**REMINDERS: *remove these comments before sending the letter***

 \**Update this pre-audit letter to fit the scope of your audit.*

*\* Whether this audit takes place on-site or virtually will depend on the direction from the Alberta Government, Partnerships and the facility being audited.*

*\* Text to update is in blue below. Change to black font before sending.*

**Pre – Audit Letter Template (Single Site)**

Date

Name (Senior Manager)

Title

Company

Address

Re: Health and Safety Audit:

Thank you for the opportunity to conduct an audit of your Health and Safety Program. This audit will act as your *[Certification/Re-Certification/Maintenance]* audit for PIR/COR participation.

Attached is a schedule of the audit activities that will include:

1. **Documentation review:** I have enclosed a list of the documents that I will need available for my review. *[Please have this documentation gathered and ready at the time of my arrival/Please ensure the documentation is available for my remote review by Month DD, 2022]*
2. **Interviews**: Includes all levels of staff and management. Based on the information provided, we anticipate conducting XX interviews. Each interview will take approximately **45 minutes**. The interviews will be scheduled when I arrive at your property.
3. *Due to COVID Observation tours will not take place in 2022.*

The 2022 audit activities will take place *[on-site/virtually]*. We may need to review additional documentation or conduct additional interviews if further verification of information is necessary.

*If on site: Please advise as to any* ***Personal Protective Equipment (PPE)*** *requirements.*

The support of your contact person is required for the duration of the audit. The contact person will gather documentation, book private space for the interviews, ensuring staff that are scheduled for interviews are available.

All information collected from the documentation review and interviews will be kept strictly confidential. All working notes will be destroyed once the final report has been approved by the CCSA and forwarded to the property.

Sincerely,

*Auditor Names (all auditors participating in the audit should be listed)*

CC: CCSA (COR@ab-ccsa.ca)

*[Audit contact (if different from Senior Manager)]*

Enclosures

\* *The schedule of data gathering activities is a guide. Update the dates and times to fit the scope of your audit.*

*\* Reminder the order of your data gathering activities must remain as: pre-audit meeting, familiarization tour (if required), documentation review, interviews, and post audit meeting.*

***TEMPLATE***

**SCHEDULE OF DATA GATHERING ACTIVITIES**

**May 1, 2022**

9:00 – 9:15 a.m. Meet with Contact person

9:15 – 10:00 a.m. **Pre-audit meeting**: Auditor meeting with the senior management, managers, supervisors, Health & Safety Committee members, the contact person to provide clarification of the audit process and answer any questions.

10:00 – 10:30 a.m. **Familiarization Tour**: Auditor’s initial tour of the property, escorted by the contact person, to gain insight regarding overall operations.

10:30 – 11:00 a.m. **Interview Selection**: Auditor will select specific individuals for interviews to begin on the following day. A list of employees who will be on shift in each department will be required.

11:00 – 12:00p.m. **Documentation Review**: Auditors review of materials related to the health and safety program (see attached Document List).

12:00 – 12:30 p.m. Lunch Break

12:30 – 5:00 p.m. **Documentation Review** Continued

**May 2, 2022**

9:00 – 5:00 p.m. **Documentation Review** Continued

12:00 – 12:30 p.m. Lunch Break

12:30 – 5:00 p.m. **Documentation Review** Continued

**May 3, 2022**

9:00 a.m. – noon **Interviews**: Auditors interview selected senior managers, managers, supervisors and workers

12:00 – 12:30 p.m. Lunch Break

12:30 – 6:00 p.m. **Interviews** continued

**May 4, 2022**

6:00 a.m. – noon **Interviews**: continued

11:00 – 11:30 a.m. Lunch Break

11:30 – 3:00 p.m. **Interviews** continued

**May 5, 2022**

9:00 – 11:00 a.m. Auditors summarize outcome of audit

11:00 a.m. – noon **Post-Audit Meeting**: Auditors meet with the same individuals who attended the Pre-Audit meeting to summarize findings and identify the next step.

**May 8-9, 2022** Auditors complete the compilation of audit outcomes; prepare the final report and submit the audit to the CCSA for review.

**\*Interviews should be booked to meet the employer’s requirements NOT the auditors; no additional cost e.g. overtime should be incurred by employer.**

**Element Documentation Checklist**

|  |  |
| --- | --- |
|  | **Element 1: Leadership and Organizational Commitment**  |
|  | Signed Health and Safety policy  |
|  | Documents where written statement of responsibilities/accountabilities are included for all levels. (ex. job descriptions, employee contracts, employee manuals, staff handbooks  |
|  | Meeting minutes where H&S is a standing agenda item and where management/supervisory staff have participated. Examples could be: department meetings, town halls, general staff meetings, health and safety meetings. ***[auditor specify months required]*** |
|  |   |
|  | **Element 2: Hazard Assessment**  |
|  | Current organizational chart or job inventory list (used to compare number of positions and the number of documented Hazard Assessment documents) |
|  | Hazard assessment policy/process (may also be referred to as formal hazard assessments, job safety analysis, etc.) |
|  | Completed Formal Hazard Assessments for all positions (if different for each site/location, then employer to provide) |
|  | Training documents for staff members designated to lead the creation and/or review of formal hazard assessments |
|  | Site specific hazard assessment policy/process (also called Field Level Hazard Assessments)* When a new activity has been temporarily introduced at the work site (ex. new policy/procedure, new equipment).
* Work is conducted at a temporary/mobile work site (ex. if facility needed to evacuate their building would they go to another building, resident outings)
* Copy of blank site specific form
 |
|  | Completed site-specific hazard assessments for above listed possible scenarios  |
|  |  |
|  | **Element 3: Hazard Controls** |
|  | Documents demonstrating the implementation of administration controls listed in formal hazard assessments (ex. Safe Work Procedures/Policies (SWPP), training documents, memo’s, meeting minutes, etc.) |
|  | Documents outlining the preventative maintenance policy and process for building, vehicles, equipment, and tools.  |
|  | Preventative maintenance records, completed scheduled work documents, work order records, etc. specific to preventative maintenance. This includes any contracts with other work site parties who complete regular PM.  |
|  | Violence Prevention Plan including policies and procedures |
|  | Harassment Prevention Plan including policies and procedures |
|  |  |
|  | **Element 4: Health and Safety Committee/HS Representative** |
|  | HSC and/or HSR policies and/or procedures, terms of reference |
|  | HSC member lists and HSR information (*current for the timeframe of documents provided*) |
|  | Written statement of the HSC and/or HS representative duties and responsibilities (if not on the TOR)  |
|  | Policy or procedure for HSC/HS rep to address employee concerns related to OHSMS |
|  | Training documents for members/representatives (includes internal training and mandatory HSC Co-chair(s) training - copies of actual certificates) |
|  | Health and safety committee meeting minutes ***[auditor specify months required]*** |
|  | HSC related documentation that supports corrective action completed in a timely manner by the HSC, e.g. feedback forms, emails, HSC meeting minutes, communications, etc. ***[auditor specify months required]*** |
|  |  |
|  | **Element 5: Qualifications, Orientations and Training** |
|  | Orientation policy and process including any checklists, orientation package/contents (blank samples) |
|  | Policies, procedures and documents that describe how the employer ensures employees are qualified for position they are being considered for. (ex. hiring policy, hiring checklist, HR hiring practices etc.) (blank samples)*If the organization tracks employee training and orientation on a spreadsheet this can be provided to the auditor to verify the following:*Policies, procedures and documents that describe the orientation information given to newly hired employees |
|  | Department/job specific training (blank) (ex. buddy checklist, department orientation checklists) |
|  | Job-specific training when they are a new employee, assigned a new task or when an operational change affect their work. *These can be blank samples of checklists, competency, as well as completed samples which verify training when assigned a new task or changes that affect their work.*  |
|  | Completed competency assessments (return of skill demonstrations) (ex. Donning and doffing PPE, hand hygiene audits, demonstrations of proper equipment/technique demonstrations) |
|  | Refresher/Annual Mandatory Training documents such as checklists, in-house training, policies etc. If the employer tracks annual training on spreadsheet, this can be provided as well.  |
|  | Training completed for managers and supervisors (specific to support them in their role) |
|  |  |
|  | **Element 6: Other Worksite Parties at or in the Vicinity of the Work Site** |
|  | Policy and/or process to address the protection of others not under the employer’s direction. (blank documents; completed documents not required)  |
|  | Policy, and/or process documents for hiring, evaluating and selecting contractors, other employers and/or self-employed persons. (blank documents; completed documents not required)  |
|  | Policy and/or process for monitoring other work site parties while they are on site working. (blank documents; completed documents not required)  |
|  | Process for non-compliance of other employers and/or self-employed persons at the work site. |
|  | Orientation checklist, orientation package/contents for visitors, family members, other employees and/or self-employed persons. |
|  | Copy of completed other work site parties orientation (visitors/volunteers this could be sign in sheets with information as to what is available for them to review when entering building – hand washing, outbreak, fire procedure etc.)  |
|  |  |
|  | **Element 7: Inspections** |
|  | Inspection policy and procedure documents (schedule, blank checklists, etc.) |
|  | Training documents for staff members designated to lead the inspection process |
|  | Completed Inspection checklists and inspection reports (if separate) ***[auditor specify months required]*** |
|  |  |
|  | **Element 8: Emergency Response**  |
|  | Emergency response and evacuation plans, policies, and procedures  |
|  | Documents relating to emergency response drills, such as records of drills, minutes for drill review meetings, table-top exercises, etc. ***[auditor specify months required]*** |
|  | Documents relating to actual emergency responses, such as records of response, minutes for response review meetings, documents outlining corrective actions or changes in procedure and documents that show corrective actions were completed (if on the form or training records, memo’s, maintenance requestions) ***[auditor specify months required]*** |
|  | Schedule or worker rotation records (required for verification of first aid on all shifts)  |
|  | Training of employees in first aid (copies of actual certificates or spreadsheet indicating training is up to date) |
|  |  |
|  | **Element 9: Incident Investigations**  |
|  | Incident reporting and investigating policy/process for incidents, illness, near misses and work refusals. (these many be separate or combined policies and processes).  |
|  | Completed Incident forms (incident, root cause, corrective action, dates from start of incident to completion of investigations for incidents, illness, near misses and work refusals. ***[auditor specify months required]*** |
|  | Completed investigation report forms, memos, meeting minutes, work orders etc. regarding implementation of corrective actions, minutes of meetings discussing investigations. ***[auditor specify months required]*** |
|  | Training documents for employees designated to lead investigations  |
|  |  |
|  | **Element 10: System Administration** |
|  | Organization specific monthly, quarterly, or annual health and safety reports, injury report analysis, health and safety statistics and trend reports |
|  | Previous health and safety system evaluations and action plans (with completion details) |

Thank you for providing all relevant documentation. Please note that the auditor may request additional records or documents if applicable.