

Audit Tool		
	<i>Introductory Comments (required):</i>	
	Information about the organization (how many sites, number of employees, cohort levels, years in service, new sites etc.) and the scope of the audit (how many sites and interviews)	
	Element 1: Management Leadership and Organizational Commitment	
	0/100 (0%)	
1.01	Is there a written Health and Safety Policy?	0/5
	<p>Verified by reviewing written policy. To award the five points, the policy must include:</p> <ol style="list-style-type: none"> 1. Signed by the current senior manager, 2. A declaration of management commitment to health and safety that addresses physical, psychological, and social well-being, 3. General health and safety responsibilities of managers, supervisors, workers and contractors, 4. The 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. Provide details/examples.</p>	
	<p>All guidelines now include the last line that says "Provide details/examples." Note - this is not a change for CCSA audits as we ask Auditors to justify the points awarded and not awarded providing both positive and negative examples.</p>	
1.02	Is the Health and Safety policy readily available to employees?	0/5
	<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. Notes must describe where the policy is located, and how it is made accessible to all employees at that location.</p> <p>Points are awarded based on the percentage of locations the policy was available. Provide details/examples.</p>	
1.03	Is the health and safety policy communicated to employees?	0/5
	<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>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Points are awarded based on the percentage of positive responses. Provide details/examples.</p>	

1.04	Are employees aware of the health and safety policy's content?	0/5
	<p>Verified by employee interviews.</p> <p>Employees must be able to explain, in general terms, the policy's content.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
1.05	Have specific health and safety responsibilities been written for all levels?	0/10
	<p>Verified by reviewing documentation other than the policy (e.g., job descriptions, health and safety manuals, staff handbooks, etc.).</p> <p>There must be responsibilities written for all applicable employee levels:</p> <ol style="list-style-type: none"> 1. Senior Managers 2. Managers 3. Supervisors 4. Workers <p>Points awarded based on the percentage of positive indicators.</p> <p>Provide details/examples.</p>	
1.06	Do employees understand their individual OHS rights and their health and safety responsibilities?	0/10
	<p>Verified by employee interviews.</p> <p>Employees must be able to identify the three OHS rights (right to know, right to participate, right to refuse dangerous work). Employees must be able to explain their health and safety responsibilities (both company and legislated).</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
	Question update - Part C has been removed.	
1.07	Do managers and supervisors understand their responsibility for the health and safety of the workers under their supervision?	0/5
	<p>Verified by manager and supervisor interviews.</p> <p>Managers and supervisors must be able to describe how they ensure the health and safety of the employees under their supervision.</p> <p>Points awarded based on a minimum 80% positive responses.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/examples.</p>	
1.08	Are employees evaluated on their individual health and safety accountabilities?	0/10
	<p>Verified by employee interviews.</p> <p>Employees at all levels must be able to explain the system that is used to evaluate their accountabilities for their OHS roles and responsibilities. These can include: performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
	Verbiage update from H&S responsibilities to accountabilities.	

1.09	Does senior management communicate to employees, at least annually, the organization's commitment to health and safety?	0/10
	<p>Verified by employee interviews.</p> <p>Notes must include examples of how senior management communicates health and safety commitment.</p> <p>Points are awarded based on a minimum 80% positive responses.</p> <p>Provide details/examples.</p>	
1.10	Does senior management demonstrate commitment by participating in health and safety activities?	0/10
	<p>Verified by employee interviews.</p> <p>Employees must identify how senior management demonstrates their commitment by participating in health and safety activities (e.g. site tours, participate in inspections or committees, using hazard controls, etc.).</p> <p>Points are awarded based on a minimum 80% positive responses</p> <p>Provide details/examples.</p>	
	Verbiage update - Question used to say "Does senior management demonstrate commitment to occupational health and safety?"	
1.11	Is current health and safety legislation readily available at all work sites?	0/5
	<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>Points are awarded based on 100% positive indicators from observations.</p> <p>Provide details/examples.</p>	
1.12	Does management participate in meetings where health and safety is discussed?	0/10
	<p>Verified by review of meeting minutes.</p> <p>To award points there must be documented evidence of management participation in meetings where health and safety is on the agenda, outside of health and safety committee meetings.</p> <p>Points are awarded based on the percentage of positive indicators of sampled meeting minutes.</p> <p>Provide details/examples.</p>	
	Guideline update - Review meeting minutes other than HSC meeting minutes.	
1.13	Does the employer provide resources needed to implement and improve health and safety?	0/10
	<p>Verified by employee interviews.</p> <p>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.).</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	

	Element 2: Hazard Assessment	
	0/150 (0%)	
2.01	Have all jobs/positions been identified for the formal hazard assessment process?	0/10
	<p>Verified by reviewing documentation.</p> <p>Documentation review should include a comparison of job listings (organizational chart, job inventory document, job descriptions, staff listings, etc.) to formal hazard assessment documentation to show that they have been inventoried (formal hazard assessments, task inventories/matrices, etc.). Formal hazard assessment documentation may have the jobs/positions grouped together into common areas (eg field, office, administration) as part of the inventory.</p> <p>Points are awarded based on the percentage of jobs and/or occupations inventoried compared to the number required as identified on staff listings or organizational charts. Sampling is not acceptable for this question. Notes must include examples of the jobs/positions identified, and any that were missed.</p>	
	Verbiage update to both question and guidelines.	
2.02	Has the employer compiled a list of tasks associated with each job/position?	0/20
	<p>Verified by review of formal hazard assessments.</p> <p>The various tasks associated with each job/position must be identified.</p> <p>Points are awarded based on the percentage of jobs/positions identified that have tasks associated. The maximum score allowed for this question will be determined by the total percentage awarded in question 2.1.</p> <p>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> <p>Notes must include examples, and list tasks that were missed.</p>	
2.03	Are health and safety hazards identified for the tasks associated with each job/position?	0/20
	<p>Verified by review of formal hazard assessments.</p> <p>Confirm that both health and safety hazards have been identified for tasks where applicable. (confirmed by question 2.2).</p> <p>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.</p> <p>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>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.</p> <p>Points are awarded for each hazard type based on the percentage of tasks for which hazards have been identified.</p> <p>The maximum score allowed for this question will be determined by the total percentage awarded in question 2.2.</p> <p>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 – 5 for each type) 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> <p>Provide details/examples.</p>	

2.04	Have the identified health and safety hazards been evaluated according to risk?	0/10
	<p>Verified by review of formal hazard assessments to confirm that each hazard identified in question 2.03 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. The maximum percentage allowed for this question cannot exceed the average percentage awarded in question 2.3.</p> <p>Provide details/examples.</p>	
2.05	Is senior management knowledgeable about the highest hazard tasks related to their operations?	0/10
	<p>Verified by senior manager interviews.</p> <p>Senior management must be knowledgeable of the highest hazard tasks related to their operations (identified in question 2.04).</p> <p>Points are awarded based on a minimum 80% positive responses.</p> <p>Provide details/examples.</p>	
2.06	Do the following participate in the formal hazard assessment process?	0/10
	<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.</p> <p>If the organization does not have supervisors, then 2.6b can be N/A.</p> <p>Points are awarded based on a minimum 80% positive responses.</p> <p>Provide details/examples.</p>	
2.07	Have workers participated in the development and/or review of the formal hazard assessments?	0/10
	<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 formal hazard assessments and the identification of controls.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
2.08	Are employees designated to lead the formal hazard assessment process trained?	0/5
	<p>Verified by review of formal hazard assessments and training records.</p> <p>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.</p> <p>Points are awarded based on the percentage of positive indicators.</p> <p>Provide details/examples.</p>	

2.09	Is there a written policy and/or process to review formal hazard assessments?	0/5
	<p>Verified by review of formal hazard assessment policy and/or process.</p> <p>Documentation must confirm a requirement to review formal hazard assessments, and includes the following criteria:</p> <ol style="list-style-type: none"> 1. On a predetermined frequency to keep the results up-to-date 2. When changes are made to the operation or work-related process 3. When a new work process is introduced 4. When site-specific hazard assessments identify a new hazard 5. When an inspection identifies a new hazard 6. When an investigation identifies a new hazard <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>Provide details/examples.</p>	
	Guideline update - verbiage for criteria (1) went from regular to pre-determined.	
2.10	Are formal hazard assessments reviewed as per the policy and/or process?	0/5
	<p>Verified by hazard assessment lead interviews.</p> <p>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.</p> <p>Points are awarded based on percentage of positive responses.</p> <p>Provide details/examples.</p>	
2.11	Does the employer have a process for conducting site-specific hazard assessments when a new activity has been temporarily introduced at the work site? When work is conducted at a temporary/mobile work site (whether owned by the employer or not)?	0/10
	<p>Verified by review of documentation.</p> <p>A policy and/or process and procedures for conducting site-specific hazard assessments must be in place to award points for this question.</p> <p>Question “a” cannot be marked not applicable (n/a).</p> <p>If the employer does not have temporary/mobile work sites, question “b” may be marked not applicable (n/a). Provide justification.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>Provide details/examples.</p>	
2.12	Have site-specific hazard assessments been conducted before work begins on the day of the job? Repeated if changes are introduced?	0/10
	<p>Verified by review of completed site-specific hazard assessments.</p> <p>If site specific hazard assessments were not required in the previous 12 months, this question as a whole or part may be marked not applicable (n/a). Provide justification.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>Provide details/examples.</p>	

2.13	Have controls been identified for site specific hazard assessments?	0/5
	<p>Verified by review of completed site-specific hazard assessments.</p> <p>Site-specific hazard assessments must identify controls.</p> <p>Points are awarded based on the percentage of positive indicators.</p> <p>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> <p>Provide details/examples.</p>	
2.14	Do site-specific hazard assessments involve affected employees at the work site?	0/10
	<p>Verified by manager/supervisor and worker interviews.</p> <p>Interviewees must be able to describe how they participate in the site specific hazard assessment process.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>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> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/examples.</p>	
2.15	Is there a system in place for workers to report newly identified hazards?	0/10
	<p>Verified by worker interviews.</p> <p>Workers must be able to describe the system to report unsafe or unhealthy conditions and practices.</p> <p>Points are awarded based percentage of positive responses.</p> <p>Provide details/examples.</p>	
	Element 3: Hazard Control	
	0/130 (0%)	
3.01	Have controls been identified for the hazards listed in the formal hazard assessments?	0/10
	<p>Verified by review of formal hazard assessments.</p> <p>Hazard assessments must include controls for each hazard identified, including engineering, administrative, and PPE controls where applicable.</p> <p>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.)</p> <p>Provide details/examples.</p>	
3.02	Have the identified engineering controls been implemented?	0/20
	<p>Verified by observation.</p> <p>Refer to question 3.01 to obtain a sample of engineering controls and verify through observation that they have been implemented.</p> <p>Points are awarded based on the percentage of engineering controls sampled from the formal hazard assessment that have been observed.</p> <p>Auditors must include some controls for highest hazard items in the sample to verify they have been given priority.</p> <p>Provide details/examples.</p>	
	Guideline update - Auditors must include some controls for highest hazard items in the sample to verify they have been given priority.	

<p>3.03</p>	<p>Have the identified administrative controls been implemented?</p> <p>Verified by review of documentation. Refer to question 3.01 obtain a sample of administrative controls to verify through a review of documentation. Points are awarded based on the percentage of administrative controls sampled from the formal hazard assessments that have been verified through documentation. Auditors must include some controls for highest hazard items in the sample to verify they have been given priority. Provide details/examples.</p>	<p>0/20</p>
<p>3.04</p>	<p>Have the identified personal protective equipment (PPE) controls been implemented?</p> <p>Verified by observation. Refer to question 3.1 to obtain a sample of controls, and verify through observation that they have been implemented. Points are awarded based on the percentage of controls sampled from the formal hazard assessment that have been observed. Auditors must include some controls for highest hazard items in the sample to verify they have been given priority. Provide details/examples.</p>	<p>0/20</p>
	<p>Guideline update - Auditors must include some controls for highest hazard items in the sample to verify they have been given priority.</p>	
<p>3.05</p>	<p>Are changes to hazard controls communicated to affected employees?</p> <p>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. Points are awarded based on percentage of positive responses. Provide details/examples.</p>	<p>0/5</p>
<p>3.06</p>	<p>Are employees using the established hazard controls?</p> <p>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. 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. Provide details/examples.</p>	<p>0/15</p>
<p>3.07</p>	<p>Do managers/supervisors enforce the use of hazard controls?</p> <p>Verified by managers/supervisors 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. If the organization does not have supervisors, this question can be asked to only managers. Points are awarded based on the percentage of positive responses. Provide details/examples.</p>	<p>0/5</p>

3.08	Is there a process in place for preventative maintenance of equipment, vehicles, facilities, and tools?	0/5
	<p>Verified by review of policy and/or process documents.</p> <p>Documentation must include a policy and/or process requiring ongoing preventative maintenance for vehicles, equipment, facilities, and tools. (e.g.: mechanical lifts & tubs, localized ventilation, power tools, vans/busses, etc.). There must be maintenance schedules where applicable.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>Provide details/examples.</p>	
3.09	Is the preventative maintenance process in use?	0/5
	<p>Verified by review of documentation.</p> <p>Documentation must confirm that preventative maintenance is being performed according to the schedule as identified in question 3.08.</p> <p>Points are awarded based on the percentage of positive indicators.</p> <p>Provide details/examples.</p>	
3.10	Is there a system that ensures defective equipment, vehicles, facilities, and tools are taken out of service?	0/10
	<p>Verified by worker interviews.</p> <p>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.).</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	

3.11	Does the Violence Prevention Plan meet legislated requirements?	0/5
	<p>Verified by review of documentation.</p> <p>Documentation must confirm the employer's Violence Prevention Plan meets legislated requirements (Alberta) or Federal legislation for federally regulated employers.</p> <p>Points are awarded based on 100% positive indicators</p> <p>Provide details/examples.</p>	
	<p>Question update - Old 3.11, 3.12 and 3.13 have been removed and left with 1 question pertaining to the Violence Prevention Plans.</p> <p>Auditors must refer to the Albert OHS Legislation. Code Part 27, Sections 390 - 390.2 and ensure the Violence Prevention Plan meets legislated requirements.</p> <p>390.1 An employer must ensure that a violence prevention policy under section 390(1) includes the following:</p> <ul style="list-style-type: none"> (a) a statement that the employer is committed to eliminating or, if that is not reasonably practicable, controlling the hazard of violence; (b) a statement that the employer will investigate any incidents of violence and take corrective action to address the incidents; (c) a statement that the employer will not disclose the circumstances related to an incident of violence or the names of the complainant, the person alleged to have committed the violence and any witnesses, except <ul style="list-style-type: none"> (i) where necessary to investigate the incident or to take corrective action, or to inform the parties involved in the incident of the results of the investigation and any corrective action to be taken to address the incident, (ii) where necessary to inform workers of a specific or general threat of violence or potential violence, or (iii) as required by law; (d) a statement that the employer will disclose only the minimum amount of personal information under clause (c)(ii) that is necessary to inform workers of a specific or general threat of violence or potential violence; (e) a statement that the violence prevention policy is not intended to discourage a worker from exercising the worker's rights pursuant to any other law. 	
	<p>390.2 An employer must ensure that the violence prevention procedures under section 390(1) include the following:</p> <ul style="list-style-type: none"> (a) the measures the employer will take to eliminate or, if that is not reasonably practicable, control the hazard of violence to workers; (b) information about the nature and extent of the hazard of violence, including information related to specific or general threats of violence or potential violence; (c) the procedure to be followed by the employer when disclosing the information in clause (b), which must be in compliance with section 390.1(c) and (d); (d) the procedure to be followed by a worker to obtain immediate assistance when an incident of violence occurs; (e) the procedure to be followed by a worker when reporting violence; (f) the procedure to be followed by the employer when <ul style="list-style-type: none"> (i) documenting and investigating an incident of violence, and (ii) implementing any measures to eliminate or control the hazard of violence that have been identified as a result of the investigation; (g) the procedure to be followed by the employer when informing the parties involved in an incident of violence of <ul style="list-style-type: none"> (i) the results of an investigation of the incident, and (ii) any corrective action to be taken to address the incident. 	

3.12	Does the Harassment Prevention Plan meet legislated requirements?	0/5
	<p>Verified by review of documentation. Documentation must confirm the employer's Harassment Prevention Plan meets legislated requirements (Alberta) or Federal legislation for federally regulated employers. Points are awarded based on 100% positive indicators Provide details/examples.</p>	
	<p>Question update - Old 3.14, 3.15 and 3.16 have been removed and left with 1 question pertaining to the Harassment Prevention Plans. Auditors must refer to the Albert OHS Legislation. Code Part 27, Sections 390.4 - 390.6 and ensure the Harassment Prevention Plan meets legislated requirements.</p> <p>390.5 An employer must ensure that a harassment prevention policy under section 390.4(1) includes the following: (a) a statement that the employer is committed to eliminating or, if that is not reasonably practicable, controlling the hazard of harassment; (b) a statement that the employer will investigate any incidents of harassment and take corrective action to address the incidents; (c) a statement that the employer will not disclose the circumstances related to an incident of harassment or the names of the complainant, the person alleged to have committed the harassment and any witnesses, except (i) where necessary to investigate the incident or to take corrective action, or to inform the parties involved in the incident of the results of the investigation and any corrective action to be taken to address the incident, or (ii) as required by law; (d) a statement that the harassment prevention policy is not intended to discourage a worker from exercising rights pursuant to any other law, including the Alberta Human Rights Act.</p>	
	<p>390.6 An employer must ensure that the harassment prevention procedures under section 390.4(1) include the following: (a) the procedure to be followed by a worker when reporting harassment; (b) the procedure to be followed by the employer when documenting, investigating and preventing harassment; (c) the procedure to be followed by the employer when informing the parties involved in an incident of harassment of (i) the results of an investigation of the incident, and (ii) any corrective action to be taken to address the incident.</p>	
3.13	Have the Violence and Harassment plans been reviewed as per legislated requirements?	0/5
	<p>Verified by review of documentation The violence and harassment plans must be reviewed as per legislated requirements (Alberta) or Federal legislation for federally regulated employers: 1. When an incident occurs related to violence and/or harassment; or 2. If the HSC or HS representative recommend a review; or 3. At least every 3 years. Points are awarded based on 100% positive indicators Provide details/examples.</p>	

	Element 4: Joint Work Site Health and Safety Committees and Health and Safety Representatives	
	0/100 (0%)	
4.01	Do the terms of reference for the HSC include all legislated requirements?	0/5
	<p>Verified by review of documentation.</p> <p>Documentation must confirm a terms of reference is in place for the HSC and includes all legislated requirements (Alberta) or Federal legislation for federally regulated employers.</p> <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> <p>Provide details/examples.</p>	
	<p>Guideline update - Auditors must refer to the Albert OHS Legislation. Code Part 13, Section 197 and ensure the TOR meets legislated requirements.</p> <p>197 An employer must ensure each joint health and safety committee develops written terms of reference</p> <p>(a) outlining the process to select co-chairs,</p> <p>(b) outlining the process for selecting worker members to the committee to ensure worker members are representative of the workers for that employer,</p> <p>(c) establishing a term of office for committee members,</p> <p>(d) outlining the frequency for regular committee meetings and how meeting records will be maintained,</p> <p>(e) outlining processes for conducting meetings, and forwarding health and safety concerns to the attention of the employer,</p> <p>(f) establishing a process to replace a member during the member's term of office,</p> <p>(g) establishing a dispute resolution process for when the committee cannot agree on a recommendation to the employer, and</p> <p>(h) outlining processes to address circumstances where committee members are not fulfilling their duties.</p>	
4.02	Is the HSC established as per legislated requirements?	0/5
	<p>Verified by review of documentation.</p> <p>Review terms of reference and other committee documentation to determine there is an established HSC as per legislation (Alberta) or Federal legislation for federally regulated employers.</p> <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> <p>Provide details/examples.</p>	
4.03	Has a HS representative been designated as per legislated requirements?	0/5
	<p>Verified by employee interviews. An employer needs to designate a HS representative as per legislated requirements (Alberta) or Federal legislation for federally regulated employers. Employees need to be informed if this process has occurred. Points are awarded based on percentage of positive responses. If the employer is only required to have an HSC, this question may be marked not applicable (n/a). Provide details/examples.</p>	

4.04	Have duties been written for the HSC and/or HS representative(s)?	0/5
	<p>Verified by review of documentation.</p> <p>Documentation must confirm that duties of the HSC and/or HS representative(s) have been written as per legislated requirements (Alberta) or Federal legislation for federally regulated employers.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>Provide details/examples.</p>	
	<p>Guideline update - Auditors must refer to the Albert OHS Legislation. Act, Part 2, Section 13(6) [HSC] or 14(4) [HSR] and ensure the duties meets legislated requirements.</p> <p>13 (6) The duties of a joint health and safety committee include the following:</p> <ul style="list-style-type: none"> (a) the receipt, consideration and disposition of concerns respecting the health and safety of workers; (b) participation in the employer’s hazard assessment; (c) the making of recommendations to the employer respecting the health and safety of workers; (d) review of the employer’s work site inspection documentation. <p>14 (4) The health and safety representative shall, in cooperation with a representative of the employer, perform the same duties, with any necessary modifications, as set out for the joint health and safety committees in section 13(6).</p>	
4.05	Have the HSC members and/or the HS representative(s) been trained in their duties and responsibilities?	0/10
	<p>Verified by review of documentation.</p> <p>Review training records for committee members and/or the HS Representative(s) to ensure they are trained as per legislated requirements (Alberta) or to Federal legislation for federally regulated employers.</p> <p>Points are awarded based on percentage of positive indicators.</p> <p>Provide details/examples.</p>	
	<p>Guideline update - Auditors must refer to the Albert OHS Legislation. Code Part 13, Section 201 and ensure the HSC and/or HSR are trained as per legislated requirements.</p> <p>201 An employer must ensure that members of a joint health and safety committee or a health and safety representative are trained in the following:</p> <ul style="list-style-type: none"> (a) the roles and responsibilities of co-chairs and members on joint health and safety committees and health and safety representatives; (b) the obligations of work site parties; (c) the rights of workers. 	

4.06	Do the HSC members and/or HS representative(s) understand their duties and responsibilities?	0/10
	<p>Verified by HSC and/or HS representative(s) interviews</p> <p>Interviewees must be able to describe their general duties and responsibilities.</p> <p>Examples may include: participation in hazard identification, investigations, and inspections, development and promotion of hazard controls, handling health and safety concerns.</p> <p>Points are awarded based on percentage of positive responses.</p> <p>Provide details/examples.</p>	
4.07	Do HSC members and/or the HS representative(s) participate in the formal hazard assessment process?	0/5
	<p>Verified by HSC and/or HS representative(s) interviews.</p> <p>Interviewees must be able to confirm their involvement in the formal hazard assessment process, and/or in the regular review of formal hazard assessments.</p> <p>This question can be N/A if the organization is not legislated to have a HSC/HS Representative.</p> <p>Points are awarded based on a minimum 80% positive responses.</p> <p>Provide details/examples.</p>	
	New question	
4.08	Do HSC members and/or the HS representative(s) participate in health and safety activities?	0/10
	<p>Verified by employee interviews.</p> <p>Interviewees must be able to confirm the committee members and/or representative(s) are involved in health and safety activities.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
4.09	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?	0/5
	<p>Verified by review of documentation.</p> <p>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.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>Provide details/examples.</p>	
4.10	How do employees bring forward health and safety concerns and complaints?	0/10
	<p>Verified by employee interviews.</p> <p>Employees must be able to explain how they bring forward health and safety concerns and complaints to the HSC and/or HS representative(s) as per the process from 4.9.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	

4.11	Is a process in place for the HSC and/or HS representative(s) to make health and safety recommendations to management?	0/10
	<p>Verified by manager/supervisor interviews</p> <p>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.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
4.12	Are health and safety concerns/complaints received by the HSC/HS Representative resolved in a timely manner?	0/5
	<p>Verified by review of documentation.</p> <p>Consider the complexity of the concerns/complaints to determine timeliness.</p> <p>Points are awarded based on percentage of positive indicators.</p> <p>This question may be marked "n/a" if there were no concerns/complaints in the previous 12 months. Provide justification.</p> <p>Provide details/examples.</p>	
4.13	Does the HSC hold meetings as identified in the terms of reference?	0/5
	<p>Verified by review of documentation.</p> <p>Review committee meeting minutes to confirm the meeting frequency is being met as per the HSC Terms of Reference.</p> <p>Points are awarded based on percentage of positive 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> <p>Provide details/examples.</p>	
4.14	Does the HSC/HS representative review the employers work site inspection documentation?	0/5
	<p>Verified by documentation.</p> <p>Review any meeting minutes, inspection records or other documentation that can verify that the HSC/HS representative have reviewed inspection documentation.</p> <p>Points are awarded based on percentage of positive indicators.</p> <p>Provide details/examples.</p>	
	<p>Question update - Used to say "Are formal inspections completed prior to HSC meetings?"</p>	
4.15	Are the names and contact information of the HSC members and/or the HS representative(s) readily available?	0/5
	<p>Verified by observation.</p> <p>The names and the contact information for the HSC members and/or the HS representative(s) must be readily available at each represented work site.</p> <p>Points are awarded based on the percentage of work sites that have contact information readily available.</p> <p>Provide details/examples.</p>	
	<p>Verbiage change for the question. Used to say "Have the names and contact information of the HSC members and/or the HS representative(s) been posted?"</p>	

	Element 5: Qualifications, Orientation, and Training	
	0/90 (0%)	
5.01	Is there a process to ensure employees are qualified for the position for which they are being considered?	0/15
	<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>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.</p> <p>Score: 5 points for documentation, 0 - 10 points for interviews</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Documentation points are awarded based on 100% positive indicators. Interview points are awarded based percentage of positive responses.</p> <p>Provide details/examples.</p>	
5.02	Does the orientation process cover OHS rights and critical health and safety information?	0/5
	<p>Verified by review of orientation documentation.</p> <p>The OHS rights, and critical health and safety information must be reviewed with the employee. These must, at minimum include:</p> <ol style="list-style-type: none"> 1. Right to know 2. Right to participate 3. Right to refuse dangerous work 4. Emergency response procedures 5. Rules of enforcement 6. High risk hazards 7. Hazard reporting 8. Incident reporting 9. Violence and Harassment <p>Points are awarded based on 100% positive indicators from documentation.</p>	
	<p>Question & guideline update</p> <p>- Question no longer includes "prior to starting regular duties".</p> <p>- The required criteria in the guidelines has been updated.</p>	
5.03	Do managers/supervisors ensure orientations were conducted prior to employees starting regular duties?	0/10
	<p>Verified by manager/supervisor and worker interviews.</p> <p>Managers/supervisors and workers must be able to describe the process used to ensure workers have received orientation prior to employees starting regular duties. If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Points are awarded based percentage of positive responses.</p> <p>Provide details/examples.</p>	

5.04	Are managers/supervisors provided with training to support them in their role?	0/15
	<p>Verified by review of training documents and manager/supervisor interviews.</p> <p>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.).</p> <p>Score: 0-5 for documentation, 0-10 for interviews</p> <p>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.</p> <p>If the organization does not have supervisors, this question can be asked to only managers Documentation points are awarded based on percentage of positive indicators.</p> <p>Interview points are awarded based on percentage of positive responses.</p> <p><i>Provide details/examples</i></p>	
5.05	Does job-specific training include hazards and controls as well as a practical demonstration?	0/10
	<p>Verified by review of training documents.</p> <p>Employees must be trained in the hazards and controls associated with their job which includes a practical demonstration by the trainee to ensure they have acquired the necessary knowledge or skill related to the subject matter.</p> <p>Due to the nature of some tasks, practical demonstrations might not be suitable.</p> <p>Examples of training documents may include a combination of reviewing policies, procedures, practical demonstrations, safe work practices, hazard assessments and training certificates/manuals (e.g. WHMIS 2015, Confined Space Entry, TDG, tasks specialized to the employer, using specialized tools and equipment, etc.).</p> <p>Documentation points are awarded based on percentage of positive indicators.</p> <p><i>Provide details/example(s).</i></p>	
	Question update - verbiage change. Validation method change.	
5.06	Do employees receive job specific training when they are assigned new tasks, or when an operational change affects their work?	0/10
	<p>Verified by employee interviews.</p> <p>Confirm employees receive training when they are re-assigned to a new task or when there are changes to the operations that affects the work they do.</p> <p>Points are awarded based on percentage of positive responses.</p> <p><i>Provide details/examples.</i></p>	
	Guideline & validation method update.	

5.07	Is there a process to assess competency of new and re-assigned workers?	0/10
	<p>Verified by reviewing documentation.</p> <p>Verify that the employer has a process on how they determine the competency of their workers (e.g. on the job training, task observation, test, etc.), and the intervals of when they are completed. Reassignment can include a new job, task, or when a worker moves to a new location. Operational changes may require new competency assessments to be completed.</p> <p>Points are awarded based percentage of positive indicators.</p> <p>Provide details/examples.</p>	
	Guideline & validation method update.	
5.08	Are competency assessments conducted?	0/5
	<p>Verified by manager/supervisor interviews.</p> <p>Managers and supervisors must be able to indicate how they ensure competency assessments are conducted as required by the process in 5.7.</p> <p>If 5.7 is awarded no points, this question is scored 0. Points are awarded based on percentage of positive responses.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/examples.</p>	
	Guideline & validation method update.	
5.09	Is required refresher training provided?	0/10
	<p>Verified by reviewing documentation.</p> <p>An organization is required to determine set timelines/intervals 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 or when operational changes require it. Employers must document any refresher training requirements, and ensure schedules are met.</p> <p>Points are awarded based on the percentage of positive indicators.</p> <p>Provide details/examples.</p>	

	Element 6: Other Parties at or in the Vicinity of the Work Site	
	0/50 (0%)	
6.01	Is a process in place to address the protection of others not under the employer's direction?	0/5
	<p>Verified by review of documentation.</p> <p>The 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.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>Provide details/examples.</p>	
6.02	Is a process in place that includes criteria for evaluating and selecting other employers?	0/5
	<p>Verified by review of documentation.</p> <p>An employer must identify what requirements they use to evaluate and select other employers in order to allow them to conduct work at the employer's work site.</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, this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/examples.</p>	
6.03	Is process in place that includes a system for regularly monitoring and addressing non-compliance with other employers?	0/10
	<p>Verified by review of documentation and manager/supervisor interviews.</p> <p>A process to regularly monitor health and safety performance and correct identified deficiencies is in place for other employers during the period of the contracted services.</p> <p>The contracting employer must have a process to deal with other employers when there is non-compliance to their OHSMS.</p> <p>Score: 5 for documentation, 0-5 for interviews</p> <p>Points are awarded based on 100% positive indicators from documentation. Interview points are based on percentage of positive responses.</p> <p>If the auditor can confirm the audited employer does not use other employers, this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/examples.</p>	
	Question update. Combines old 6.03 & 6.08.	
6.04	Are health and safety orientations provided to visitors? Other employers?	0/10
	<p>Verified by review of documentation.</p> <p>Confirm orientations are provided to other employers, and visitors (e.g. visitor logs with safety information identified, contractor sign off, etc.)</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, part b of this question may be marked not applicable (n/a).</p> <p>Provide details/examples.</p>	

6.05	Does the employer communicate with external work site parties regarding their health and safety responsibilities while on site? Work site hazards and controls? When there are changes to the site?	0/15
	<p>Verified by interviewing managers/supervisors.</p> <p>Interviewees must be able to describe the process in use and provide details/examples of how external work site parties are made aware of their health and safety responsibilities (including reporting incidents, investigating incidents, and reporting unsafe conditions), work site hazards and controls, and any changes that may affect their health and safety.</p> <p>Work site parties can include other employers, suppliers, prime contractors, etc. conducting activities at a work site or receiving products.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
6.06	Is health and safety information readily available to affected external work site parties?	0/5
	<p>Verified by manager/supervisor interviews.</p> <p>Health and safety information is readily available to affected external work site parties.</p> <p>Examples may include hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC and/or HS representative meeting minutes.</p> <p>Work site parties can include other employers, suppliers, prime contractors, etc. conducting activities at a work site or receiving products.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
	Element 7: Inspections	
	0/80 (0%)	
7.01	Is there an inspection process that states the frequency of inspections and includes the following: All areas of the operation? All employee levels?	0/10
	<p>Verified by review of inspection process.</p> <p>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 processes must include the frequency of inspections for each area.</p> <p>b. Participation by all levels (m/s/w) is not expected for every inspection, but each applicable level should be assigned some responsibility in the inspection process in order to award points for all parts of this question.</p> <p>Points are awarded based on percentage positive indicators from documentation.</p> <p>Provide details/examples.</p>	
	Guideline update.	

7.02	Are checklists or forms used for formal inspections?	0/5
	<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> <p>Provide details/examples.</p>	
7.03	Have individuals leading formal inspections received training?	0/10
	<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 of positive indicators from documentation.</p> <p>Provide details/examples.</p>	
7.04	Are formal inspections carried out in accordance with the policy and/or process for all areas of the operation, by managers, supervisors, and workers?	0/20
	<p>Verified by review of inspection records.</p> <p>a. The frequency in the policy and/or process is being met for all areas of the operation.</p> <p>b-d. Records must show participation from each level stated in the policy and/or process is being met (question 7.1).</p> <p>If 7.1 is awarded no points, this question is scored 0. If the employer does not have managers or supervisors, one of these levels can be marked as n/a.</p> <p>Points are awarded based on percentage positive indicators from documentation.</p> <p>Provide details/examples.</p>	
	Question update - Part A is new.	
7.05	Do management inspections include a component of employee observation?	0/5
	<p>Verified by senior manager/manager interviews.</p> <p>Senior managers/managers must be able to describe how they include observations of OHS behaviors and conditions during their inspections (formal or informal).</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
	New Question - Pulled from guidelines of old 7.04.	

7.06	Is there a system to correct deficiencies identified through formal inspections?	0/5
	<p>Verified by manager/supervisors interviews.</p> <p>Interviewees must be able to describe the how they ensure deficiencies identified through formal inspections will be corrected.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
7.07	Have deficiencies identified through formal inspections been corrected?	0/25
	<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. Where no deficiencies are identified or not observable, this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/examples.</p>	
Element 8: Emergency Response		
0/75 (0%)		
8.01	Have written emergency response plans been developed for potential emergencies?	0/10
	<p>Verified by review of emergency response plans applicable to the operations.</p> <p>Emergency response plans should be specific to the employer including those required by legislation (Alberta) or federal legislation for federally regulated employers.</p> <p>Examples of potential emergencies to consider could include: fire, severe weather, medical emergencies, hazardous materials release, violence, suspicious persons, and other situations appropriate for the nature of the work being performed</p> <p>Provide details/examples of emergencies identified.</p> <p>Points are awarded based on the percentage of positive indicators.</p> <p>Provide details/examples.</p>	
Guideline update.		

8.02	Do written emergency response plans include communication systems, emergency phone numbers, a list of emergency response personnel, appropriate response and monitoring the effectiveness of the plan?	0/10
	<p>Verified by review of emergency response plans and/or procedures.</p> <p>A. Communication systems include alarms, procedures for contacting both internal and external emergency contacts, etc.</p> <p>B. Emergency phone numbers must include more than “9-1-1.”</p> <p>C. A list of persons designated to respond to specific types of emergencies.</p> <p>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.).</p> <p>E. A requirement to monitor the effectiveness of the plan through drills and actual responses.</p> <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 for each sub-point.</p> <p>Provide details/examples.</p>	
8.03	Have employees received emergency response training appropriate to their individual responsibility?	0/10
	<p>Verified by employee interviews.</p> <p>Interviewees must be able to describe the type of training they received in emergency response.</p> <p>Examples include first aid, fire warden, in house, industry specific, incident command system, etc.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
8.04	Do employees understand their responsibilities under the emergency response plan?	0/10
	<p>Verified by employee interviews.</p> <p>Interviewees must be able to describe how they would respond in the event of an emergency.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
8.05	Are emergency response drills conducted?	0/10
	<p>Verified by review of records.</p> <p>Records of drills must be kept. Drills are required at least once every 12 months applicable to the operations.</p> <p>If records cannot be found from the past 12 months, points cannot be awarded.</p> <p>An emergency response drill could include a practice drill or table top exercise. (e.g. evacuation, lockdown, shelter in place, etc.).</p> <p>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.</p> <p>Actual emergency responses cannot be used as a drill for scoring this question.</p> <p>Points are awarded based on the percentage of positive indicators.</p> <p>Provide details/examples.</p>	

8.06	Have deficiencies in the emergency response plan identified through a drill been corrected?	0/5
	<p>Verified by review of documentation.</p> <p>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.</p> <p>Points are awarded based on percentage of positive indicators.</p> <p>This question may be marked not applicable (n/a) only if deficiencies were not identified from drills. Provide justification.</p> <p>If points have not been awarded in question 8.5, then 0 points must be awarded for this question.</p> <p>Provide details/examples.</p>	
8.07	Have deficiencies in the emergency response plan identified through an actual emergency response been corrected?	0/5
	<p>Verified by review of emergency response documentation.</p> <p>Notes must contain examples of how identified issues were corrected.</p> <p>Points are awarded based on percentage of positive indicators.</p> <p>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.</p> <p>Provide details/examples.</p>	
8.08	Do the numbers of employees trained in first aid meet legislated requirements?	0/5
	<p>Verified by review of documentation.</p> <p>Refer to legislation (Alberta) or federal legislation if federally regulated employers, and review first aid certificates. To award points, the auditor must verify that legislated first aid requirements have been met across all shifts.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>Provide details/examples.</p>	
8.09	Do first aid equipment, supplies, and facilities meet legislated requirements?	0/10
	<p>Verified by observation.</p> <p>Equipment, supplies and facilities must meet the identified legislative requirements (Alberta) or Federal legislation for federally regulated employers.</p> <p>The auditor must verify that legislated first aid obligations have been met at all visited sites and facilities.</p> <p>Points are awarded based on 100% positive indicators from observations.</p> <p>Provide details/examples.</p>	

	Element 9: Incident Investigation	
	0/100 (0%)	
9.01	Is there a process that requires the reporting of incidents, near misses, occupational illness, and work refusals?	0/5
	<p>Verified by review of documentation.</p> <p>To award full points, a process must require the reporting of:</p> <ol style="list-style-type: none"> 1. Incidents 2. Near misses 3. Occupational illness 4. Work refusals <p>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> <p>Provide details/examples.</p>	
9.02	Can employees explain the reporting procedures for incidents, near misses, occupational illness, and work refusals?	0/10
	<p>Verified by employee interviews.</p> <p>Interviewees must be able to explain the process for reporting incidents, near misses, occupational illness, and work refusals.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	
9.03	Are employees reporting incidents, occupational illnesses and work refusals?	0/5
	<p>Verified by review of documentation.</p> <p>Review completed incident, occupational illness, and work refusal reports that support reporting is taking place.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>This question may be marked not applicable (n/a) if there were no incidents in the previous 12 months. Provide justification.</p> <p>Provide details/examples.</p>	
	Guideline update - now based on 100% positive indicators, used to be 70%.	
9.04	Are employees reporting near misses?	0/5
	<p>Verified by review of documentation.</p> <p>Review completed near miss reports to support that reporting is taking place.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>If the employer is considered low hazard AND did not have a near miss in the previous 12 months, this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/examples.</p>	
	Guideline update - now based on 100% positive indicators, used to be 70%.	

9.05	<p>Is there a procedure for investigating incidents, near misses, occupational illness, and work refusals?</p> <p>Verified by review of documentation. The procedure must include: 1. How to investigate incidents, near misses, occupational illness, work refusals 2. How to identify root causes 3. The requirement to implement corrective actions Points are awarded based on 100% positive indicators from documentation. Provide details/examples.</p>	0/5
9.06	<p>Have the individuals leading investigations been trained in investigation techniques?</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. Provide details/examples.</p>	0/5
9.07	<p>Do managers/supervisors participate in investigations?</p> <p>Verified by manager/supervisor interviews. Not all managers/supervisors need to actively participate in incident investigation; however, all managers must be able to describe manager involvement in the investigation process. If the organization does not have supervisors, this question can be asked to only managers. Points are awarded based on the percentage of positive responses. Provide details/examples.</p>	0/10
9.08	<p>Do workers participate in the investigation process?</p> <p>Verified by worker interviews. Not all workers need to actively participate in the incident investigation process; however, all workers must be able to describe how workers participate in the investigation process. Note: Participation must be more than the injured worker or witness. Points are awarded based on the percentage of positive responses. Provide details/examples.</p>	0/10
9.09	<p>Do investigations identify underlying factors? Recommend corrective actions?</p> <p>Verified by reviewing completed investigation reports. A. Investigations must identify the underlying factors (root causes) resulting from deficiencies in the health and safety system. B. Corrective actions must be designed to implement system changes that will prevent reoccurrence (e.g., advising employees to “be more careful” is not an acceptable corrective action). Points are awarded based on the percentage of reviewed investigation reports that identify causes and recommend corrective action. If there have been no investigations required in the previous 12 months, refer to blank investigation forms or the investigation process. Provide details/examples.</p>	0/10
	<p>Verbiage update - Question now states underlying causes instead of root causes. Guidelines include root causes which is the same thing as underlying causes.</p>	

9.10	Are corrective actions identified in investigation reports implemented to prevent reoccurrence?	0/15
	<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.). For corrective actions that are observable, award points that confirms implementation compared to the corrective actions identified.</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>Provide details/examples.</p>	
9.11	Are investigations completed in a timely manner?	0/5
	<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>If no investigations have been required in the previous 12 months, review the process to determine that the employer indicates timeliness.</p> <p>Points are awarded based on percentage of positive indicators.</p> <p>Provide details/examples.</p>	
9.12	Do managers/supervisors ensure investigations are complete as required by the investigation procedures?	0/5
	<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 9.05.</p> <p>Points are awarded based on percentage of positive indicators.</p> <p>Provide details/examples.</p>	
9.13	Are completed investigation reports/results communicated to employees?	0/10
	<p>Verified by employee interviews.</p> <p>Interviewees must be able to describe how investigation results are communicated.</p> <p>Points are awarded based on the percentage of positive responses.</p> <p>Provide details/examples.</p>	

	Element 10: System Administration	
	0/70 (0%)	
10.01	Is there a system to confirm management communicates health and safety issues to workers? Workers can provide feedback on health and safety issues?	0/20
	<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>Points are awarded based on percentage of positive responses.</p> <p>Provide details/examples.</p>	
10.02	Is health and safety information readily available to employees?	0/5
	<p>Verified by employee interviews.</p> <p>Health and safety information (e.g., hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC meeting minutes, etc.) is readily available to employees.</p> <p>Points are awarded based on percentage of positive responses.</p> <p>Provide details/examples.</p>	
10.03	Are health and safety records/statistics analyzed to identify trends on at least an annual basis?	0/10
	<p>Verified by review of documentation.</p> <p>Health and safety records/statistics can be done in many different ways including company specific monthly, quarterly or annual health and safety reports, analysis of injury reports, or graphical reports of Health and safety statistics to show trends.</p> <p>Notes must provide details/examples of the records/statistics being analyzed, and any trends/gaps identified by the employer.</p> <p>Points are awarded based on 100% positive indicators from documentation.</p> <p>Provide details/examples.</p>	
	<p>Guideline update</p> <p>- Guidelines verbiage has been updated</p> <p>- Scoring now based on 100% positive indicators, used to be 70%.</p>	
10.04	Is senior management/management held accountable for the implementation of the OHSMS?	0/5
	<p>Verified by senior manager and manager interviews.</p> <p>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.</p> <p>Points are awarded based on a minimum 80% positive interview results.</p> <p>Provide details/examples.</p>	

10.05	Is an OHSMS evaluation/audit or maintenance action plan completed at least annually?	0/5
	<p>Verified by review of previous OHSMS evaluation/audits or maintenance action plans. OHSMS evaluation/audit or maintenance action plans must be completed annually to support continuous improvement. Points are awarded based on 100% positive indicators from documentation. If the company did not perform a COR audit or maintenance action plan the previous year, this question may be marked not applicable (n/a). Provide justification. Provide details/examples.</p>	
	<p>Verbiage update - Clarifying that OHSMS evaluation means annual audit. - Maintenance action plan means an action plan in lieu of an audit. - Maintenance action plan is different than the post audit action plan created from your audit results.</p>	
10.06	Are results from the OHSMS evaluation/audit or maintenance action plan communicated to employees?	0/10
	<p>Verified by employee interviews. Interviewees must be able to describe how the OHSMS evaluation/audit or maintenance action plan results are communicated to them. Provide examples. Points are awarded based on percentage of positive responses. If the company did not perform a COR audit or maintenance action plan the previous year, this question may be marked not applicable (n/a). Provide justification. Provide details/examples.</p>	
10.07	Was a plan developed to address identified OHSMS deficiencies from the previous evaluation/audit?	0/5
	<p>Verified by review of documentation. To award points for this question, a plan must have been developed to address deficiencies identified in the past year. A plan format MUST include: 1. Measureable action items, 2. Proposed completion dates, and 3. Individuals responsible for follow-up. If the company did not perform a COR audit or maintenance action plan the previous year, this question may be marked not applicable (n/a). Provide justification. Provide details/examples.</p>	
	<p>Guideline update - now states that the post audit action plan "must" include 3 criteria.</p>	
10.08	Has the plan been implemented?	0/10
	<p>Verified by review of documentation. Verify if the items identified in question 10.07 have been initiated or implemented. Points awarded are based on the percentage of items initiated and/or completed on the plan. This question may be marked not applicable (n/a) if question 10.7 has been marked not applicable. Provide justification. Provide details/examples.</p>	
	Audit Total Score: 0/945 (0%)	
	<i>Concluding Comments (required)</i>	
	<i>(Comments could include congratulations to the employer if successful, next steps if not successful, a recognition of cooperation received, next steps such creating an action plan for continuous improvement, etc.)</i>	