



Audit Standards and their Impact on CCSA and Member Employer Audit Requirements

What has changed in the CCSA Audit Instrument?

For 2019, the CCSA will implement the Partnerships Audit Instrument which was revised based on the OHS changes introduced by Bill 30 and was approved by Government of Alberta and Certifying Partners, including the CCSA.

What has changed in the Partnerships Audit Instrument?

The Partnerships Audit Instrument now includes ten elements, an increase from eight elements in CCSA's existing Audit Instrument. The two new Elements reflect new roles and responsibilities introduced with Bill 30 for other work site parties and for the joint worksite health and safety committee / health and safety representatives. Each Element also now includes a brief introduction. Additionally, each Element continues to include a series of questions based on the Partnerships Audit Standards content criteria, although the number of questions has changed for most of the existing Elements. Double-barreled and triple-barreled questions have been significantly reduced. Finally, questions that had been split into two or more parts, for example questions 2.1a and 2.1b, have been redesigned to provide clarity and to eliminate duplication caused due to splitting one question into multiple parts.

What follows is a review of each of the elements as an introduction to the changes in the Partnerships Audit Instrument.

Element 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.

	Old	New
Number of Questions	13	13
Total Points Possible	110	105



Questions		Instructions
1.1	<p>Is there a written health and safety policy signed by the current senior manager?</p> <p>(5 points)</p>	<p>Verified by reviewing written policy</p> <p>To award the 5 points, the policy be signed by the current senior manager, and must include:</p> <ul style="list-style-type: none"> • 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 <p>Points are awarded based on 100% positive indicators from documentation.</p>
1.2	<p>Is the health and safety policy readily available to employees?</p> <p>(0-5 points)</p>	<p>Verified by observation</p> <p>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.</p> <p>Notes must describe where the policy is located, and how it is made accessible to all employees at that location. Provide examples.</p> <p>Points are awarded based on the percentage of locations the policy was available.</p>
1.3	<p>Is the health and safety policy communicated to employees?</p> <p>(0-5 points)</p>	<p>Verified by senior manager, manager and supervisor interviews</p> <p>Interviewees must be able to describe how they ensure that the policy is communicated to employees.</p> <p>Points are awarded based on the percentage of positive responses. Provide examples.</p>



1.4	<p>Are employees aware of the health and safety policy's content? (0-5 points)</p>	<p>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.</p>
1.5	<p>Have specific health and safety responsibilities been written for all levels? (0-10 points)</p>	<p>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:</p> <ul style="list-style-type: none"> • senior Managers • managers • supervisors • Workers <p>Points awarded based on the percentage of positive indicators.</p>
1.6	<p>Do employees understand their:</p> <ol style="list-style-type: none"> 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) 	<p>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.</p>
1.7	<p>Do managers and supervisors understand their responsibility for the health and safety of the workers under their supervision? (5 points)</p>	<p>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.</p>



1.8	<p>Are employees evaluated on their individual health and safety performance? (0-10 points)</p>	<p>Verified by employee interviews</p> <p>Employees at all levels must be able to explain how their occupational health and safety performance is evaluated This can include:</p> <ul style="list-style-type: none"> • performance appraisals • discipline policy/process for non-performance • letters from employer • positive reinforcement by supervisors • job safety observations • management and supervisor reviews, etc. <p>Provide examples.</p> <p>Points are awarded based on the percentage of positive responses.</p>
1.9	<p>Does senior management communicate to employees, at least annually, the organization’s commitment to health and safety? (10 points)</p>	<p>Verified by employee interviews</p> <p>Notes must include examples of how senior management communicates health and safety commitment. Provide examples.</p> <p>Points are awarded based on a minimum 80% positive responses.</p>
1.10	<p>Does senior management demonstrate commitment to occupational health and safety? (10 points)</p>	<p>Verified by employee interviews</p> <p>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.</p> <p>Points are awarded based on a minimum 80% positive responses</p>
1.11	<p>Is current health and safety legislation readily available at all work sites? (5 points)</p>	<p>Verified through observation at work sites</p> <p>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.</p> <p>Provide examples.</p> <p>Points are awarded based on 100% positive indicators from observations.</p>



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.
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.
TOTAL POINTS POSSIBLE: 105		

Element 2: Hazard Assessment (formerly called Hazard Identification and 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.

	Old	New
Number of Questions	7	15
Total Points Possible	170	160



Questions		Instructions
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.
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.



<p>2.3</p>	<p>Are health and safety hazards identified for the tasks associated with each job? (0-20 points)</p>	<p>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:</p> <ul style="list-style-type: none">• 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.) <p>Provide examples.</p> <p>Score: 0 - 10 points for health hazards 0 - 10 points for safety hazards</p> <p>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.</p>
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2.4	<p>Have the identified health and safety hazards been evaluated according to risk? (0-10 points)</p>	<p>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.</p> <p>Points are awarded based on the percentage of health and safety hazards that have been assessed/prioritized.</p> <p>The maximum percentage allowed for this question cannot exceed the percentage awarded in question 2.3.</p>
2.5	<p>Is senior management knowledgeable about the high hazard tasks related to their operations? (10 points)</p>	<p>Verified by senior manager interviews</p> <p>Senior management must be knowledgeable of the high hazard (critical) tasks related to their operations (identified in question 2.4). Provide examples.</p> <p>Points are awarded based on a minimum 80% positive responses.</p>
2.6	<p>Do the following participate in the formal hazard assessment process?</p> <ul style="list-style-type: none"> a. Managers (10 points) b. Supervisors (10 points) 	<p>Verified by manager/supervisor interviews</p> <p>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.</p> <p>Points are awarded based on a minimum 80% positive responses.</p>
2.7	<p>Have workers participated in the development, and/or review of the formal hazard assessments. (0-10 points)</p>	<p>Verified by worker interviews</p> <p>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.</p> <p>Points are awarded based on the percentage of positive responses.</p>



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.
2.9	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: <ul style="list-style-type: none">• 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.



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.
2.11	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.
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.



2.13	<p>Have controls been identified for site specific hazard assessments? (0-5 points)</p>	<p>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.</p>
2.14	<p>Do site-specific hazard assessments involve affected employees at the work site? (0-10 points)</p>	<p>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.</p>
2.15	<p>Is there a system in place for workers to report newly identified hazards? (0-10 points)</p>	<p>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.</p>
<p>TOTAL POINTS POSSIBLE: 160</p>		

Element 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.).

	Old	New
Number of Questions	9	17
Total Points Possible	160	150



Questions		Instructions
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.
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.
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.



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.
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.
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.



3.7	<p>Do managers/supervisors enforce the use of hazard controls? (0-5 points)</p>	<p>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.</p>
3.8	<p>Is there a process in place for preventative maintenance of equipment, vehicles, facilities and tools? (5 points)</p>	<p>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.</p>
3.9	<p>Is the preventative maintenance process in use? (0-5 points)</p>	<p>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.</p>
3.10	<p>Is there a system that ensures defective equipment, vehicles, facilities and tools are taken out of service? (0-10 points)</p>	<p>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.</p>



<p>3.11</p>	<p>Is there a written violence prevention policy as per legislative requirements? (5 points)</p>	<p>Verified by review of documentation</p> <p>As part of an employer’s violence prevention plan, a policy must be in place that includes (but is not limited to):</p> <ul style="list-style-type: none"> • 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 <p>Points are awarded based on 100% positive indicators.</p>
<p>3.12</p>	<p>Are there violence prevention procedures written as per legislative requirements? (5 points)</p>	<p>Verified by review of documentation</p> <p>As part of an employer’s violence prevention plan, a procedure must be in place that includes (but is not limited to):</p> <ul style="list-style-type: none"> • 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. <p>Points are awarded based on 100% positive indicators.</p>
<p>3.13</p>	<p>Are employees trained in the violence prevention plan? (0-5 points)</p>	<p>Verified by employee interviews</p> <p>Employees must be able to explain, in general terms, the plan content, such as how they report violence and how they would obtain immediate assistance. Provide examples.</p> <p>Points are awarded based on the percentage of positive responses.</p>



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: <ul style="list-style-type: none">• 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.
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: <ul style="list-style-type: none">• 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.
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.



3.17	Have the violence and harassment policies and procedures been reviewed? (5 points)	<p>Verified by review of documentation</p> <p>The violence and harassment policies and procedures must be reviewed:</p> <ul style="list-style-type: none"> • when an incident occurs related to violence and/or harassment; or • if the JWHSC or HS representative recommend a review; or • at least every 3 years. <p>Points are awarded based on 100% positive indicators.</p>
TOTAL POINTS POSSIBLE: 150		

Element 4: Joint Worksite Health and Safety Committees (HSC) and Health and Safety Representatives (HS representatives) (formerly Workplace Inspections)

Joint worksite 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.

	Old	New
Number of Questions	n/a	15
Total Points Possible	n/a	100



Questions		Instructions
4.1	<p>Do the terms of reference for the HSC include all legislated requirements? (5 points)</p>	<p>Verified by review of documentation</p> <p>A Terms of Reference for the HSC must include:</p> <ul style="list-style-type: none"> • 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 <p>Points are awarded based on 100% indicators from documentation.</p> <p>If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification.</p>
4.2	<p>Does a policy or procedure include all legislated requirements for an HS representative? (5 points)</p>	<p>Verified by review of documentation</p> <p>A policy or procedure for the HS representative(s) must include:</p> <ul style="list-style-type: none"> • requirement to appoint a representative(s) • reporting to management • term of office • training requirements <p>Points are awarded based on 100% indicators from documentation.</p> <p>If the employer is only required to have an HSC, this question may be marked not applicable (n/a). Provide justification.</p>



4.3	Has the HSC been established as required in the terms of reference? (5 points)	Verified by review of documentation 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.
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: <ul style="list-style-type: none">• responding to workers health and safety concerns and complaints• participating in hazard and control identification• Developing and promoting 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



4.6	<p>Have the HSC members and/or the HS representative(s) been trained in their duties and responsibilities? (0-10 points)</p>	<p>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.</p>
4.7	<p>Do the HSC members and/or HS representative(s) understand their duties and responsibilities? (0-10 points)</p>	<p>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.</p>
4.8	<p>Do HSC members and/or the HS representative(s) participate in health and safety activities? (0-10 points)</p>	<p>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.</p>
4.9	<p>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)</p>	<p>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.</p>
4.10	<p>How do employees bring forward health and safety concerns and complaints? (0-10 points)</p>	<p>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.</p>



4.11	<p>Is a process in place for the HSC and/or HS representative(s) to make health and safety recommendations to management? (0-10 points)</p>	<p>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.</p>
4.12	<p>Are health and safety concerns/complaints resolved in a timely manner? (0-5 Points)</p>	<p>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.</p>
4.13	<p>Does the HSC hold meetings as identified in the terms of reference? (0-5 Points)</p>	<p>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.</p>
4.14	<p>Are formal inspections completed prior to HSC meetings? (0-5 points)</p>	<p>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.</p>



4.15	<p>Have the names and contact information of the HSC members and/or the HS representative(s) been posted? (0-5 points)</p>	<p>Verified by observation</p> <p>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.</p> <p>Points are awarded based on the percentage of work sites that have contact information posted.</p>
	<p>TOTAL POINTS POSSIBLE: 100</p>	

Element 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.

	Old	New
Number of Questions	7	9
Total Points Possible	100	100



Questions		Instructions
5.1	<p>Is there a process to ensure employees are qualified for the position for which they are being considered?</p> <p>(5 points documentation) (0-10 points interview)</p>	<p>Verified by review of documentation and manager/supervisor interviews</p> <p>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.).</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>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.</p> <p>Score: 5 points for documentation 0 - 10 points for interviews</p> <p>Documentation points are awarded based on 100% positive indicators. Interview points are awarded based percentage of positive responses.</p>
5.2	<p>Does the orientation process cover OHS rights and critical health and safety information prior to starting regular duties?</p> <p>(5 points)</p>	<p>Verified by review of documentation</p> <p>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:</p> <ul style="list-style-type: none"> • right to know • right to participate • right to refuse dangerous work • emergency response procedures • rules of enforcement • critical hazards • hazard reporting • incident reporting <p>Points are awarded based on 100% positive indicators from documentation.</p>



<p>5.3</p>	<p>Do managers/supervisors ensure orientations were conducted prior to employees starting regular duties? (0-10 points)</p>	<p>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.</p>
<p>5.4</p>	<p>Are managers/supervisors provided with training to support them in their role? (0-5 points documentation) (0-10 points interview)</p>	<p>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.</p>



<p>5.5</p>	<p>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)</p>	<p>Verified by review of training documents and employee interviews</p> <p>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.</p> <p>Score: 0-10 for documentation 0-10 for interviews</p> <p>Documentation points are awarded based on percentage of positive indicators. Interview points are based on percentage of positive responses.</p>
<p>5.6</p>	<p>Does job-specific training include a practical demonstration? (0-10 points)</p>	<p>Verified by worker interviews</p> <p>Training must include a practical demonstration to confirm that employees have acquired the necessary knowledge or skill related to the subject-matter. Provide Examples.</p> <p>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.</p>
<p>5.7</p>	<p>Is there a process to assess competency of new and re-assigned workers? (0-10 points)</p>	<p>Verified by manager/ supervisor interviews</p> <p>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.</p> <p>Points are awarded based percentage of positive responses.</p>



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.
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.
TOTAL POINTS POSSIBLE: 100		

Element 6: Other Parties At or In The Vicinity of the Work Site (formerly Emergency Response)

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.

	Old	New
Number of Questions	n/a	8
Total Points Possible	n/a	70

Question		Instruction
6.1	Is a policy and/or process 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.



<p>6.2</p>	<p>Is a process in place that includes criteria for evaluating and selecting other employers and/or self-employed persons? (5 points)</p>	<p>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.</p>
<p>6.3</p>	<p>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)</p>	<p>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.</p>
<p>6.4</p>	<p>Are health and safety orientations provided to: a. Visitors? (10 points) b. Other employers and/or self-employed persons? (5 points)</p>	<p>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.</p>



<p>6.5</p>	<p>Does the employer communicate with external work site parties regarding:</p> <ul style="list-style-type: none"> 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) 	<p>Verified by interviewing managers/supervisors</p> <p>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.</p> <p>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.</p> <p>Points are awarded based on the percentage of positive responses.</p>
<p>6.6</p>	<p>Is the health and safety policy communicated to other employers and/or self-employed persons? (0-5 points)</p>	<p>Verified by senior manager, manager/supervisor interviews</p> <p>Interviewees must be able to describe how they ensure that the policy is communicated to other employers and/or self-employed persons.</p> <p>Points are awarded based on the percentage of positive responses. Provide examples.</p> <p>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.</p>
<p>6.7</p>	<p>Is health and safety information readily available to affected external work site parties? (0-5 points)</p>	<p>Verified by manager/supervisor interviews</p> <p>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.</p> <p>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.</p> <p>Points are awarded based on the percentage of positive responses.</p>



6.8	<p>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)</p>	<p>Verified by review of documentation</p> <p>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.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>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.</p>
	<p>TOTAL POINTS POSSIBLE: 70</p>	

Element 7: Inspections (moved from Element 4, formerly Workplace Inspections)

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

	Old	New
Number of Questions	9	6
Total Points Possible	95	70



Questions		Instructions
7.1	<p>Is there an inspection policy and/or process that states the frequency of inspections and includes the following:</p> <ul style="list-style-type: none"> a. All areas of the operation? (0-5 points) b. All employee levels? (0-5 points) 	<p>Verified by review of inspection policy and/or process</p> <ul style="list-style-type: none"> 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. <p>Depending on the size or nature of the organization, one or more employee levels may be not applicable (n/a). Provide justification.</p> <p>Points are awarded based on percentage positive indicators from documentation.</p>
7.2	<p>Are checklists or forms used for formal inspections? (5 points)</p>	<p>Verified by review of completed inspection checklists or forms</p> <p>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.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p>
7.3	<p>Have individuals leading formal inspections received training? (0-10 points)</p>	<p>Verified by review of inspection and training records</p> <p>Identify employees leading inspections and verify they have completed training.</p> <p>Points are awarded based on percentage positive indicators from documentation.</p>



7.4	<p>Are formal inspections carried out in accordance with the policy and/or process by:</p> <ul style="list-style-type: none"> a. Managers? (0-5 points) b. Supervisors? (0-5 points) c. Workers? (0-5 points) 	<p>Verified by review of inspection records</p> <p>Records must show participation from each level, and the frequency stated in the policy and/or process is being met (question 7.1).</p> <p>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).</p> <p>Points are awarded based on percentage positive indicators from documentation</p>
7.5	<p>Is there a system to correct deficiencies identified through formal inspections? (0-5 points)</p>	<p>Verified by manager/supervisor interviews</p> <p>Interviewees must be able to describe the how they ensure deficiencies identified through formal inspections will be corrected.</p> <p>Points are awarded based on the percentage of positive responses.</p>
7.6	<p>Have deficiencies identified through formal inspections been corrected? (0-25 points)</p>	<p>Verified by observations</p> <p>Observe whether sampled deficiencies identified in the inspection reports have been corrected.</p> <p>Points are awarded based on the percentage of positive indicators from observations. Provide examples.</p> <p>Where no deficiencies are identified or not observable, this question may be marked not applicable (n/a). Provide justification.</p>
<p>TOTAL POINTS POSSIBLE: 70</p>		

Element 8: Emergency Response (moved from Element 6)

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

	Old	New
Number of Questions	8	9
Total Points Possible	110	75



	Questions	Instructions
8.1	<p>Have written emergency response plans been developed for potential emergencies? (0-10 points)</p>	<p>Verified by review of emergency response plans applicable to the operations</p> <p>Emergency response plans should be specific to the employer. Examples of potential emergencies to consider could include:</p> <ul style="list-style-type: none"> • fire • severe weather • medical emergencies • hazardous materials release • violence • suspicious persons • and other situations appropriate for the nature of the work being performed <p>Provide examples of emergencies identified.</p> <p>Points are awarded based on the percentage of positive indicators.</p>
8.2	<p>Do written emergency response plans include:</p> <ol style="list-style-type: none"> 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) 	<p>Verified by review of emergency response plans and/or procedures</p> <ol style="list-style-type: none"> 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. <p>Notes must include examples of auditor findings to support the scores for each part of the question.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p>



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.
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.
8.5	Are emergency response drills conducted? (0-10 points)	Verified by review of records Records of drills must be kept. Drills are <i>required</i> 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.



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.
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.
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.



8.9	Do first aid equipment, supplies and facilities meet legislated requirements? (10 points)	<p>Verified by observation</p> <p>Equipment, supplies and facilities must meet the identified legislative requirements specific to the employer.</p> <p>The auditor must verify that legislated first aid obligations have been met at all visited sites and facilities. Provide examples.</p> <p>Points are awarded based on 100% positive indicators from observations.</p>
	TOTAL POINTS POSSIBLE: 75	

Element 9: Incident Investigation (moved from Element 7)

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

	Old	New
Number of Questions	11	13
Total Points Possible	125	100

Questions		Instructions
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)	<p>Verified by review of documentation</p> <p>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.).</p> <p>Points are awarded based on 100% positive indicators from documentation.</p>
9.2	Can employees explain the reporting procedures for incidents (including near miss), occupational illness and work refusals? (0-10 points)	<p>Verified by employee interviews</p> <p>Interviewees must be able to explain the process for reporting incidents (including near miss), occupational illness and work refusals. Provide examples.</p> <p>Points are awarded based on the percentage of positive responses.</p>



9.3	<p>Do employees report incidents, occupational illnesses and work refusals? (5 points)</p>	<p>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.</p>
9.4	<p>Do employees report near misses? (5 points)</p>	<p>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 <u>AND</u> did not have a near miss in the previous 12 months, this question may be marked not applicable (n/a). Provide justification.</p>
9.5	<p>Is there a procedure for investigating incidents (including near miss), occupational illness and work refusals? (5 points)</p>	<p>Verified by review of documentation The procedure must include:</p> <ul style="list-style-type: none"> • how to investigate incidents (near misses), occupational illness work refusals • how to identify root causes • the requirement to implement corrective actions <p>Points are awarded based on 100% positive indicators from documentation.</p>
9.6	<p>Have the individuals leading investigations been trained in investigation techniques? (0-5 points)</p>	<p>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.</p>



9.7	Do managers/supervisors participate in investigations? (0-10 points)	<p>Verified by manager/supervisor interviews</p> <p>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.</p> <p>Points are awarded based on the percentage of positive responses.</p>
9.8	Do workers participate in the investigation process? (0-10 points)	<p>Verified by worker interviews</p> <p>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.</p> <p>Note: Participation must be more than the injured worker or witness.</p> <p>Points are awarded based on the percentage of positive responses.</p>
9.9	<p>Do investigations:</p> <ul style="list-style-type: none"> a. Identify root causes? (0-5 points) b. Recommend corrective actions? (0-5 points) 	<p>Verified by reviewing completed investigation reports</p> <ul style="list-style-type: none"> 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.) <p>Points are awarded based on the percentage of reviewed investigation reports that identify causes and recommend corrective action.</p> <p>If there have been no investigations conducted in the previous 12 months, refer to blank investigation forms or the investigation process.</p>



<p>9.10</p>	<p>Are corrective actions identified in investigation reports implemented to prevent reoccurrence? (0-5 points documentation) (0-10 points observation)</p>	<p>Verified by review of documentation and observing results of corrective actions implemented</p> <p>If corrective actions include administrative controls, implementation may be confirmed through documentation (e.g. training, memos, safety bulletins, etc.).</p> <p>For corrective actions that are observable, award points that confirms implementation compared to the corrective actions identified. Provide examples.</p> <p>Score: 0-5 points for documentation 0-10 points for observation</p> <p>Documentation points are awarded based on the percentage of corrective actions reviewed in question 9.9b that can be verified as implemented.</p> <p>Observation points are awarded based on the percentage of implemented observable corrective actions reviewed in 9.9b.</p> <p>If corrective actions are not observable, the observation portion of this question may be marked not applicable (n/a). Provide justification.</p>
<p>9.11</p>	<p>Are investigations completed in a timely manner? (0-5 points)</p>	<p>Verified by review of investigation reports</p> <p>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).</p> <p>Points are awarded based on percentage of positive indicators.</p>
<p>9.12</p>	<p>Do managers/supervisors ensure investigations are complete as required by the investigation procedures? (0-5 points)</p>	<p>Verified by review of investigation reports</p> <p>Investigation reports should be complete, including identifying causes and corrective actions as outlined in the investigation procedure verified in question 9.5.</p> <p>Points are awarded based on percentage of positive indicators.</p>



9.13	Are completed investigation reports/results communicated to employees? (0-10 points)	<p>Verified by employee interviews</p> <p>Interviewees must be able to describe how investigation results are communicated. Provide examples.</p> <p>Points are awarded based on the percentage of positive responses.</p>
TOTAL POINTS POSSIBLE: 100		

Element 10: System Administration (moved from Element 8, formerly Program Administration)

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

	Old	New
Number of Questions	10	8
Total Points Possible	125	70

Questions		Instructions
10.1	<p>Is there a system to confirm:</p> <p>a. Management communicates health and safety issues to workers? (0-10 points)</p> <p>b. Workers can provide feedback on health and safety issues? (0-10 points)</p>	<p>Verified by worker interviews</p> <p>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.).</p> <p>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.)</p> <p>Provide examples.</p> <p>Points are awarded based on percentage of positive response.</p>



10.2	<p>Is health and safety information readily available to employees? (0-5 points)</p>	<p>Verified by employee interviews Health and safety information (e.g. hazards assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, JWHSC meeting minutes, etc.) is readily available to employees. Provide examples. Points are awarded based on percentage of positive responses</p>
10.3	<p>Are health and safety records/statistics analyzed to identify trends on at least an annual basis? (10 points)</p>	<p>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.</p>
10.4	<p>Is senior management/management held accountable for the implementation of the OHSMS? (5 points)</p>	<p>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.</p>
10.5	<p>Is an OHSMS evaluation or action plan completed at least annually? (5 points)</p>	<p>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.</p>



10.6	<p>Are results from the OHSMS evaluation or action plan communicated to employees? (0-10 points)</p>	<p>Verified by employee interviews</p> <p>Interviewees must be able to describe how the evaluation or action plan results are communicated to them. Provide examples.</p> <p>Points are awarded based on percentage of positive responses.</p> <p>If this is the employer's first health and safety evaluation, this question may be marked not applicable (n/a). Provide justification.</p>
10.7	<p>Was a plan developed to address identified OHSMS deficiencies from the previous evaluation? (0-5 points)</p>	<p>Verified by review of documentation</p> <p>To award points for this question, a plan must have been developed to address deficiencies identified in the past year.</p> <p>A plan format <u>may</u> include:</p> <ul style="list-style-type: none"> • measurable action items • completion dates • individuals responsible for follow-up <p>If this is the employer's first health and safety evaluation, this question may be marked not applicable (n/a). Provide justification.</p>
10.8	<p>Has the plan been implemented? (0-10 points)</p>	<p>Verified by review of documentation</p> <p>Verify if the items identified in question 10.7 have been initiated or implemented.</p> <p>Points awarded are based on the percentage of items initiated and/or completed on the plan.</p> <p>This question may be marked not applicable (n/a) if question 10.7 has been marked not applicable. Provide justification.</p>
<p>TOTAL POINTS POSSIBLE: 70</p>		