and/or harassment; or • if the HSC or HS representative recommend a review; or • at least every 3 years. **Points are awarded based on 100% positive indicators**	New question
	TOTAL POINTS POSSIBLE: 150			

Audit Score

Total points possible __150__ - Points not applicable (N/A)_____ = Total points_____

Total points scored = ☐

(divided by)   _____

Total points possible = ☐   x 100 = FINAL SCORE_____   %

4. JOINT WORK SITE HEALTH AND SAFETY COMMITTEES (HSC) AND HEALTH AND SAFETY REPRESENTATIVES (HS REPRESENTATIVES)

Joint Work Site Health and Safety Committees are a key element of the internal responsibility system. It brings work site parties together to work on topics such as hazard identification and control, investigation of health and safety incidents, and responding to reports of dangerous work. If the employer has 1-4 employees as determined through the audit scope, this element may be marked not applicable.

	Questions	Score	Instructions	Notes
4.1	Do the terms of reference for the HSC include all legislated requirements? **(5 points)**		**Verified by review of documentation.** A terms of reference for the HSC must include: • Memberships structure requirements • Membership succession strategy • Committee dispute resolution process • Coordinating with the employer's other work site HSCs or representatives • Meeting frequencies • Meeting quorum • Reporting to management • Term of office • Training requirements for co-chairs and members • Worker confidentiality Points are awarded based on 100% indicators from documentation. If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification.	New question
4.2	Does a policy or procedure include all legislated requirements for an HS representative? **(5 points)**		**Verified by review of documentation.** A policy or procedure for the HS representative(s) must include: • Requirement to appoint a representative(s) • Reporting to management • Term of office • Training Requirements Points are awarded based on 100% indicators from documentation. If the employer is only required to have an HSC, this question may be marked not applicable (n/a). Provide justification.	New question
4.3	Has the HSC been established as		**Verified by review of documentation**	

	required in the terms of reference? **(5 points)**		Review terms of reference and meeting minutes to determine there is an established HSC. Points are awarded based on 100% indicators from documentation. If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification.	
4.4	Has a HS representative been appointed? **(5 Points)**		**Verified by review of documentation.** Review any policies, procedures, meeting minutes or documentation that can verify that the HS representative has been appointed as per legislated requirements. Points are awarded based on 100% indicators from documentation. If the employer is only required to have an HSC, this question may be marked not applicable (n/a). Provide justification.	New question
4.5	Have duties been written for the HSC and/or HS representative(s)? **(5 Points)**		**Verified by review of documentation.** Duties of the HSC and/or HS representative(s) must be written and **must** include: • Responding to workers health and safety concerns and complaints • Participating in hazard and control identification • Developing and promote health and safety education and training • Conducting inspections of the work site • Participation in investigations • Developing and promoting health and safety measures, and check effectiveness • Making recommendations to improve the health and safety management system • Maintaining records pertaining to the committee associated with the above duties Points are awarded based on 100% positive indicators from documentation	New question
4.6	Have the HSC members and/or the HS representative(s) been trained in their duties and responsibilities? **(0-10 points)**		**Verified by review of documentation.** Review training records for committee members and/or the HS Representative(s). Points are awarded based on percentage of positive indicators.	New question

4.7	Do the HSC members and/or HS representative(s) understand their duties and responsibilities? **(0-10 points)**		**Verified by HSC and/or HS representative(s) interviews** Interviewees must be able to describe their general duties and responsibilities. (e.g. participation in hazard identification, investigations, and inspections, development and promotion of hazard controls, handling health and safety concerns, etc.) Points are awarded based on percentage of positive responses.	New question
4.8	Do HSC members and/or the HS representative(s) participate in health and safety activities? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to confirm the committee members and/or representative(s) are involved in health and safety activities. Provide examples. Points are awarded based on the percentage of positive responses.	New question
4.9	Is there a policy or procedure in place for the HSC and/or HS representative(s) to address employee concerns related to the health and safety system? **(5 points)**		**Verified by review of documentation.** There must be a policy or procedure in place for the receipt, consideration, and disposition of concerns and complaints regarding the health and safety of workers. Points are awarded based on 100% positive indicators from documentation.	New question
4.10	How do employees bring forward health and safety concerns and complaints? **(0-10 points)**		**Verified by employee interviews.** Employees must be able to explain how they bring forward health and safety concerns and complaints to the HSC and/or HS representative(s). Points are awarded based on the percentage of positive responses.	New question
4.11	Is a process in place for the HSC and/or HS representative(s) to make health and safety recommendations to management? **(0-10 points)**		**Verified by manager/supervisor interviews** Interviewees must be able to explain how they receive recommendations from the HSC and/or HS representative(s) regarding the health and safety of employees. Points are awarded based on the percentage of positive responses.	New question

4.12	Are health and safety concerns/complaints resolved in a timely manner? **(0-5 Points)**		**Verified by review of documentation.** Consider the complexity of the concerns/complaints to determine timeliness. Points are awarded based on percentage of positive indicators. This question may be marked "n/a" if there were no concerns/complaints in the previous 12 months. Provide justification.	New question
4.13	Does the HSC hold meetings as identified in the terms of reference? **(0-5 Points)**		**Verified by review of documentation.** Review committee meeting minutes to confirm the meeting frequency is being met as per the HSC Terms of Reference. HSC meetings must be held at least quarterly. Points are awarded based on percentage of positive indicators from documentation. If the employer is only required to have a HS Representative(s), this question may be marked not applicable (n/a). Provide justification.	New question
4.14	Are formal inspections completed prior to HSC meetings? **(0-5 points)**		**Verified by review of documentation.** There should be a connection between formal inspections and the HSC meetings. Inspection frequencies should not be limited by HSC meeting frequencies; however, an inspection(s) must take place prior to each scheduled HSC meeting. Points are awarded based on percentage of positive indicators from documentation. If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification.	New question
4.15	Have the names and contact information of the HSC members and/or the HS representative(s) been posted? **(0-5 points)**		**Verified by observation.** The names and the contact information for the HSC members and/or the HS representative(s) must be conspicuously posted at each represented work site. Provide examples. Points are awarded based on the percentage of work sites that have contact information posted.	New question
	TOTAL POINTS POSSIBLE: 100			

Total points possible   -   Points not applicable (N/A)   =   Total points

Total points scored =   [   ]

(divided by)   x 100 = FINAL SCORE   %
Total points possible =   [   ]

5. QUALIFICATIONS, ORIENTATION AND TRAINING

Qualifications, orientations and training are essential to ensure employees perform their job tasks in a safe and healthy manner. An employer is responsible to ensure the employee is competent.

	Questions	Score	Instructions	Notes
5.1	Is there a process to ensure employees are qualified for the position for which they are being considered? **(5 points documentation)** **(0-10 points interview)**		**Verified by review of documentation and manager/supervisor interviews.** A process must exist that requires a check for qualifications required for the job/tasks (e.g. degrees, diplomas, certificates, trade certificates, apprenticeship program, diplomas, driver's licenses, etc.). Points are awarded based on 100% positive indicators from documentation. Managers/supervisors must be able to describe the process used to verify that employees have the qualifications required to do the job for which they are being hired. Provide examples. Score: 5 points for documentation 0 - 10 points for interviews Documentation points are awarded based on 100% positive indicators. Interview points are awarded based percentage of positive responses.	Question 5.1 reworded and changed of scoring, was 0-10 for documentation and 0-5 for interviews.
5.2	Does the orientation process cover OHS rights, and critical health and safety information prior to starting regular duties? **(5 points)**		**Verified by review of documentation.** The OHS rights, and critical health and safety information must be reviewed with the employee prior to beginning regular duties. These must, at minimum include: • Right to know • Right to participate • Right to refuse dangerous work • Emergency response procedures • Rules of enforcement • Critical hazards • Hazard reporting • Incident reporting Points are awarded based on 100% positive indicators from documentation.	5.4 was 0-5 for documentation and 0-10 for interviews.

5.3	Do managers/supervisors ensure orientations were conducted prior to employees starting regular duties? **(0-10 points)**		**Verified by manager/supervisor and worker interviews.** Managers/supervisors and workers must be able to describe the process used to ensure workers have received orientation prior to employees starting regular duties. Provide examples. Points are awarded based percentage of positive responses.	New question This question replaces 5.2 and 5.3
5.4	Are managers/supervisors provided with training to support them in their role? **(0-5 points documentation)** **(0-10 points interview)**		**Verified by review of training documents and manager/supervisor interviews.** Managers/supervisors must be provided training specific to their role (e.g. incident investigation, hazard identification, communications, conducting meetings, supervisory techniques, enforcement and discipline, legislation, etc.). Score: 0-5 for documentation 0-10 for interviews To confirm which training is deemed appropriate to their role, refer to employer's defined roles and responsibilities in question 1.5, job descriptions, job competencies, etc. Link this back to training documents and interviews. Provide examples. Documentation points are awarded based on percentage of positive indicators. Interview points are awarded based on percentage of positive responses.	New question
5.5	Do employees receive job-specific training when they are a new employee, assigned new tasks, or when an operational change affects their work? **(0-10 points documentation)** **(0-10 points interview)**		**Verified by review of training documents and employee interviews.** Employees must be trained in the hazards and controls associated with their job. Examples may include a combination of reviewing policies, procedures, practical demonstrations, safe work practices, hazard assessments and training (e.g. WHMIS 2015, Confined Space Entry, TDG, tasks specialized to the employer, using specialized tools and equipment, etc.). Provide examples. Score: 0-10 for documentation 0-10 for interviews Documentation points are awarded based on percentage of positive indicators. Interview points are based on percentage of positive responses.	New question Question 5.5 from previous audit was moved to element 6

5.6	Does job-specific training include a practical demonstration? **(0-10 points)**		**Verified by worker interviews.** Training must include a practical demonstration to confirm that employees have acquired the necessary knowledge or skill related to the subject-matter. Provide Examples. Due to the nature of some tasks, a practical demonstration may not be suitable (e.g. working at the computer, etc.). However, there are tasks that require job-specific or specialized training to ensure the worker can competently complete the task (e.g. tasks associated with forklifts, ladders, hand tools, pallet wrappers, etc.). In these situations, a practical demonstration would be suitable. Points are awarded based on percentage of positive responses.	New question
5.7	Is there a process to assess competency of new and re-assigned workers? **(0-10 points)**		Verified by **manager/ supervisor interviews.** Managers and supervisors must be able to describe how they determine the competency of their workers (e.g. on the job training, task observation, test, etc.). Reassignment can include a new job, task, or when a worker moves to a new location. Provide examples. Points are awarded based percentage of positive responses.	New question
5.8	Are competency assessments conducted? **(0-5 points)**		**Verified by reviewing documentation.** Verify that competency assessments are being conducted as identified by the employer. Refer to question 5.7. Points are awarded based on the percentage of positive indicators.	New question
5.9	Is required refresher training provided? **(0-10 points)**		**Verified by reviewing documentation.** An organization may choose to set timelines in their policies for in-house refresher training. Some certifications (e.g. First Aid, trade certificates, etc.) also have requirements for re-training/refresher training on a set schedule. Employers must document any refresher training requirements, and ensure schedules are met. Points are awarded based on the percentage of positive indicators.	New question 5.6 was verified by documentation 0-5 and interviews 0-10

| **TOTAL POINTS POSSIBLE: 100** | | | | |

Audit Score

Total points possible ___100___   -   Points not applicable (N/A)_____   =   Tot<u>al points</u>___

Total points scored = [   ]

(divided by) ——————————   x 100 = FINAL SCO<u>RE</u>_____   %

Total points possible [   ]

6. OTHER PARTIES AT OR IN THE VICINITY OF THE WORK SITE   NEW ELEMENT

Other employers, and/or self-employed persons, visitors, and external worksite parties must be included in the employer's health and safety management system.

This element may not be marked not applicable.

	Question	Score	Instruction	Notes
6.1	Is a policy and/or process is in place to address the protection of others not under the employer's direction? **(10 points)**		**Verified by review of documentation.** The policy and/or process must take into account the protection of other workers not under the employer's direction, visitors and other persons in the vicinity of work that is being carried out. Points are awarded based on 100% positive indicators from documentation.	New question
6.2	Is a process is in place that includes criteria for evaluating and selecting other employers and/or self-employed persons **(5 points)**		**Verified by review of documentation.** An employer must identify what requirements they use to evaluate and select other employers and/or self-employed persons in order to allow them to conduct work at the employer's work site. Points are awarded based on 100% positive indicators from documentation. If the auditor can confirm the audited employer does not use other employers and/or self-employed persons, this question may be marked not applicable (n/a). Provide justification.	New question

6.3	Is a policy and/or process in place that includes a system for monitoring other employers and/or self-employed persons **(5 points documentation)** **(0-5 points interview)**		**Verified by review of documentation and manager/supervisor interviews.** A process to monitor health and safety performance and correct identified deficiencies is in place for other employers and/or self-employed persons during the period of the contracted services. Score: 5 for documentation 0-5 for interviews Points are awarded based on 100% positive indicators from documentation. Interview points are based on percentage of positive responses. If the auditor can confirm the audited employer does not use other employers and/or self-employed persons, this question may be marked not applicable (n/a). Provide justification.	New question
6.4	Are health and safety orientations provided to: a. Visitors? **(10 points)** b. Other employers and/or self-employed persons? **(5 points)**		**Verified by review of documentation.** Confirm orientations are provided to other employers and/or self-employed persons, and visitors (e.g. visitor logs, contractor sign off, etc.) Points are awarded based on 100% positive indicators from documentation. If the auditor can confirm the audited employer does not use other employers and/or self-employed persons, part b of this question may be marked not applicable (n/a). Provide justification.	New question

6.5	Does the employer communicate with external work site parties regarding: a. Their health and safety responsibilities while on site? **(0-5 points)** b. Work site hazards and controls? **(0-5 points)** c. When there are changes to the site? **(0-5 points)**		**Verified by interviewing managers/supervisors.** Interviewees must be able to describe the process in use and provide examples of how external work site parties are made aware of their health and safety responsibilities, work site hazards and controls, and any changes that may affect their health and safety. Provide examples. **Work site parties can include other employers and/or self-employed persons, suppliers, prime contractors, etc. conducting activities at a work site or receiving products.** Points are awarded based on the percentage of positive responses.	New question
6.6	Is the health and safety policy communicated to other employers and/or self-employed persons? **(0-5 points)**		**Verified by senior manager, manager/supervisor interviews.** Interviewees must be able to describe how they ensure that the policy is communicated to other employers and/or self-employed persons. Points are awarded based on the percentage of positive responses. Provide examples. If the auditor can confirm the audited employer does not use other employers and/or self-employed persons, this question may be marked not applicable (n/a). Provide justification.	New question
6.7	Is health and safety information readily available to affected external work site parties? **(0-5 points)**		**Verified by manager/supervisor interviews.** Health and safety information (e.g. Hazards assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC and/or HS representative meeting minutes etc.) is readily available to affected external work site parties. Work site parties can include other employers and/or self-employed persons, suppliers, prime contractors, etc. conducting activities at a work site or receiving products. Provide examples. Points are awarded based on the percentage of positive responses.	New question

6.8	Is a process in place to address non-compliance of other employers and/or self-employed persons under the direction of the contracting employer? **(5 Points)**		**Verified by review of documentation.** The contracting employer must have a process to deal with other employers and/or self-employed persons when there is non-compliance to the employer's OHSMS. Points are awarded based on 100% positive indicators from documentation. If the auditor can confirm the audited employer does not use other employers and/or self-employed persons, this question may be marked not applicable (n/a). Provide justification.	New question
	TOTAL POINTS POSSIBLE: 70			

Audit Score

Total points possible __70__ - Points not applicable (N/A) _____ = Total points _____

Total points scored = ☐

(divided by) _____

Total points possible ☐   x 100 = FINAL SCORE _____   %

7. INSPECTIONS   THIS WAS ELEMENT 4 IN PREVIOUS AUDIT

The formal inspection process can proactively identify new potential hazards, as well as confirm the effectiveness of controls already in place.

Questions		Score	Instructions	Notes
7.1	Is there an inspection policy and/or process that states the frequency of inspections and includes the following: a. All areas of the operation? **(0-5 points)** b. All employee levels? **(0-5 points)**		**Verified by review of inspection policy and/or process.** a. The frequency is established by the employer based on the level of risk. Different inspection frequencies for different areas may be established. For example, a shop may require more inspections than the administrative office. Inspection policies and/or processes must include the frequency of inspections for each area. b. Participation by all levels (m/s/w) is not expected for every inspection, but each level should be assigned some responsibility in the inspection process in order to award points for all parts of this question. Depending on the size or nature of the organization, one or more employee levels may be not applicable (n/a). Provide justification. Points are awarded based on percentage positive indicators from documentation.	Questions 4.1a/b/c previously
7.2	Are checklists or forms used for formal inspections? **(5 points)**		**Verified by review of completed inspection checklists or forms.** An inspection checklist or form customized to the scope of the inspection must be in place and in use. Checklists may be work site, department, operation-specific, employee observation, etc. Points are awarded based on 100% positive indicators from documentation.	Question 4.5 previously

7.3	Have individuals leading formal inspections received training? **(0-10 points)**		**Verified by review of inspection and training records.** Identify employees leading inspections, and verify they have completed training. Points are awarded based on percentage positive indicators from documentation.	Question 4.4 previously
7.4	Are formal inspections carried out in accordance with the policy and/or process by: a. Managers? **(0-5 points)** b. Supervisors? **(0-5 points)** c. Workers? **(0-5 points)**		**Verified by review of inspection records.** Records must show participation from each level, and the frequency stated in the policy and/or process is being met (question 7.1). To award points for part "a" of this question, there must also be documented evidence that inspections conducted by management include a component of employee observation (behaviours and conditions). Points are awarded based on percentage positive indicators from documentation	Questions 4.2a/b and 4.3 previously, was documentation and interview verification.
7.5	Is there a system to correct deficiencies identified through formal inspections? **(0-5 points)**		**Verified by manager/supervisors interviews.** Interviewees must be able to describe the how they ensure deficiencies identified through formal inspections will be corrected. Points are awarded based on the percentage of positive responses.	Question 4.7 previously
7.6	Have deficiencies identified through formal inspections been corrected? **(0-25 points)**		**Verified by observations.** Observe whether sampled deficiencies identified in the inspection reports have been corrected. Points are awarded based on the percentage of positive indicators from observations. Provide examples. Where no deficiencies are identified or not observable, this question may be marked not applicable (n/a). Provide justification.	Question 4.7 previously 4.8 and 4.9 are addressed in Element 2.
	TOTAL POINTS POSSIBLE: 70			

Audit Score

Total points possible ___70___   -   Points not applicable (N/A)_____   =   Total points_____

Total points scored = [   ]

(divided by) ————————————   x 100 = FINAL SCORE_____   %

Total points possible =[   ]

8. EMERGENCY RESPONSE

An emergency response plan helps ensure appropriate and efficient actions will take place in the event of an emergency or disaster.

	Questions	Score	Instructions	Notes
8.1	Have written emergency response plans been developed for potential emergencies? **(0-10 points)**		**Verified by review of emergency response plans applicable to the operations.** Emergency response plans should be specific to the employer. Examples of potential emergencies to consider could include: • Fire • Severe weather • Medical emergencies • Hazardous materials release • Violence • Suspicious persons • And other situations appropriate for the nature of the work being performed Provide examples of emergencies identified. Points are awarded based on the percentage of positive indicators.	Question 6.1a was verified by documentation, 0 – 15 pts. available.

8.2	Do written emergency response plans include:
	
	  a. Communication systems? **(2 points)**
	  b. Emergency phone numbers? **(2 points)**
	  c. List of emergency response personnel? **(2 points)**
	  d. Appropriate Response? **(2 points)**
	  e. Monitoring the effectiveness of the plan? **(2 points)**
			Verified by review of emergency response plans and/or procedures.
			
			  a. Communication systems include alarms, procedures for contacting both internal and external emergency contacts, etc.
			  b. Emergency phone numbers must include more than "9-1-1."
			  c. A list of persons designated to respond to specific types of emergencies.
			  d. Appropriate employee response procedures must be written for all potential emergencies that require them (e.g. Evacuation, lockdown, muster point, shelter in place, equipment, etc.).
			  e. A requirement to monitor the effectiveness of the plan through drills and actual responses.
			
			Notes must include examples of auditor findings to support the scores for each part of the question.
			
			Points are awarded based on 100% positive indicators from documentation.
				Questions 6.1b(i) (ii) (iii) (iv) previously

8.3	Have employees received emergency response training appropriate to their individual responsibility? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to describe the type of training they received in emergency response. Provide examples. Points are awarded based on the percentage of positive responses.	Question 6.2 no longer in the audit Question 6.3 was interview verification
8.4	Do employees understand their responsibilities under the emergency response plan? **(0-10 points)**		**Verified by employee interviews** Interviewees must be able to describe how they would respond in the event of an emergency. Provide examples. Points are awarded based on the percentage of positive responses.	Question 6.4 was documentation or interview verification, 10 pts. all or nothing with 70% response. Verified by documentation review. **Now range of points**

8.5	Are emergency response drills conducted? **(0-10 points)**		**Verified by review of records.** Records of drills must be kept. Drills are *required* at least once every 12 months applicable to the operations. If records cannot be found from the past 12 months, points cannot be awarded. An emergency response drill could include a practice drill or table top exercise. (e.g. evacuation, lockdown, shelter in place, etc.). A drill type may cover multiple emergency response plans. For example, an evacuation drill might address multiple scenarios including a fire, hazardous material release, bomb threat, etc. **Actual emergency responses cannot be used as a drill for scoring this question.** Points are awarded based on the percentage of positive indicators.	Question 6.6 was documentation review, 10 pts. all or nothing with 70% response.
8.6	Have deficiencies in the emergency response plan identified through a drill been corrected? **(0-5 points)**		**Verified by review of documentation.** Review drill records, meeting minutes, etc. for documented deficiencies. Confirm any corrective action(s) were completed. Notes must contain examples of the findings from records of drills, and how deficiencies were corrected. Points are awarded based on percentage of positive indicators. This question may be marked not applicable (n/a) only if deficiencies were not identified from drills. Provide justification. If points have not been awarded in question 8.5, then 0 points must be awarded for this question.	New question

8.7	Have deficiencies in the emergency response plan identified through an actual emergency response been corrected? **(0-5 points)**		**Verified by review of emergency response documentation.** Notes must contain examples of how identified issues were corrected. Points are awarded based on percentage of positive indicators. If an actual emergency response has not occurred, or deficiencies were not noted in the past 12 month period, the question may be marked not applicable (n/a). Provide justification.	New question
8.8	Do the numbers of employees trained in first aid meet legislated requirements? **(5 points)**		**Verified by review of documentation.** Refer to legislation and review first aid certificates. To award points, the auditor must verify that legislated first aid requirements have been met across all shifts. Points are awarded based on 100% positive indicators from documentation.	6.7 was documentation review, 10 pts. for 70% positive responses.
8.9	Do first aid equipment, supplies and facilities meet legislated requirements? **(10 points)**		**Verified by observation.** Equipment, supplies and facilities must meet the identified legislative requirements specific to the employer. The auditor must verify that legislated first aid obligations have been met at all visited sites and facilities. Provide examples. Points are awarded based on 100% positive indicators from observations.	6.8 was observation, 10 pts. available for 70% positive responses.
	TOTAL POINTS POSSIBLE: 75			

Audit Score

Total points possible __75__   -   Points not applicable (N/A) _____   =   Total points _____

Total points scored = [____]

(divided by)   _____   x 100 = FINAL SCORE _____   %

Total points possible [____]

9. INCIDENT INVESTIGATION
Investigations determine the cause(s) of an incident, and the corrective action(s) required to prevent a recurrence.

	Questions	Score	Instructions	Notes
9.1	Is there a policy and/or process that requires the reporting of incidents (including near miss), occupational illness, and work refusals? **(5 points)**		**Verified by review of documentation.** A policy and/or process must require the reporting of incidents (including near miss), occupational illness, and work refusals to award full points. These must include both internal and external reporting (e.g. OHS, WCB, etc.). Points are awarded based on 100% positive indicators from documentation.	Question 7.1 was documentation review, 0 – 10 pts. **New criteria added – "work refusals"**
9.2	Can employees explain the reporting procedures for incidents (including near miss), occupational illness, and work refusals? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to explain the process for reporting incidents (including near miss), occupational illness, and work refusals. Provide examples. Points are awarded based on the percentage of positive responses.	Question 7.2 was interview verification, 0 – 10 pts. **New criteria added – "work refusals"**
9.3	Do employees report incidents, occupational illnesses and work refusals? **(5 points)**		**Verified by review of documentation.** Review completed incident, occupational illness, and work refusal reports that support reporting is taking place. Points are awarded based on 70% positive indicators from documentation. This question may be marked not applicable (n/a) if there were no incidents in the previous 12 months. Provide justification.	New Question
9.4	Do employees report near misses? **(5 points)**		**Verified by review of documentation.** Review completed near miss reports to support that reporting is taking place. Points are awarded based on 70% positive indicators from documentation. If the employer is considered low hazard or does not have field sites AND did not have a near miss in the previous 12 months, this question may be marked not applicable (n/a). Provide justification.	New Question

9.5	Is there a procedure for investigating incidents (including near miss), occupational illness, and work refusals? **(5 points)**		**Verified by review of documentation.** The procedure must include: • how to investigate incidents (near misses), occupational illness, work refusals • how to identify root causes • the requirement to implement corrective actions Points are awarded based on 100% positive indicators from documentation.	Question 7.3 was documentation review, 0 – 15 pts. **New criteria added – "work refusals"**
9.6	Have the individuals leading investigations been trained in investigation techniques? **(0-5 points)**		**Verified by review of completed investigation records and training records.** Review training records of individuals who have completed investigation reports and confirm they have received training. Points are awarded based on the percentage of positive indicators. If third party investigators are brought in, full points may be awarded, but documented evidence of this must exist.	Question 7.5 was documentation and interview verification, 0 – 15 pts. **Documentation review only, 0 – 10 pts. available.**
9.7	Do managers/supervisors participate in investigations? **(0-10 points)**		**Verified by manager/supervisors interviews.** Not all managers/supervisors need to actively participate in incident investigation. However, all managers must be able to describe manager involvement in the investigation process. Provide examples. Points are awarded based on the percentage of positive responses.	New Question
9.8	Do workers participate in the investigation process? **(0-10 points)**		**Verified by worker interviews.** Not all workers need to actively participate in the incident investigation process. However, all workers must be able to describe how workers participate in the investigation process. Provide examples. Note: Participation must be more than the injured worker or witness. Points are awarded based on the percentage of positive responses.	Question 7.7 was verified by documentation 0-5 pts and interviews 0-5 pts.

| 9.9 | Do investigations:

  a. Identify root causes?
    (0-5 points)
  b. Recommend corrective actions?
    (0-5 points) | | **Verified by reviewing completed investigation reports.**

  a. Investigations must identify the root causes resulting from deficiencies in the health and safety system.
  b. Corrective actions must be designed to implement system changes that will prevent reoccurrence. (e.g. Advising employees to "be more careful" is not an acceptable corrective action.)

Points are awarded based on the percentage of reviewed investigation reports that identify causes and recommend corrective action.

If there have been no investigations conducted in the previous 12 months, refer to blank investigation forms or the investigation process. | Question 7.8a/b was documentation review, 0 – 10 pts. available. |
| 9.10 | Are corrective actions identified in investigation reports implemented to prevent reoccurrence?
(0-5 points documentation)
(0-10 points observation) | | **Verified by review of documentation and observing results of corrective actions implemented.**

If corrective actions include administrative controls, implementation may be confirmed through documentation (e.g. training, memos, safety bulletins, etc.).

For corrective actions that are observable, award points that confirms implementation compared to the corrective actions identified. Provide examples.

Score: 0-5 points for documentation
       0-10 points for observation

Documentation points are awarded based on the percentage of corrective actions reviewed in question 9.9b that can be verified as implemented.

Observation points are awarded based on the percentage of implemented observable corrective actions reviewed in 9.9b.

If corrective actions are not observable, the observation portion of this question may be marked not applicable (n/a). Provide justification. | 7.9 no longer in the audit

7.11 was, observations and interviews, 0 – 15 pts. available. |

9.11	Are investigations completed in a timely manner? **(0-5 points)**		**Verified by review of investigation reports.** Consider the complexity of the investigation to determine timeliness (i.e. length of time that the investigations were completed in relation to the date of the incident). Points are awarded based on percentage of positive indicators.	New Question
9.12	Do managers/supervisors ensure investigations are complete as required by the investigation procedures? **(0-5 points)**		**Verified by review of investigation reports.** Investigation reports should be complete, including identifying causes and corrective actions as outlined in the investigation procedure verified in question 9.5. Points are awarded based on percentage of positive indicators.	New Question
9.13	Are completed investigation reports/results communicated to employees? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to describe how investigation results are communicated. Provide examples. Points are awarded based on the percentage of positive responses.	New Question
	TOTAL POINTS POSSIBLE: 100			

Audit Score

Total points possible __100__ - Points not applicable (N/A)_____ = Total points_____

Total points scored = [ ]

(divided by) _____ x 100 = FINAL SCORE_____ %

Total points possible = [ ]

10. SYSTEM ADMINISTRATION
System administration provides an evaluation of the overall effectiveness of the occupational health and safety management system (OHSMS).

	Questions	Score	Instructions	Notes
10.1	Is there a system to confirm: a. Management communicates health and safety issues to workers? **(0-10 points)** b. Workers can provide feedback on health and safety issues? **(0-10 points)**		**Verified by worker interviews.** a. Interviewees must be able to describe how employees are advised of health and safety issues by management (e.g. newsletter, safety meetings, emails, posted bulletins, posters, etc.). b. Interviewees must be able to describe how they are able to offer feedback on health and safety issues (e.g. health and safety meetings, suggestion boxes, contacts with supervisor, etc.) Provide examples. Points are awarded based on percentage of positive response.	Similar to 8.1 a/b in previous audit, was documentation and interviews, 30 pts. with average of 70% positive indicators. **One question in new tool with separate scoring for a) and b). Notes need to address both a) and b) in one note space.**
10.2	Is health and safety information readily available to employees? **(0-5 points)**		**Verified by employee interviews.** Health and safety information (e.g. hazards assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC meeting minutes, etc.) is readily available to employees. Provide examples. Points are awarded based on percentage of positive responses	Questions 8.6 & 8.7 in previous audit were documentation review and 20 pts. available for 70% positive indicators. **Minimum of 70% positive indicators.**
10.3	Are health and safety records/statistics analyzed to identify trends on at least an annual basis? **(10 points)**		**Verified by review of documentation.** Notes must provide examples of the records/statistics being analyzed, and any trends/gaps identified by the employer. Points are awarded based on 70% positive indicators from documentation.	Question 8.6 in previous audit was documentation review, 10 pts. available for 70% positive indicators.

10.4	Is senior management/management held accountable for the implementation of the OHSMS? **(5 points)**		**Verified by senior manager and manager interviews.** Interviewees must describe their involvement in improving the performance of the OHSMS (e.g. develop a health and safety plan for the upcoming year, provide resources for health and safety initiatives, etc.) and how they are held accountable. Provide examples. Points are awarded based on a minimum 80% positive interview results.	New Question
10.5	Is an OHSMS evaluation or action plan completed at least annually? **(5 points)**		**Verified by review of previous evaluations.** Evaluations or action plans must be completed annually to support continuous improvement. Points are awarded based on 100% positive indicators from documentation. If this is the employer's first health and safety evaluation, this question may be marked not applicable (n/a). Provide justification.	New Question **Similar to 8.8 in the previous audit**
10.6	Are results from the OHSMS evaluation or action plan communicated to employees? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to describe how the evaluation or action plan results are communicated to them. Provide examples. Points are awarded based on percentage of positive responses. If this is the employer's first health and safety evaluation, this question may be marked not applicable (n/a). Provide justification.	New Question
10.7	Was a plan developed to address identified OHSMS deficiencies from the previous evaluation? **(0-5 points)**		**Verified by review of documentation.** To award points for this question, a plan must have been developed to address deficiencies identified in the past year. A plan format <u>may</u> include: • measureable action items, • completion dates, and • individuals responsible for follow-up. If this is the employer's first health and safety evaluation, this question may be marked not applicable (n/a). Provide justification.	Question 8.9 in previous audit was documentation review, 10 pts. available for 70% positive indicators. **Now range of points.**

10.8	Has the plan been implemented? **(0-10 points)**		**Verified by review of documentation.** Verify if the items identified in question 10.7 have been initiated or implemented. Points awarded are based on the percentage of items initiated and/or completed on the plan. This question may be marked not applicable (n/a) if question 10.7 has been marked not applicable. Provide justification.	Question 8.10 in previous audit was documentation, interviews or observations, 0 -15 pts. available. **Documentation review only, point value changed to 0-10**
	TOTAL POINTS POSSIBLE: 70			

Audit Score

Total points possible ___70___ - Points not applicable (N/A)_____ = Total points _____

Total points scored = [   ]

(divided by) _____   x 100 = FINAL SCORE_____ %

Total points possible = [   ]

SUMMARY SCORE SHEET

Employer Name:_____

Date of Audit: _____

Lead Auditor: _____

Additional Auditor(s): _____

Scope of Audit: WCB Number_____ Industry Code(s) _____

Element Number	Total Points Possible	Points not Applicable (N/A)	Total Points Available	Total Points Scored	Percentage
1. Management Leadership and Organizational Commitment	105				
2. Hazard Assessment	160				
3. Hazard Control	150				
4. Joint Work Site Health and Safety Committee and/or Health and Safety Representatives	100				
5. Qualifications, Orientation and Training	100				
6. Other Parties at or in the Vicinity of the Work Site	70				
7. Inspections	70				
8. Emergency Response	75				
9. Incident Investigation	100				
10. System Administration	70				
Total Audit Points	1000				

SECTION C

SAMPLE INTERVIEW QUESTIONS

(Audit Instrument Package)

INTERVIEW INSTRUCTIONS

The following instructions should be followed when using the interview record forms. They are designed so that a minimal amount of writing is required.

The column "**QUESTION #**" indicates the question number in the audit instrument that needs to be validated through interviews.

The column "**QUESTION AND COMMENTS**" provides the basic question that needs to be answered. It also has space allocated for recording responses.

The "**RESPONSE**" column is to indicate whether the interviewee was positive (+), negative (-), or non-committal (n.c.) in his/her responses. Non-committal responses will be counted as a negative, or a "no," when calculating response rates for each question.

Questions that have the "RESPONSE" column shaded are for the auditor's information and are not scored.

	STEPS
1	Introduce and explain the interview process and purpose to the interviewee.
2	Discuss some of the interviewee's <u>background information,</u> so that questions can be asked in a manner that relates to the individual's job. Make key word notes in the "Background Information" space.
3	Ask the questions on the form. Re-word them if needed. Expand on them if you didn't get enough information. Record key words and comments in the space under the question.
4	Once the question is finished, place a "tick" mark in the space under the "RESPONSE" column that best reflects the interviewee's answer.

Continue in this manner for all of the interviews. One set of interview record forms may be all that is needed to record all interview responses for an employee group (i.e. worker, supervisor, etc.).

All employee groups indicated in the audit question must be interviewed. Interview results are then combined to be able to calculate the percentage of positive responses. In order to achieve representative findings, interviews should not be discontinued.

For all-or-none questions, if the percentage of positive responses is less than what is stated in the auditor instructions, no points are awarded.

For range-of-points questions, the percentage of positive responses is used to calculate the proportion of points to award out the total points available for the specific question.

If validation of a question requires two or more employee groups (e.g. worker, supervisor) to be interviewed, combine all the +, -, and n.c. responses for the applicable groups to calculate the percentage of positive responses for the audit question.

Remember – **All interview records are completely confidential.** Destroy the records once the report is completed and approved by the Certifying Partner.

EXAMPLE # 1

All-or-none scoring – for question 1.9   (5 points)
10 employees interviewed
Auditor instruction for scoring – Full points awarded for at least 80% positive responses from employees interviewed.

QUESTION NO.	QUESTIONS AND COMMENTS	RESPONSE		
		+	-	n.c.
1.9	How does senior management (i.e. the boss/the owner) communicate to you that health and safety is important? How often? At staff meetings. Through newsletter. At Christmas luncheon	‖‖‖ ‖‖‖	|	|

Of the 10 employees interviewed, 8 responded positively, 1 negatively, and 1 did not know.
This is a 80% positive response, therefore the full 5 points are awarded.

EXAMPLE # 2

Range of Points question - for question 1.4   (0-5 points)
10 employees interviewed
Auditor instruction for scoring –   Points are awarded based on the percentage of
                                     positive responses from interviews.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
1.4	**What are some of the key points listed in the Health and Safety Policy?** Talks about commitment. Outlines responsibilities.	卌 |	|||	|

Of the 10 employees interviewed, 6 responded positively, 3 negatively, and 1 was non-committal. This is a 60% positive response.
Therefore, 3 points out of a possible 5 points are awarded. This is calculated based on 60% proportion of the 5 available points (5 x .60 = 3).

SENIOR MANAGEMENT INTERVIEW RECORD

QUESTION NO.	QUESTION and COMMENTS	RESPONSE		
		+	**-**	**n.c.**
	Background Information: *What areas are you responsible for?* *How long have you worked here?* *How long have you been in this position?* *Do you take a lead role in formal hazard assessments?* *Do you directly supervise workers?* *Are you on the HSC committee or the HS Representative?*			
1.3	How do you ensure employees are made aware of your H&S policy? *Auditor can reinforce that contactors can also include self-employed persons.*			
1.4	What are some of the key points listed in the Health and Safety Policy?			
1.6	a. Can you provide some examples of how the three OHS Rights (r*ight to be informed, right to participate, and right to refuse dangerous work*) apply to the work you do? b. Can you provide some examples of the health and safety responsibilities that have been assigned to you?			

	c. Can you provide some examples of legislation that is applicable to you under the Occupational Health and Safety Act, Regulation and Code?			
1.8	How is your health and safety performance evaluated? *Examples can include performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.*			
1.9	How do you communicate to employees that health and safety is important? How often?			
1.10	How do you demonstrate your commitment to the company's health and safety system?			
1.13	What kinds of resources are provided to implement and improve the health and safety system? *Examples can include paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.*			

2.5	What are some of the high hazard (critical) tasks associated with your company's operations?			
2.10	Hazard Assessment Lead – When are formal hazard assessments reviewed? *Auditor to determine if interviewee would be considered a lead for the purpose of hazard assessment review.* **Hazard assessment leads** *are those that lead the hazard assessment process. N/A if they are not.*			
3.5	How are changes to hazard controls communicated to you?			
3.6	What hazard controls do you use?			
3.13	What are some of the key points found in the Violence Prevention Plan?			
3.16	What are some key points found in the Harassment Prevention Plan?			
4.7	HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities? *Auditor to determine if interviewee would be considered a Health and Safety Committee (HSC) member or the Health and Safety Representative (HS representative). N/A if they are not.*			
4.8	What health and safety activities are performed by your committee members or health and safety representative?			
4.10	How can you provide feedback regarding health and safety concerns and complaints to your committee members or health and safety representative?			

5.5	When an employee is hired or assigned a new job, task, or when an operational change affects their work, what type of training is provided?			
6.6	How do you ensure other employers and self-employed persons are made aware of your H&S Policy?			
8.3	What type of training have you received in emergency response? (Examples: fire control, rescue, first aid, lock down, shelter in place.)?			
8.4	What are your emergency response responsibilities?			
9.2	What is the process you follow for reporting incidents (including near misses), occupational illness or work refusals?			
9.13	How do you communicate the results of incident investigations to employees?			
10.2	How is health and safety information made available to you and your employees?			
10.4	Describe your involvement in the performance of the health and safety management system (e.g. develop a health and safety plan for the upcoming year, provide resources for health and safety initiatives, etc.). How are you held accountable for the OHSMS?			
10.6	How do you communicate the results of health and safety system evaluations to employees?			

MANAGEMENT/ SUPERVISOR INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
	Background Information: *What areas are you responsible for?* *How long have you worked here? How long have you been a manager?* *Do you take a lead role in formal hazard assessments?* *Do you directly supervise workers?* *Are you on the HSC committee or the HS Representative?*			
1.3	How do you ensure employees are made aware of the policy?			
1.4	What are some of the key points listed in the Health and Safety Policy?			
1.6	a. Can you provide some examples of how the three OHS Rights (r*ight to be informed, right to participate, and right to refuse dangerous work*) apply to the work you do? b. Can you provide some examples of health and safety responsibilities that have been assigned to you by your employer? c. Can you provide some examples of legislation that is applicable to you under the *Occupational Health and Safety Act, Regulation* and *Code?*			

1.7	What are your responsibilities to ensure the health and safety of employees under your supervision?			
1.8	How is your health and safety performance evaluated? *Examples can include performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.*			
1.9	How does senior management (i.e. the boss/the owner) communicate to you that health and safety is important? How often?			
1.10	How does senior management demonstrate they are committed to your company's health and safety system?			
1.13	What kinds of resources does senior management provide to implement and improve the health and safety system? *Examples can include paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.*			
2.5	What are some of the high hazard (critical) tasks associated with your company's operations? *Only ask this question if it is determined the interviewee is the highest level of management within the scope of the audit.*			
2.6	How does management participate in the formal hazard assessment process?			

2.10	Hazard Assessment Lead – When are formal hazard assessments reviewed? *Auditor to determine if interviewee would be considered a lead employee for the purpose of hazard assessment review.* **Hazard assessment leads** *are those that lead the hazard assessment process. N/A if they are not.*			
2.14	How do you involve affected employees in the site-specific hazard assessment process?			
3.5	How are changes to hazard controls communicated to you?			
3.6	What hazard controls do you use?			
3.7	How do managers/supervisors ensure you are using the established hazard controls to perform your work safely?			
3.13	What are some key points found in the Violence Prevention Plan?			
3.16	What are some key points found in the Harassment Prevention Plan?			
4.7	HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities? *Auditor to determine if interviewee would be considered a Health and Safety Committee (HSC) member or the Health and Safety Representative (HS representative). N/A if they are not.*			
4.8	What health and safety activities are performed by the HSC members or HS representative?			

4.10	How can you provide feedback regarding health and safety concerns and complaints to your committee members or health and safety representative?			
4.11	Can you explain how the HSC members and/or HS representative would make health and safety recommendations to management?			
5.1	How does the company verify that employees have the qualifications required to do the job for which they are being hired? *Examples can include degrees, diplomas, certificates, trade certificates, apprenticeship program, diplomas, driver's licenses, etc.*			
5.3	How does your company ensure employees receive orientations prior to starting regular duties?			
5.4	What type of training have you received to support your role as a manager/supervisor?			
5.5	When an employee is hired or assigned a new job, task, or when an operational change affects their work, what type of training is provided?			
5.7	How do you determine the competency of your: • New workers? • Reassigned workers?			
6.3	Explain how you monitor the health and safety performance of other employers and/or self-employed persons on the work site.			
6.5	a. How do you communicate with external work site parties regarding their health and safety responsibilities? b. How do you communicate with external work site parties regarding work site hazards and controls? c. How do you communicate with external work site parties when changes are made to a site that may impact their health and safety?			

	Work site parties can include other employers (including self- employed persons, visitors, prime contractors, supplies, service providers, etc.).				
6.6	How do you ensure other employers and/or self-employed persons are made aware of your H&S Policy?				
6.7	How is health and safety information made available to affected external worksite parties?				
7.5	What are the steps you take to ensure deficiencies identified during an inspection will be corrected – both immediate corrective actions and corrective actions that may take longer?				
8.3	What type of training have you received in emergency response? (Examples: fire control, rescue, first aid, lock down, shelter in place.)?				
8.4	What are your emergency response responsibilities?				
9.2	What is the process you follow for reporting incidents (including near misses), occupational illnesses or work refusals?				
9.7	How do managers/supervisors participate in the investigation process?				
9.13	How are incident investigation results communicated to employees?				
10.2	How is health and safety information made available to you?				
10.4	ASK ONLY MANAGERS THIS QUESTION. Describe your involvement in the performance of the health and safety management system (e.g. develop a health and safety plan for the upcoming year, provide resources for health and safety initiatives, etc.). How are you held accountable for the OHSMS?				
10.6	How do you communicate the results of health and safety system evaluations to employees?				

WORKER INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
	Background Information: *What do you do?* *What department are you in?* *How long have you been with the organization?* *Do you take a lead role in the formal hazard assessment process?* *Are you on the HSC committee or the HS Representative?*			
1.4	What are some of the key points listed in the Health and Safety Policy?			
1.6	a. Can you provide some examples of how the three OHS Rights (r*ight to be informed, right to participate, and right to refuse dangerous work*) apply to the work you do? b. Can you provide some examples of the health and safety responsibilities that you have been assigned by your employer? c. Can you provide some examples of legislation that is applicable to you under the *Occupational Health and Safety Act, Regulation* and *Code?*			
1.8	How is your health and safety performance evaluated? *Examples can include performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.*			
1.9	How does senior management (i.e. the boss/the owner) communicate to you that health and safety is important? How often?			
1.10	How does senior management demonstrate they are committed to your company's health and safety system?			

1.13	What kinds of resources does senior management provide to implement and improve the health and safety system?			
	Examples can include paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.			
2.7	How are you involved in the formal hazard assessment process?			
	Auditor may have to explain formal hazard assessment, as the employer may use different terminology.			
2.10	Hazard Assessment Lead – When are formal hazard assessments reviewed?			
	Auditor to determine if interviewee would be considered a lead employee for the purpose of hazard assessment review. **Hazard assessment leads** *are those that lead the hazard assessment process. N/A if they are not.*			
2.14	How are you involved in the site-specific hazard assessment process?			
2.15	How do you report new hazards, including unsafe or unhealthy conditions and practices?			
3.5	How are changes to hazard controls communicated to you?			
3.6	What hazard controls do you use?			
3.7	How do managers/supervisors ensure you are using the established hazard controls to perform your work safely?			
3.10	When and how is defective equipment, vehicles, facilities, or tools removed from service or for repair?			
3.13	What are some key points found in the Violence Prevention Plan?			
3.16	What are some key points found in the Harassment Prevention Plan?			

4.7	HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities? *Auditor to determine if interviewee would be considered a Health and Safety Committee (HSC) member or the Health and Safety Representative (HS representative). N/A if they are not.*			
4.8	What health and safety activities are performed by your committee members or health and safety representative?			
4.10	How can you provide feedback regarding health and safety concerns and complaints to your committee members or health and safety representative?			
5.3	Did your manager/supervisor ensure you received an orientation? When was your orientation provided? *Examples can include on the first day, training prior to the first day, prior to starting my duties, etc.*			
5.5	What type of training did you receive when you were hired, when a new task was assigned, or when there were operational changes that affected your work?			
5.6	Practical demonstrations are considered an integral component of training. What are some examples of practical demonstrations you were required to complete as part of your job-specific training?			
8.3	What type of training have you received in emergency response? (Examples: fire control, rescue, first aid, lock down, shelter in place.)?			
8.4	What are your emergency response responsibilities?			
9.2	What is the process you follow for reporting incidents (including near misses), occupational illnesses or work refusals?			
9.8	How do workers participate in the investigation process?			
9.13	How are the results from incident investigations communicated to you?			
10.1	a. How are health and safety issues communicated to you? b. How can you provide feedback on health and safety issues?			
10.2	How is health and safety information made available to you?			
10.6	How have the results from health and safety system evaluations been communicated to you?			

SECTION D

AUDIT REPORT SUMMARY

(Audit Instrument Package)

Partnerships

HEALTH & SAFETY SYSTEM AUDIT SUMMARY SHEET

Employer Legal Name (as registered with WCB):	

Employer Trade Name (if applicable):

Address:

WCB Account(s) in scope:	Industry Code(s) in scope:

Facilities/Work Sites in scope:

Contact Person:	Phone Number:
Fax Number:	Email:
Lead Auditor Name:	Auditor Certification:
Auditor Company & Address:	Auditor Phone Number:
Auditor Fax:	Auditor Email:
Audit Start Date:	Audit End Date:

Audit Purpose (external, internal, auditor qualification):

AUDIT TEAM

Auditor Name	Auditor Type (internal/external/corporate)	Certification Number/ *Training Date

*Training date if audit team member is not a certified auditor. _____

To be completed for each industry code audited.

Audit scope

☐ Interviewed all shifts. Describe: _____

☐ Interviewed new hires and experienced employees. Describe: _____

Numbers of employees at time of audit _____.   Number of employees at Peak Activities _____.

List ALL departments, active worksites, and locations	Location (enter one location, e.g. Edmonton, etc.)	Sites Visited (enter yes or no for each)	Number of Workers						Number of Supervisors		Number of Managers		Number of Senior Managers		Number of Shift Workers	
			Full Time		Part Time		Casual									
			Total Employees	Total Interviewed	Total Employees	Total Interviewed	Total Employees	Total Interviewed	Total Employees	Total Interviewed	Total Employees	Total Interviewed	Total Employees	Total Interviewed	Total Employees	Total Interviewed
Head Office/Shop:		Yes														
Department/Work Site																
Department/Work Site																
Department/Work Site																
Department/Work Site																
Department/Work Site																
Department/Work Site																
TOTALS																

1. MANAGEMENT LEADERSHIP AND ORGANIZATIONAL COMMITMENT

Element Score:	%	Total Points:		Point Scored:	

Existing Strengths:

Suggestions for Improvements:

2. HAZARD ASSESSMENT

Element Score:	%	Total Points:		Point Scored:	
Existing Strengths:					
Suggestions for Improvements:					

3. HAZARD CONTROL

Element Score:		%	Total Points:		Point Scored:	

Existing Strengths:

Suggestions for Improvements:

4. JOINT WORK SITE HEALTH AND SAFETY COMMITTEE (HSC) AND HEALTH AND/OR SAFETY REPRESENTATIVES (HS REPRESENTATIVES)

Element Score:	%	Total Points:		Point Scored:	

Existing Strengths:

Suggestions for Improvements:

5. QUALIFICATIONS, ORIENTATION AND TRAINING

Element Score:	%	Total Points:		Point Scored:	
Existing Strengths:					
Suggestions for Improvements:					

6. OTHER PARTIES AT OR IN THE VICINITY OF THE WORK SITE

Element Score:	%	Total Points:		Point Scored:	

Existing Strengths:

Suggestions for Improvements:

7. INSPECTIONS

Element Score:		%	Total Points:		Point Scored:	

Existing Strengths:

Suggestions for Improvements:

8. EMERGENCY RESPONSE

Element Score:	%	Total Points:		Point Scored:	

Existing Strengths:

Suggestions for Improvements:

9. INCIDENT INVESTIGATION

Element Score:	%	Total Points:		Point Scored:	

Existing Strengths:

Suggestions for Improvements:

10. SYSTEM ADMINISTRATION

Element Score:	%	Total Points:		Point Scored:	

Existing Strengths:

Suggestions for Improvements:

SECTION E

APPENDICES

(Audit Instrument Package)

Document List

This list has been developed directly from the Partnerships audit instrument. Examples of specific types of documentation that may be used for validation are listed.

QUESTIONS	DOCUMENTATION TO REVIEW
1.1	Health and Safety Policy.
1.5	Written statement of responsibilities, job descriptions, employee contracts, and manuals, staff handbooks, etc.
1.12	Health and Safety meeting minutes.
2.1	Inventory of job positions, task or job inventories.
2.2, 2.3, 2.4 3.1,	Completed formal hazard assessment forms. These may be titled formal hazard assessments, job safety analysis, etc. Note that site specific hazard assessments cannot be used to score these questions.
2.8	Training records of individuals conducting formal hazard assessments. Course material for hazard assessment training.
2.9	Formal hazard assessment policy and/or process.
2.11	Documents outlining the policy/process and procedure for conducting site specific hazard assessments.
2.12, 2.13	Completed site specific hazard assessments.
3.3	Completed formal hazard assessment forms, job procedures, work practices, rules, job schedule or rotation of workers, training records.
3.8	Documents outlining the policy and/or process for the preventative maintenance process.
3.9	Preventative maintenance records of equipment, tools, and PPE. Work order records, defective equipment tags, written procedures/policy regarding the removal of defective equipment.
3.11, 3.12, 3.17	Violence Prevention Plan that includes policies and procedures
3.14, 3.15, 3.17	Harassment Prevention Plan that includes policies and procedures
4.1, 4.2, 4.3, 4.4, 4.9, 4.13	HSC and/or HSR policies, procedures, terms of reference, meeting minutes, etc.

QUESTIONS	DOCUMENTATION TO REVIEW
4.5	Written statement of the HSC and/or HS representative duties and responsibilities
4.6	Training records of HSC members and/or HS representatives
4.9	HSC meeting minutes
4.12	Documentation that supports corrective action were completed in a timely manner, e.g. feedback forms, emails, HSC meeting minutes, communications, etc.
4.14	Meeting minutes and formal inspections
5.1	Application forms (blank), hiring records, training records, copies of trade certificates/diplomas/degrees, proof of apprenticeship program, driver's license, etc.
5.2,	Orientation records, orientation checklist, orientation package/contents.
5.4, 5.5, 5.9	Department/job specific training material and training records.
5.8	Completed competency assessments.
6.1	Policy and/or process to address the protection of others not under the employer's direction.
6.2, 6.3	Policy and/or process for monitoring, evaluating and selecting other employers and/or self-employed persons
6.4	Orientation records, orientation checklist, orientation package/contents for visitors, other employees and/or self-employed persons.
6.8	Process for non-compliance of other employers and/or self-employed persons at the work site.
7.1	Health and Safety Policy and Procedures Manual, Inspection Policy and/or Process, inspection records, inspection schedule.
7.2	Inspection checklist (blank and completed), inspection reports.
7.3	Training records of individuals designated to conduct inspections.
7.4	Completed inspection reports, checklists, or forms.
8.1	Emergency Response Plans and/or Procedure
8.2	Emergency Response Plan and/or Procedure

QUESTIONS	DOCUMENTATION TO REVIEW
8.5	Emergency Response drill records, minutes of meetings, emergency response table-top review exercises.
8.6	Drill - Emergency response records, minutes of meetings documenting review of drills, documents outlining corrective action or change in procedure as a result of the drills.
8.7	Actual Emergency - Response records, minutes of meetings documenting review of actual emergencies, documents outlining corrective action or change in procedure as a result of the actual emergency.
8.8	First aid regulations, first aid certificates, first aid training records, shift schedules of certified first aiders.
9.1, 9.5	Incident reporting procedure and/or process, reporting form (blank/completed).
9.3, 9.9	Completed incident investigation forms
9.4	Completed near miss and incident forms.
9.5	Incident investigation procedures.
9.6	Training records of individuals conducting investigations, investigation training course material.
9.9, 9.10, 9.11, 9.12	Investigation report forms (completed), investigation reports, memos outlining implementation of corrective action, minutes of meetings outlining results of investigation.
10.3	Company specific monthly, quarterly or annual health and safety reports, analysis of injury reports, graphical reports of health and safety statistics to show trends.
10.5	Previous health and safety system evaluations.
10.7, 10.8	Health and safety action plans.

AUDIT OBSERVATION TOUR GUIDELINE

The audit observation tour is an important component of the audit validation process. It is done for two reasons:
- To verify information obtained from documentation and interviews,
- To verify adherence to established organization standards.

INSTRUCTIONS: – The auditor walks through the worksite(s) and verifies through observation the items identified in the <u>audit questions</u> outlined below.

– As the items are observed, the auditor notes their location and uses the "Notes" column to record what they saw.

– An employee from the organization being audited must accompany the auditor during the observation tour. This is important in the event that on-the-spot changes need to be made in response to conditions observed (e.g. the existence of dangerous work).

	OBSERVATION TOUR CHECKLIST				
		YES	**NO**	**N/A**	
	Management Leadership and Organizational Commitment				**Examples**
1.2	Health and Safety Policy is readily available to employees either in paper form, downloaded or stored electronically.				
1.11	Health and Safety legislation is readily available to employees either in paper form, downloaded or stored electronically.				

	Hazard Control				**Examples**
3.2	Select several engineering controls from formal hazard assessment document and record them below. Confirm their availability through observation. Ensure engineering controls identified in relation to high priority hazards have been included in the sample.				

3.4	Select several personal protective equipment examples from hazard assessment documents and record them below. Confirm their availability through observation. Ensure PPE controls identified in relation to high priority hazards have been included in the sample.				
3.6	Select several controls (identified during employee interviews) from each category record them below. Confirm through observation that employees are using them.				
	Engineering Controls • • •				
	Administrative Controls • • •				
	Personal Protective Equipment • • •				

	Joint Work Site Health and Safety Committee (HSC) and/or Health and Safety Representative (HSR)				**Examples**
4.15	Names and contact information of the Joint Work Site Health and Safety Committee members and/or the Health and Safety Representative(s) are posted.				
	Inspections				**Examples**
7.6	Select a sample of corrective actions identified on Inspection Checklists/Forms and record them below. Confirm their implementation through observation.				

	Emergency Response				**Examples**
8.9	First aid supplies and services are available				
	Kits meet legislative requirements				
	Are fully stocked				
	Vehicle first aid kits are available				
	Vehicle kits meet legislative requirements				

	Incident Investigation				**Examples**
9.10	Select a sample of corrective actions identified on incident investigation reports and record them below. Confirm their implementation through observation.				

Additional Items - Random Observations				**Examples**