

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	<p>How does senior management (i.e. the boss/the owner) communicate to you that health and safety is important? How often?</p> <p>At staff meetings. Through newsletter. At Christmas luncheon</p>	<p> </p>	<p> </p>	<p> </p>

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.			

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 ($5 \times .60 = 3$).

SENIOR MANAGEMENT INTERVIEW RECORD

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

	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? <i>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.</i>			
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? <i>Examples can include paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.</i>			

2.5	What are some of the high hazard (critical) tasks associated with your company's operations?			
2.10	<p>Hazard Assessment Lead – When are formal hazard assessments reviewed?</p> <p><i>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.</i></p>			
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	<p>HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities?</p> <p><i>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.</i></p>			
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.
	<p><u>Background Information:</u> <i>What areas are you responsible for?</i> <i>How long have you worked here? How long have you been a manager? Do you take a lead role in formal hazard assessments?</i> <i>Do you directly supervise workers?</i> <i>Are you on the HSC committee or the HS Representative?</i></p>			
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	<p>a. Can you provide some examples of how the three OHS Rights (<i>right to be informed, right to participate, and right to refuse dangerous work</i>) apply to the work you do?</p> <p>b. Can you provide some examples of health and safety responsibilities that have been assigned to you by your employer?</p> <p>c. Can you provide some examples of legislation that is applicable to you under the <i>Occupational Health and Safety Act, Regulation and Code</i>?</p>			

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? <i>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.</i>			
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? <i>Examples can include paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.</i>			
2.5	What are some of the high hazard (critical) tasks associated with your company's operations? <i>Only ask this question if it is determined the interviewee is the highest level of management within the scope of the audit.</i>			
2.6	How does management participate in the formal hazard assessment process?			

2.10	<p>Hazard Assessment Lead – When are formal hazard assessments reviewed?</p> <p><i>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.</i></p>			
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	<p>HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities?</p> <p><i>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.</i></p>			
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? <i>Examples can include degrees, diplomas, certificates, trade certificates, apprenticeship program, diplomas, driver's licenses, etc.</i>			
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: <ul style="list-style-type: none"> • 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?			

	<i>Work site parties can include other employers (including self- employed persons, visitors, prime contractors, supplies, service providers, etc.).</i>			
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	<i>ASK ONLY MANAGERS THIS QUESTION.</i> 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	RESPONS		
		+	-	n.c.
	<p><u>Background Information:</u> <i>What do you do?</i> <i>What department are you in?</i> <i>How long have you been with the organization?</i> <i>Do you take a lead role in the formal hazard assessment process? Are you on the HSC committee or the HS Representative?</i></p>			
1.4	What are some of the key points listed in the Health and Safety Policy?			
1.6	<p>a. Can you provide some examples of how the three OHS Rights (<i>right to be informed, right to participate, and right to refuse dangerous work</i>) apply to the work you do?</p> <p>b. Can you provide some examples of the health and safety responsibilities that you have been assigned by your employer?</p> <p>c. Can you provide some examples of legislation that is applicable to you under the <i>Occupational Health and Safety Act, Regulation and Code</i>?</p>			
1.8	<p>How is your health and safety performance evaluated?</p> <p><i>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.</i></p>			
1.9	<p>How does senior management (i.e. the boss/the owner) communicate to you that health and safety is important?</p> <p>How often?</p>			
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? <i>Examples can include paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.</i>			
2.7	How are you involved in the formal hazard assessment process? <i>Auditor may have to explain formal hazard assessment, as the employer may use different terminology.</i>			
2.10	Hazard Assessment Lead – When are formal hazard assessments reviewed? <i>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.</i>			
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? <i>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.</i>			
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? <i>Examples can include on the first day, training prior to the first day, prior to starting my duties, etc.</i>			
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?			