



Alberta Motor
Transport Association

Small Employer Certificate of Recognition (SECOR) Audit Instrument

Using Range-of-Points Scoring



AMTA IMPLEMENTATION: JANUARY 2016

AMTA Employer & Audit Information Summary

Employer Legal Name (as registered with WCB):	
Employer Trade Name (if applicable):	
Address (include town/city and postal code):	
WCB Account(s) in Scope:	Industry Code(s) in Scope:
Length of Time Health & Safety Management System/Program in Place:	SECOR Number:
Contact Person:	Phone Number:
Fax:	Email:
Audit/Assessment Start Date:	Audit Assessment End Date:
Audit Purpose (certification/maintenance/renewal): Choose One	Number of Employees (including owners) during the 12 month audit period:

AMTA Self- Assessor/Self Evaluator/External Auditor/Consultant Information

Self-Assessor/Self Evaluator SECOR Training Date:	<input type="checkbox"/> Self Assessor/Self Evaluator Code of Ethics signed?
Assessor/Evaluator Name:	<input type="checkbox"/> NSC (National Safety Code) Score (if applicable):
Assessor/Evaluator Phone Number:	Assessor/Evaluator Email:

Self Assessor/Self Evaluator Sign off:
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Consultant Information (if applicable)

Name of the OHS Consultant/Company used to help build the OHS management system (if applicable):
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External Auditor Information (if applicable):

External Auditor Name:	External Auditor Certification #:
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HSPB Trained Employee (must be company employee):	HSPB Training Date:
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AMTA Employer Information

COMPANY PROFILE/BIOGRAPHY

Employee Breakdown and Sampling Details

Levels	Total Number	Number Interviewed	Departments/Shifts List departments, and (if applicable) shifts below	Employee/ Dept. Totals	Total Employees			# Interviewed		
					Full-Time	Part-Time	Casual	Full-Time	Part-Time	Casual
Managers										
Supervisors										
Workers										
Total Employees										
Contractors										
Visitors										

Fields in grey (Interviewed) are for use only by external auditors.

1. Management Leadership And Organizational Commitment

Questions		Guidelines	Auditor/CP Assessed Score
1.1	<p>Is there a written Health and Safety Policy for the organization, signed and dated by the owner? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach the policy document. The policy must include:</p> <ul style="list-style-type: none"> - statement of management commitment to health and safety - overall goals and objectives - general responsibilities of managers, supervisors, workers and contractors regarding health and safety - requirement to comply with relevant government regulations - requirement to comply with organization's own health and safety standards 	0/0-2
<p>Notes:</p>			
1.2	<p>Are employees aware of the policy's content? (I)</p> <p><input type="checkbox"/> Document attached</p>	<p>Explain how employees are made aware of the policy's content. This question is not applicable (n/a) if the operation does not have any employees.</p> <p><i>Auditor: score question based on percentage positive responses in interviews.</i></p>	<input type="checkbox"/> N/A /0-3

1. Management Leadership And Organizational Commitment

Questions	Guidelines	Auditor/CP Assessed Score	
<p>Notes:</p>			
<p>1.3</p>	<p>Have specific health and safety responsibilities been written for: (D)</p> <p>a. Managers? b. Supervisors?* c. Workers?*</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach documentation, other than the policy (e.g. contracts, job descriptions, and program manuals) that states employee responsibilities at each level.</p> <p>Depending on size or nature of the organization, one or more of these categories may not be applicable (n/a). Where the operation has no workers, the owner will be considered the <i>Manager</i>.</p>	<p>/0-2</p> <p><input type="checkbox"/> N/A</p> <p>/0-2</p> <p><input type="checkbox"/> N/A</p> <p>/0-2</p>
<p>Notes:</p>			
<p>1.4</p>	<p>Are the employees aware of their specific health and safety responsibilities under legislation and employer policy: (I)</p> <p>a. Managers?</p>	<p>Explain how employees are made aware of their health and safety responsibilities.</p> <p>Depending on the size and nature of organization, one or more of these employee types may not be applicable (n/a). Where the operation has no</p>	<p>/0-2</p> <p><input type="checkbox"/> N/A</p> <p>/0-2</p>

1. Management Leadership And Organizational Commitment

Questions	Guidelines	Auditor/CP Assessed Score
b. Supervisors?* c. Workers?*	workers, the owner will be considered the <i>Manager</i> . Auditor: Scores are based on the percentage positive responses in interviews.	<input type="checkbox"/> N/A /0-2
Notes:		
1.5 Is the most current health and safety legislation related to your operation available at the work site? (I, O)	List the specific legislation (federal, provincial and municipal) applicable to your operation, and explain how it is made available to workers. Auditors: This question should be scored based on results of management /owner interviews and work site observations that verify availability of the relevant legislation.	/0-2
Notes:		
TOTAL POINTS POSSIBLE:		/19 /N/A

2. Hazard Identification and Assessment

Questions		Guidelines	Auditor/CP Assessed Score
2.1	<p>Does the employer have a list of all jobs and tasks carried out at the work site? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach a list of all employee jobs, and the tasks within those jobs. Both the jobs and the tasks must be clearly identified.</p> <p>Auditors: Points are awarded based on the percentage completion of the job and task inventories.</p>	/0-6
<p>Notes:</p>			
2.2	<p>Are health and safety hazards identified for the tasks in the inventory? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach documentation that identifies the hazards related to the employer's list of tasks (from question 2.1). Both health and safety hazards should be identified to ensure that ergonomic risks, exposure to chemicals, noise, heat stress, road safety, etc. are addressed.</p> <p>Auditors: The maximum score allowed for this question cannot exceed the total points awarded in question 2.1.</p>	/0-6
<p>Notes:</p>			

2. Hazard Identification and Assessment

Questions	Guidelines	Auditor/CP Assessed Score
<p>2.3 Have the health and safety hazards been evaluated according to risk, and have the risks been prioritized? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Hazard assessments should show that the employer used a system to assess hazards for:</p> <ul style="list-style-type: none"> - Severity (how serious an outcome could there be if the hazard resulted in incident) - Probability (how likely is it that an incident could happen) - Frequency (how often workers are exposed to the hazard) <p>The assessment must result in prioritization of work site hazards.</p> <p style="color: red;">Auditors: Score is based on the percentage of identified hazards that have been assessed and prioritized.</p>	/0-3
Notes:		
<p>2.4 Are the formal health and safety hazard assessments reviewed: (D)</p> <p>a. when changes are made to the operation?</p> <p>b. in response to inspection and investigation results?</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach documentation that supports ongoing review of formal hazard assessments. This may include meeting minutes, supervisor log books, assessment documents, etc. Describe how and when these reviews occur.</p>	/0-1
Notes:		

2. Hazard Identification and Assessment

Questions	Guidelines	Auditor/CP Assessed Score
2.5 Is a field-level hazard assessment process in use at field sites? (D, I) <input type="checkbox"/> Document attached	Describe when and how this process is used. Attach a copy of the field-level hazard assessment policy/process document, and samples of field-level hazard assessment forms completed over the past 12 months. This question is not applicable (n/a) if the operation does not work at field sites. Auditors: Award points based on review of documentation. Use interview responses to verify worker knowledge of this process. If interview responses do not support what is found in the documentation review, points can not be awarded.	<input type="checkbox"/> N/A /0-4
Notes:		
TOTAL POINTS POSSIBLE		/21

3. Hazard Control

Questions		Guidelines	Auditor/CP Assessed Score
3.1 Have hazard controls been identified? (D) a. Engineering? b. Administrative? c. Personal Protective Equipment (PPE)? <input type="checkbox"/> Document attached	Attach hazard assessment documents that show what hazard control methods have been recommended to control the hazards identified. Auditors: Documentation must show a connection between the hazards assessed in question 2.3, and the controls identified in order to award points for this question.		/0-2
			/0-2
			/0-1
Notes:			
3.2 Have identified hazard controls been implemented? (O) a. Engineering? b. Administrative? c. Personal Protective Equipment (PPE)? <input type="checkbox"/> Document attached	For each type of control (engineering, administrative, PPE), give examples of controls that are being used at the work site(s). Auditors: For each type of control identified in question 3.1, award points based on the percentage of these controls implemented by the employer.		/0-3
			/0-3
			/0-2
Notes:			

3. Hazard Control

	Questions	Guidelines	Auditor/CP Assessed Score
3.3	<p>Is there a preventative maintenance program for equipment, vehicles and machinery? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Describe the process used for maintaining equipment and preventing the use of defective/broken equipment. Attach sample maintenance records (maintenance logs, work orders, etc.) from the last 12 months. Note that documentation must show a schedule of <i>preventative</i> maintenance.</p>	/0-2
<p>Notes:</p>			
3.4	<p>Does the owner ensure health and safety policies are followed and hazard control methods are used? (D, I)</p> <p><input type="checkbox"/> Document attached</p>	<p>Describe how this is done, and attach applicable documentation/records.</p> <p style="color: red;">Auditors: Interview responses must confirm results of documentation review in order for points to be awarded.</p>	/0-3
<p>Notes:</p>			

3. Hazard Control

	Questions	Guidelines	Auditor/CP Assessed Score
3.5	<p>Where Personal Protective Equipment (PPE) is used as a method of control, are employees trained in the use, care, and maintenance of the protective equipment? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach the PPE policy. It should include PPE training requirements. Attach training records to verify training was completed. Where the operation has no workers, describe how the owner is trained.</p>	/0-2
Notes:			
3.6	<p>Has a plan been developed in discussions with your contracting organization to ensure the safety of you and your workers? The plan should include: (D or I)</p> <ul style="list-style-type: none"> a. Identification of site-specific hazards and controls b. Ongoing site specific hazard assessment c. Reporting of changes to work site conditions d. Review of emergency response plans e. Process for dealing with worker noncompliance f. On-site supervision of contract workers <p><input type="checkbox"/> Document attached</p>	<p>Attach a copy of the plan. Ideally it should be signed by your primary contracting organization.</p> <p>OR</p> <p>Explain how this is done. Notes must address each sub-point specifically. This question is not applicable (n/a) if the operation does not work as a contractor or a sub-contractor.</p> <p style="color: red;">Auditors: Scoring is based on whether or not the plan addresses the sub-points noted in the question (one point for each sub-point). If there is no evidence of a plan, no points can be awarded for this question.</p>	<input type="checkbox"/> N/A /0-1
			<input type="checkbox"/> N/A /0-1
			<input type="checkbox"/> N/A /0-1
			<input type="checkbox"/> N/A /0-1
			<input type="checkbox"/> N/A /0-1

3. Hazard Control

Questions	Guidelines	Auditor/CP Assessed Score
		<input type="checkbox"/> N/A /0-1
Q 3.6 Notes:		
3.7	Is the plan communicated to all employees? (I)	<p>Explain how the plan is communicated to your employees.</p> <p>This question is not applicable (n/a) if the operation does not have any employees.</p> <p>This question is not applicable (n/a) if the operation does not work as a contractor or sub-contractor.</p> <p>This question is not applicable (n/a) if no points were awarded for question 3.6.</p> <p style="color: red;">Auditors: Documentation must show communication of all required parts of the plan to employees, or interviewees must confirm communication of the plan.</p>
		<input type="checkbox"/> N/A 0-4
Notes:		

3. Hazard Control

Questions	Guidelines	Auditor/CP Assessed Score
TOTAL POINTS POSSIBLE:		/30 /N/A

4. Ongoing Inspections

	Questions	Guidelines	Auditor/CP Assessed Score
4.1	<p>Is there a formal written policy that includes how often formal inspections should be conducted by: (D)</p> <p>a. Managers? b. Supervisors?* c. Workers?*</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach a copy of the policy. The employer should consider the risk level of the workplace when determining the frequency of inspections.</p> <p>Depending on the size or nature of the organization, one or more of these employee levels may not be applicable (n/a).</p> <p>If the operation has no employees, the owner will be scored as a Manager.</p>	<p>/1</p> <hr/> <p><input type="checkbox"/> N/A</p> <p>/1</p> <hr/> <p><input type="checkbox"/> N/A</p> <p>/1</p>
Notes:			
4.2	<p>Is a site- specific checklist used for inspections? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach a copy of checklist(s) in use.</p>	<p>/1</p>
Notes:			

4. Ongoing Inspections

	Questions	Guidelines	Auditor/CP Assessed Score
4.3	<p>Are formal, written health and safety inspections carried out as required by the employer's inspection policy by: (D, I)</p> <p>a. Managers? b. Supervisors?* c. Workers?*</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach sample inspection records from the past 12 months. These will be used to confirm if the inspection policy/process is being followed. Depending on the size and nature of the organization, one or more of these employee levels may not be applicable (n/a). If the operation has no workers, the owner will be considered the Manager.</p> <p style="color: red;">Auditors: In order to award full points, formal documentation must exist, and interviewees for each level must verify that inspections are conducted as required.</p>	<p>/0-2</p> <p><input type="checkbox"/> N/A /0-2</p> <p><input type="checkbox"/> N/A /0-2</p>
Notes:			
4.4	<p>Are deficiencies identified in inspections corrected quickly? (D, I)</p> <p><input type="checkbox"/> Document attached</p>	<p>Explain how identified issues are addressed. Attach samples of completed inspection reports from the past 12 months. Include sample records to confirm that required corrections have been completed (e.g. work orders, purchase orders, memos, etc.).</p> <p style="color: red;">Auditors: Documentation should reflect a reasonable timeframe for correction (as soon as practical), and who is responsible. If interview responses do not support what is found in the documentation review, full points cannot be awarded.</p>	<p>/0-3</p>
Notes:			

4. Ongoing Inspections

Questions	Guidelines	Auditor/CP Assessed Score
<p>4.5 Is there a system in place that employees can use to report unsafe or unhealthy conditions and actions? (D, I)</p> <p><input type="checkbox"/> Document attached</p>	<p>Explain/describe how this is done. If a formal process exists, attach it for review by the AMTA.</p> <p>This question is not applicable (n/a) if the operation does not have any employees.</p>	<p><input type="checkbox"/> N/A</p> <p>/0-2</p>
<p>Notes:</p>		
<p>TOTAL POINTS POSSIBLE:</p>		<p>/15</p> <p>/N/A</p>

5. Qualifications, Orientations and Training

Questions	Guidelines	Auditor/CP Assessed Score
<p>5.1 Does the orientation: (D)</p> <p style="margin-left: 20px;">a. Address critical health and safety issues?</p> <p style="margin-left: 20px;">b. Cover employer health and safety policies, procedures, and responsibilities?</p> <p><input type="checkbox"/> Document attached</p>	<p>Describe what is covered in the orientation. Explain how the orientation is delivered, and attach documents that outline the orientation process.</p> <p>Critical issues include the following:</p> <ul style="list-style-type: none"> • organization rules/enforcement • right to refuse unsafe work • emergency response • incident notification • critical hazards • hazard reporting <p>Attach documentation (orientation records, orientation checklists) to show that orientations cover h&s policies/procedures. If the operation does not have any employees, this question is not applicable (n/a).</p>	<p><input type="checkbox"/> N/A /0-3</p> <hr style="border: 0; border-top: 1px solid black;"/> <p><input type="checkbox"/> N/A /0-3</p>
<p>Notes:</p>		
<p>5.2 Is the new employee orientation completed on or before the first day of work? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Describe how/when this is done. Attach orientations from the past 12 months. Orientations must be dated and signed off.</p> <p>This question is not applicable (n/a) if the operation does not have any employees, or if no new employees have been hired in the past 12 months.</p>	<p><input type="checkbox"/> N/A /0-2</p>
<p>Notes:</p>		

5. Qualifications, Orientations and Training

Questions	Guidelines	Auditor/CP Assessed Score
<p>5.3 Do employees receive the job-specific training required to perform their jobs/assignments in a healthy and safe manner? (D, I)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach training records, and describe how job-specific training is conducted. Examples of job specific training include training of safe work procedures, PPE, ergonomics, use of equipment, WHMIS, first aid, defensive driving, TDG, etc.</p> <p>If the operation does not have any workers, consider the owner’s own job-specific training in scoring this question.</p> <p style="color: red;">Auditors: Job-specific training conducted must be relevant to the scope of the operation. If interview responses do not support what is found in the documentation review, full points cannot be awarded.</p>	<p>/0-3</p>
<p>Notes:</p>		
<p>5.4 Are on-going training/refresher sessions provided as required? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Explain how this is done. Attach documentation that shows on-going training, refreshers, and recertification for job-specific training (e.g. skills upgrading, WHMIS, First Aid, Defensive Driving, TDG, maintenance procedures, respiratory protection, etc.).</p>	<p>/0-3</p>
<p>Notes:</p>		
<p>TOTAL POINTS POSSIBLE:</p>		<p>/14</p>
		<p>/N/A</p>

6. Emergency Response

Questions	Guidelines	Auditor/CP Assessed Score
<p>6.1</p> <p>a. Is there a written emergency response plan that addresses all possible emergencies, and reflects the hazards at the work site(s)? (D)</p> <p>b. Does the plan include: (D)</p> <ul style="list-style-type: none"> - Communication procedures? - Emergency phone numbers? - List of responsible emergency response personnel? - Evacuation procedures? <p><input type="checkbox"/> Document attached</p>	<p>Attach the emergency response plan.</p> <p>Note that it is acceptable for a small employer to work under the ERP of the contracting organization, as long as they can show that this plan is communicated to the small employer and their workers.</p>	<p style="margin-top: 100px;">/0-2</p> <p style="margin-top: 100px;">/0-2</p>
<p>Notes:</p>		
<p>6.2</p> <p>Are employees given emergency response training appropriate to their individual responsibility? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach emergency response-related training records from last 12 months.</p> <p>If the operation does not have any workers, the owner’s Emergency Response training will be considered to score the question.</p>	<p style="margin-top: 100px;">/0-2</p>
<p>Notes:</p>		

6. Emergency Response

	Questions	Guidelines	Auditor/CP Assessed Score
6.3	<p>Are planned emergency response drills conducted annually or more often, as required? (D, I)</p> <p><input type="checkbox"/> Document attached</p>	<p>Give a description and date of the last drill. Explain how often drills are scheduled and the types of drills held. Participation in drills held by the contracting organization may be appropriate to the needs of the small employer.</p> <p style="color: red;">Auditors: If interviews do not confirm that a drill was held in the last year, full points cannot be awarded.</p>	/0-2
Notes:			
6.4	<p>Are emergency response records kept? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach policy. Describe what records are kept, and (if available) attach sample records from the past 12 months. Employee names must be removed from sample first aid/medical aid records.</p> <p>This question <i>cannot</i> be marked as "n/a." In the absence of an actual emergency, attach records of participation in drill(s), and a policy requiring ER records to be kept.</p>	/0-2
Notes:			

6. Emergency Response

Questions	Guidelines	Auditor/CP Assessed Score
TOTAL POINTS POSSIBLE:		/10 /N/A

7. Incident Investigation

Questions		Guidelines	Auditor/CP Assessed Score
7.1	<p>Is there a written procedure that requires the reporting of workplace incidents, illness and near misses? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach reporting procedure. It should include legal requirements for incident reporting. Documentation must also require internal reporting of incident, injuries, illness and near misses.</p>	/0-3
Notes:			
7.2	<p>Are employees aware of their responsibilities to report work-related incidents, illness and near-misses? (D, I)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach relevant training documents, and explain how employees are made aware of their responsibility to report incidents/illnesses.</p> <p>This question is not applicable (n/a) if the operation does not have any employees.</p> <p style="color: red;">Auditors: If interview responses do not confirm awareness of reporting responsibilities, full points cannot be awarded.</p>	<input type="checkbox"/> N/A /0-2
Notes:			
7.3	<p>a. Is there a written procedure for investigating workplace incidents, illness and near misses? (D)</p> <p>b. Does the procedure include a requirement to correct deficiencies identified in investigations? (D)</p>	<p>Attach the investigation procedure.</p>	/0-2
			/1

7. Incident Investigation

Questions	Guidelines	Auditor/CP Assessed Score
Q. 7.3 Notes:		
7.4 Is there an investigation form? (D) <input type="checkbox"/> Document attached	Attach a copy of the investigation form. If the employer's contracting organization requires the use of their form, employers may use this instead of developing their own. Auditors: The form must include fields for a description of the circumstances, identified causes (direct, indirect and root), corrective actions, and follow-up.	/1
Notes:		
7.5 Do investigation reports identify root causes and corrective action? (D) <input type="checkbox"/> Document attached	Attach copies of completed investigation report forms from the past 12 months. If no incidents or near misses have occurred, this question is not applicable (n/a). Auditors: if root causes are not correctly identified and proposed action is not likely to be effective, no points can be awarded for this question.	<input type="checkbox"/> N/A /0-2
Notes:		

7. Incident Investigation

	Questions	Guidelines	Auditor/CP Assessed Score
7.6	<p>Are corrective actions taken to prevent incidents from happening again? (D, O)</p> <p><input type="checkbox"/> Document attached</p>	<p>Describe how action is taken as a result of incident investigations, and give examples where possible. Attach documentation that verifies corrective action taken.</p> <p style="color: red;">Auditors: Documentation must show that corrective action was taken in an effort to prevent a recurrence. If no incidents have occurred in the past 12 months, this question may be scored based on written requirements to take corrective action (in employer policy).</p>	/0-2
<p>Notes:</p>			
TOTAL POINTS POSSIBLE:			/13
			/N/A

8. Program Administration

Questions	Guidelines	Auditor/CP Assessed Score
8.1 Is there a system to ensure: (D, I) a. Health and safety issues are communicated to employees? b. Feedback on health and safety issues from employees? c. Follow-up on health and safety issues? <input type="checkbox"/> Document attached	a. Describe how employees are advised of health and safety issues. Attach sample documentation (e.g. records of safety meetings/toolbox meetings, bulletins, etc.). b. Describe the system used for employees to offer feedback on health and safety issues, and how employees are made aware of the system. c. Describe how follow-up is done, and explain how employees are made aware of any follow-up completed. This question is not applicable (n/a) if the operation does not have any employees. Auditors: Verify that the required communication systems exist. If interview responses do not support what is found in the documentation review, full points cannot be awarded.	<input type="checkbox"/> N/A /0-2
		<input type="checkbox"/> N/A /0-2
		<input type="checkbox"/> N/A /0-2
Notes:		
8.2 Does the employer review their health and safety performance using statistics? (D) <input type="checkbox"/> Document attached	Attach samples of the statistics maintained by the employer (e.g. first aids, medical aids, claims rates, # of inspections, # of orientations, # of safety meetings, etc., etc.). Describe any trends that were identified.	/0-2
Notes:		

8. Program Administration

Questions	Guidelines	Auditor/CP Assessed Score
<p>8.3 Is the health and safety system evaluated at least annually through the use of an audit process? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Give the date of the last audit.</p> <p>If this is the employer's first health and safety audit, this question is not applicable (n/a).</p>	<p><input type="checkbox"/> N/A</p> <p>/1</p>
<p>Notes:</p>		
<p>8.4 Was an action plan developed to address the deficiencies identified in the previous audit? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach the action plan from the previous year. For each item on the action plan, the person responsible should be identified. Target completion dates and (if applicable) actual completion dates should also be noted for each action item.</p> <p>If this is the employer's first health and safety audit, this question is not applicable (n/a).</p> <p style="color: red;">Auditor: The action plan must include items addressing all of the deficiencies identified in the previous year's audit, and must contain the required components noted above. The items do not have to be <i>completed</i> to achieve the point for this question.</p>	<p><input type="checkbox"/> N/A</p> <p>/1</p>
<p>Notes:</p>		

8. Program Administration

Questions	Guidelines	Auditor/CP Assessed Score
8.5 Were the action items from last year's action plan completed? (D) <input type="checkbox"/> Document attached	Attach the completed action plan from the previous year's audit. If this is the employer's first health and safety audit, this question is not applicable (n/a). <i>Auditors: Score is awarded based on percentage completion of the action items from the previous year's audit results.</i>	<input type="checkbox"/> N/A / 0-2
Notes:		
TOTAL POINTS POSSIBLE:		/12 /N/A

Partnerships Small Employer Action Plan

Audit Date: _____

IDENTIFIED DEFICIENCY	ACTION PROPOSED	PERSON (S) RESPONSIBLE	TARGET DATE	ACTION TAKEN	DATE COMPLETED

Use the above template to develop an action plan from the audit results. Deficiencies identified by the assessor, external auditor and/or the Certifying Partner reviewer should be itemized in this plan, and completed before your next audit.

Self Assessor/Self Evaluator Code of Ethics Agreement

As a Self Assessor/Self Evaluator trained by Alberta Motor Transport Association I agree to the following:

- ✓ Audits will be conducted with the utmost integrity, confidentiality and with no conflict of interest. As a Self assessor/Self evaluator I have read and agree to follow the Code of ethics policy of the Alberta Motor Transport Association.
- ✓ I agree and understand the Alberta Motor Transport Association has the right and responsibility to take disciplinary action if I do not abide by the Code of Ethics as outlined in the policy.
- ✓ I agree to complete the audit information gathering within the 15-day time frame and to submit completed audits within 21 days from last day of on site activities.
- ✓ I also agree to correct any deficiencies noted in the reviews within 15 days of notice.
- ✓ I also agree to complete my Self assessor/ Self evaluator refresher training every three years as required by AMTA and Partnerships Standard.

If at any time, I am found to be in breach of this agreement or the Code of Ethics, I understand the Alberta Motor Transport Association has the right and responsibility to cancel my Self assessor/Self evaluator certification.

Certified Self assessor/Self evaluator

Date: _____

Rev. 2019-Jan-4



SUMMARY SCORE SHEET

*For use only by external auditors or CP reviewers *

Employer Name: _____ Audit Dates: _____

Auditor Name: _____

Element Number	Total Points Possible	Points N/A	Total Points	Total Points Scored	Percentage
1. Management Leadership and Organizational Commitment	19				
2. Hazard Identification and Assessment	21				
3. Hazard Control	30				
4. Ongoing Inspections	15				
5. Qualifications, Orientation and Training	14				
6. Emergency Response	10				
7. Incident Investigation	13				
8. Program Administration	12				
Total Audit Points	134				