

CCSA TRAINING RESOURCE

Auditor Resources

Guide: What to include in your CCSA COR Audit Report (2024)

Certificate of Recognition / Partnerships Audit Report

View the 'FINDINGS/NOTES' in this Audit Report for help with writing audit justification notes.

In addition to this resource, remember to consult your Auditor Training Manual for tips & tricks on planning, conducting and writing your audit report.

You can practice your own audit by:

- downloading AuditSoft and creating an account,
- selecting the CCSA as your Certifying Partner and starting a new audit,
- then typing EVALUATION in the employer's legal name field and clicking submit!

Last day on site **July 14, 2024**

Certifying partner **Continuing Care Safety Association**



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COMPANY DETAILS

Employer legal name	CCSA Training Resource
Employer trade name	Organization's Trade Name (If Applicable)
COR number	Organizations COR number (Auditors can ask employer for their last COR certificate) / If no COR, this is Not Applicable, un-check the box above
COR expiry	March 3, 2025
Address	Organization's Address Organization's City (Place of Head Office) AB Organization's Postal Code
Phone number	Organization's Phone Number
Fax	This information is not necessary to include
Regulatory jurisdiction	Provincial

COMPANY CONTACT

Name	Audit Contact's First Name and Last Name
Email	Audit Contact's Direct E-mail Address

WCB ACCOUNTS

PROVINCE	ACCOUNT NUMBER	INDUSTRY CODE	WORK DESCRIPTION
AB	000000	82800	Seniors' Supportive Living/Lodges

AUDITOR DETAILS

Role	Internal
Name	Lead Auditor's First Name and Last Name
Company	Organization Name (If Internal, this is the organization where you work)
Address	Organization's Address Organization's City (or city where the Lead Auditor resides) AB Organization's Postal Code
Phone	Best Contact Phone Number for the Lead Auditor (Recommended to include the direct number)
Fax	This information is not necessary to include
Certification number	For Qualifying Auditors, please enter the last date of your training. E.g., 20240530
Email	Best Email Address for the Lead Auditor (Recommended to include the direct email address)

AUDIT DETAILS

Audit purpose	Auditor Qualification
Audit scope	Full
Operations audited	All operations
Total facilities	3
Facilities audited	2
Organisations audited	Single company
Comments	<p><input checked="" type="checkbox"/> If the audit is going to be conducted as a Team Audit, then check-mark the box above and enter the full names of each Team Auditor (under Audit Team).</p> <p>IMPORTANT: All team auditors must participate in DIO and these Comments need to be clear that each auditor participated in one portion of Documentation, one portion of Interviews, and one portion of Observations; the participation could be at any site or all sites. The lead auditor responsible for writing the final audit report should specify which team auditors complete which parts within this Comments box.</p>
First day on site	July 3, 2024
Last day on site	July 14, 2024
Audit submission date	July 21, 2024

SITE SAMPLING INFORMATION

Site / Operations	Type	Province	Last audited	Documentation	Interview	Observation	Senior manager	Manager	Supervisor	Full time worker	Part time worker	Casual worker	Contract worker
1 Athabasca H/O	Head office	AB	2024	✓	✓	✓	1	2	3	4	5	6	7
2 Calgary LTC	Fixed	AB	2022	✓	✓	✓	0	6	5	4	3	2	1
3 Edmonton SSL	Fixed	AB	2023				2	1	3	5	4	7	6
TOTAL							3	9	11	13	12	15	14

Total employees	77
Total interviewed	27
Minimum required interviews	21
Recommended interviews	27

Total sites	3
Sites included	2
Minimum required sites to include	2

INTERVIEW SUMMARY

Site	Senior manager	Manager	Supervisor	Full time worker	Part time worker	Casual worker	Contract worker
1 Athabasca	1	1	2	2	3	3	3
2 Calgary	0	3	3	2	2	1	1
Total	1	4	5	4	5	4	4
Total %	33%	44%	45%	31%	42%	27%	29%

	Yes	No
Does the company run multiple shifts?	✓	
Are all shifts represented in the interview sampling?	✓	
Is interview sampling representative of all departments?	✓	
Are new hires and experienced employees represented in the interview sampling?	✓	

REPRESENTATIVE SAMPLING JUSTIFICATION

■ Explain how representative sampling was met:

- numbers of days/evenings/nights
- numbers of experience level (years employed: 0-1, 1-7, 7-14, 15+ years)
- numbers of H&S Committee members and/or representatives

IMPORTANT: To be "representative" the interview sample must consider all the following variables:

- Number of years (include a cross-section of everyone from new hires to experienced personnel)
- Department (include personnel from all departments)
- Levels of Personnel (cross-section of personnel from every staffing level, including PT and casual from all sites included in the audit)

- Shifts (include a sampling of employees from all shifts)
- Company History (if reorganization/restructuring, include personnel from both the "old" and the "new" parts of the company)
- WCB Account/Industry Codes (when the audit encompasses more than one) WCB account and/or industry code, include a sampling of personnel from all industry codes
- Sites (The number of sites included in the audit must be representative of the overall company operations)

SUMMARY SCORE SHEET

ELEMENT	Points possible	Points not applicable	Points available	Points scored	Percentage
1 Management Leadership and Organizational Commitment	100	0	100	94	94%
2 Hazard Assessment	150	0	150	140	93%
3 Hazard Control	130	0	130	130	100%
4 Joint Health and Safety Committees (HSC) and Health and Safety Representatives (HS Representatives)	100	5	95	90	95%
5 Qualifications, Orientation and Training	90	0	90	85	94%
6 Other Parties at or in the Vicinity of the Work Site	50	0	50	45	90%
7 Inspections	80	0	80	75	94%
8 Emergency Response	75	0	75	75	100%
9 Incident Investigation	100	0	100	100	100%
10 System Administration	70	0	70	55	79%
Total	945	5	940	889	95%

EMPLOYER / COMPANY PROFILE

Introductory Comments are required. Include information about the organization, such as,

- brief overview of organization's operations and history,
- how many sites,
- how many employees,
- cohort levels & years in service,
- any new sites the scope of the audit (number of sites in scope and interviews)

EXECUTIVE SUMMARY

The Executive Summary is required. Auditors may choose to either write their Executive Summary from scratch, or Auditors can type in the Executive Summary, refer to the Key Strengths and SFIs that were recorded in the audit and incorporate those into the Executive Summary. Key notes can be incorporated when writing the summary by clicking 'Add to Document' button. Also, when auditors write their justification notes, they can click on 'Append' to add 'Findings and notes', or Key Strength, or Key SFI, to their Executive Summary.

When writing the Executive Summary, keep in mind that some employers may only review this section, even though the full Audit Report contains more comprehensive information, therefore it is crucial to include information that will contribute to their system's continual improvement. The Audit Report and Executive Summary will be used to create an internal post-audit action plan, so including specific feedback based on your audit findings is essential!

If the auditor chooses to write the Executive Summary from scratch, they should consider including the following items:

- Summary of findings
- List of OHSMS Key Strengths
- List of OHSMS Key Suggestions for Improvement
- Thank the organization for their efforts!

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.

1.1 Is there a written Health and Safety Policy signed by the current senior manager? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by reviewing written policy.

To award the 5 points, the policy must be signed by the current senior manager, and must include:

- 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
- The expectation is that employees will comply with applicable legislation and the organization's own health and safety standards.

Points are awarded based on 100% positive indicators from documentation.

Provide details/example(s).

FINDINGS / NOTES

Quantify (how many of the 4 criteria were met? x/4).

Remember to include positive (and any negative) **examples** from your findings, such as, what content is in the H&S policy and the general H&S responsibilities for various levels.

STRENGTHS

1 to 2 Key Strengths per element are required.

Strength formula: what is good (the benefit) + the benefit to the overall OHSMS (how the benefit can improve safety)

1.2 Is the Health and Safety policy readily available to employees? (0-5 points)	Method	Percentage	Points
	Observation	100%	5/5

GUIDELINES

Verified by observation.

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.

Points are awarded based on the percentage of locations the policy was available.

Provide details/examples.

FINDINGS / NOTES

Where was the policy observed to be located? Was the policy observed in multiple areas?

Remember to include any positive (and negative) **examples** from your findings, such as, which areas of the sites/facilities the policy was observed.

1.3 Is the health and safety policy communicated to employees? (0-5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

Verified by senior manager, manager, and supervisor interviews.

Interviewees must be able to describe how they ensure that the policy is communicated to employees.

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/example(s).

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include any positive (and negative) **examples** from your findings.

IMPORTANT: interviewees should be able to speak to how they themselves communicate the policy, instead of how the company communicates it.

1.4 Are employees aware of the health and safety policy's content? (0-5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

Verified by employee interviews.

Employees must be able to explain, in general terms, the policy's content.

Points are awarded based on the percentage of positive responses.

Provide details/examples.

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include any positive (and negative) **examples** from your findings.

IMPORTANT: interviewees should be able to explain a few points from the H&S policy, instead of just general H&S information.

1.5 Have specific health and safety responsibilities been written for all levels? (0-10 points)	Method	Percentage	Points
	Documentation	85%	9/10

GUIDELINES

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:

- Senior Managers
- Managers
- Supervisors
- Workers

Points awarded based on the percentage of positive indicators.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Written statement of responsibilities, job descriptions, employee contracts and manuals, staff handbooks, etc.

Quantify (how many of the 4 had health and safety responsibilities written? x/4)

Remember to include positive (and negative) **examples** from your findings.

IMPORTANT: Examples of H&S responsibilities should be broken down by role for each, 1) Senior Manager, 2) Manager, 3) Supervisor, 4) Worker.

1.6 Do employees understand their:	Method	Percentage	Points
a) Individual OHS rights? (0-5 points)	Interview	100%	5/5
b) Health and safety responsibilities? (0-5 points)	Interview	100%	5/5

GUIDELINES

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). Employees must be able to explain their health and safety responsibilities (both company and legislated).

Points are awarded based on the percentage of positive responses.

Provide details/examples.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

IMPORTANT: Ensure the justification note speaks to both Part A Individual OHS Rights and Part B H&S Responsibilities (Company and Legislated).

It's recommended to split responses for part B to clearly indicate which responses are for company H&S responsibilities and which responses are for legislated H&S responsibilities.

1.7 Do managers and supervisors understand their responsibility for the health and safety of the workers under their supervision? (5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

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.

Points are awarded based on a minimum 80% positive responses.

If the organization does not have supervisors, this question can be asked to only managers.

Provide details/examples.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings, such as how the manager or supervisor ensures H&S responsibility.

1.8 Are employees evaluated on their individual health and safety accountabilities? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by employee interviews.

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.

Points are awarded based on the percentage of positive responses.

Provide details/example(s).

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

1.9 Does senior management communicate to employees, at least annually, the organization's commitment to health and safety? (10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by employee interviews.

Notes must include examples of how senior management communicates health and safety commitment.

Points are awarded based on a minimum 80% positive responses.

Provide details/examples.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

1.10 Does senior management demonstrate commitment by participating in health and safety activities? (10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by employee interviews.

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.).

Points are awarded based on a minimum 80% positive responses

Provide details/examples.

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings, such as site tours, participating in inspections and/or committees, using hazard controls, etc.

1.11 Is current health and safety legislation readily available at all work sites? (5 points)	Method	Percentage	Points
	Observation	0%	0/5

GUIDELINES

Verified through observation at work sites.

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.

Points are awarded based on 100% positive indicators from observations.

Provide details/example(s).

FINDINGS / NOTES

Where was the legislation observed and what is the date listed on the legislation to prove it is current?

Remember to include positive (and any negative) **examples** from your findings, such as areas of the facility where legislation is available.

IMPORTANT: If the legislation is a physical copy, include the year of the legislation.

SUGGESTIONS FOR IMPROVEMENT

1 Key SFI per element (for any element scoring less than 100%), or any audit question scoring less than 80%.

SFI formula: the deficiency + the actionable recommendation + the benefit to the overall OHSMS.

1.12 Does management participate in meetings where health and safety is discussed? (0-10 points)	Method	Percentage	Points
	Documentation	100%	10/10

GUIDELINES

Verified by meeting minutes.

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.

Points are awarded based on the percentage of positive indicators of sampled meeting minutes.

Provide details/example(s).

■ FINDINGS / NOTES

Quantify (How many meeting minutes were sampled, and how many had management participate?)

Review meeting minutes **other than HSC meeting minutes**, such as, meetings such as leadership, management, shift change, department/unit change, etc.

Remember to include positive (and any negative) **examples** from your findings, such as the H&S topics discussed.

IMPORTANT: Deduct points based the lack of management attendance; do not deduct points based on whether OHS discussions occurred.

1.13 Does the employer provide resources needed to implement and improve health and safety? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

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.).

Points are awarded based on the percentage of positive responses.

Provide details/examples.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings, such as, paid time, equipment, training,

materials, etc.

2 | HAZARD 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 power lines, 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.

2.1 Have all jobs/positions been identified for the formal hazard assessment process? (0-10 points)	Method	Percentage	Points
	Documentation	100%	10/10

GUIDELINES

Verified by reviewing documentation.

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 (e.g., field, office, administration) as part of the inventory.

Notes must include examples of the jobs/positions identified, and any that were missed.

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.

■ FINDINGS / NOTES

Suggested documentation examples: inventory of job listings, organizational chart, job descriptions and formal hazard assessments.

Quantify (how many job positions does the organization have, and how many of these positions have hazard assessments?)

Remember to include positive (and any negative) **examples** from your findings, such as the jobs and positions identified, and/or any missed.

IMPORTANT: Sampling is NOT acceptable for this question.

2.2 Has the employer compiled a list of tasks associated with each job/position? (0-20 points)	Method	Percentage	Points
	Documentation	100%	20/20

GUIDELINES

Verified by review of formal hazard assessments.

The various tasks associated with each job/position must be identified. Notes must include examples, and list tasks that were missed.

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.

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.

■ FINDINGS / NOTES

Suggested documentation examples: completed hazard assessment forms (may be called formal hazard assessments, job safety analysis, etc.)

Quantify - take a sample (how many of the sampled hazard assessments from 2.1 have tasks listed?)

Remember to include positive (and any negative) **examples** from your findings.

IMPORTANT: Site specific hazard assessments/Field level hazard assessments (SSHAs/FLHAs) cannot be used to score this question.

2.3 Identification of Health and Safety Hazards:		Method	Percentage	Points
a) Are health hazards identified for the tasks associated with each job? (0-10 points)	a	Documentation	100%	10/10
b) Are safety hazards identified for the tasks associated with each job? (0-10 points)	b	Documentation	100%	10/10

GUIDELINES

Verified by review of formal hazard assessments.

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:

- 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.)

Score:

- 0 - 10 points for health hazards
- 0 - 10 points for safety hazards

Note: All hazard categories may not be applicable to every task identified on formal hazard assessments.

Points are awarded for each hazard type based on the 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 – 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.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Completed hazard assessment forms (may be called formal hazard assessments, job safety analysis, etc.)

Quantify - (how many of the sampled hazard assessments from 2.2 have health and safety hazards listed?)

Remember to include positive (and any negative) **examples** from your findings, such as **both** health and safety hazards identified, and any that may have been missed.

IMPORTANT: Justification notes should be specific to part A and part B.

Site specific hazard assessments/Field level hazard assessments (SSHAs/FLHAs) cannot be used to score this question.

2.4 Have the identified health and safety hazards been evaluated according to risk? (0-10 points)	Method	Percentage	Points
	Documentation	100%	10/10

GUIDELINES

Verified by review of formal hazard assessments to confirm that each hazard identified in question 2.3 has been individually 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.

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.

Provide details/examples.

■ FINDINGS / NOTES

Suggested documentation examples: Completed hazard assessment forms (may be called formal hazard assessments, job safety analysis, etc.)

Quantify - should be using the sample as in 2.2, include high hazards from the sample (how many of the sampled hazard assessments have been evaluated for risk?)

Remember to include positive (and any negative) **examples** from your findings.

IMPORTANT: Justification note must describe the system in use.

Site specific hazard assessments/Field level hazard assessments (SSHAs/FLHAs) cannot be used to score this question.

2.5 Is senior management knowledgeable about the highest hazard tasks related to their operations? (10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by senior manager interviews.

Senior management must be knowledgeable of the highest hazard tasks related to their operations (identified in question 2.4).

Points are awarded based on a minimum 80% positive responses.

Provide details/examples.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Question needs to be asked to all senior manager interviewees. Verify they are knowledgeable of the highest hazard tasks related to their operations.

Remember to include positive (and any negative) **examples** from your findings.

IMPORTANT: Score this question based on the highest hazards listed in 2.4.

2.6 Do the following participate in the formal hazard assessment process:	Method	Percentage	Points
a) Managers? (5 points)	Interview	100%	5/5
b) Supervisors? (5 points)	Interview	100%	5/5

GUIDELINES

Verified by manager/supervisor interviews.

Confirm that management and supervisory levels are involved in the formal hazard assessment process, and/or in the regular review of formal hazard assessments.

If the organization does not have supervisors, then 2.6b can be N/A.

Points are awarded based on a minimum 80% positive responses.

Provide details/examples.

FINDINGS / NOTES

Remember to include positive (and any negative) **examples**, such as, annual review at roundtable meeting or bi-annual review in online meeting, etc.

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

IMPORTANT: Interviewees should be able to speak to the frequency of formal hazard assessment reviews and how they are involved in the process. Justification note should address both manager and supervisor responses.

Site specific hazard assessments/Field level hazard assessments (SSHAs/FLHAs) cannot be used to score this question.

2.7 Have workers participated in the development, and/or review of the formal hazard assessments? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by worker interviews.

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.

Points are awarded based on the percentage of positive responses.

Provide details/examples.

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

2.8 Are employees designated to lead the formal hazard assessment process trained? (0-5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

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.

Provide details/example(s).

■ FINDINGS / NOTES

Auditor must first confirm who leads the processes by reviewing the hazard assessments forms, then confirming whether those who were leading the process have been trained through a review of the training records.

Suggested documentation examples: Training records of individuals conducting hazard assessments, course materials for hazard assessment training, etc.

Quantify - how many of those, who were determined to be leads, had training according to the training documents?) i.e., based on the number of individuals identified on the sampled Hazard Assessments, and the number of those individuals trained.

Remember to include positive (and any negative) **examples** from your findings.

IMPORTANT: Site specific hazard assessments/Field level hazard assessments (SSHAs/FLHAs) cannot be used to score this question.

2.9 Is there a written policy and/or process to review formal hazard assessments? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

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:

- On a predetermined frequency 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.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Policy or process to review formal hazard assessments. May include documents outlining the process/procedural changes and updated hazard assessment forms, decisions reached in meeting minutes, memos directing a hazard control be implemented, supervisor's log book, etc.

Quantify (how many of the 6 criteria were met?)

Remember to include positive (and any negative) **examples** from your findings of the policy and/or process.

IMPORTANT: Site specific hazard assessments/Field level hazard assessments (SSHAs/FLHAs) cannot be used to score this question.

2.10 Are formal hazard assessments reviewed as per the policy and/or process? (0-5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

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.

Points are awarded based on percentage of positive responses.

Provide details/example(s).

■ FINDINGS / NOTES

Quantify (how many hazard assessment leads were interviewed and how many confirm they review as mentioned in policy 2.9)

Remember to include positive (and any negative) **examples** from your findings.

This question is only asked to individuals who lead hazard assessments.

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)	Method	Percentage	Points	
	a	Documentation	25%	0/5
	b	Documentation	50%	0/5

GUIDELINES

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.

Provide details/example(s).

■ FINDINGS / NOTES

All employers should have a Site Specific Hazard Assessment/Field Level Hazard Assessment policy/procedure in place, even if they do not think they will use it. All employees need to know the process and how to use it if needed.

Suggested documentation examples: Documents outlining the policy and/or process and procedure for conducting site specific hazard assessments.

Quantify (x/2, were the 2 criteria met?)

Remember to include positive (and any negative) **examples** from your findings, such as the SSHA/FLHA policy in use.

IMPORTANT: Justification note should speak to both parts A and B.

Part B can only be marked as Not Applicable if the employer does not have temporary/mobile work sites. Provide justification/example for marking Part B as N/A.

Only Site Specific Hazard Assessments/Field Level Risk Assessments/Field Level Hazard Assessments can be used to score this question.

■ SUGGESTIONS FOR IMPROVEMENT

1 Key SFI per element (for any element scoring less than 100%), and/or any audit question scoring less than 80%.

SFI formula: the deficiency + the actionable recommendation + the benefit to the overall OHSMS.

2.12 Have site-specific hazard assessments been:		Method	Percentage	Points
a) conducted before work begins on the day of the job? (5 points)	a	Documentation	100%	5/5
b) repeated if changes are introduced? (5 points)	b	Documentation	100%	5/5

GUIDELINES

Verified by review of completed site-specific hazard assessments

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. Points are awarded based on 100% positive indicators from documentation.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Completed site specific hazard assessments.

Quantify (how many Site Specific Hazard Assessments were reviewed?)

Remember to include positive (and any negative) **examples** from your findings, such as completed forms, or instances identified which indicate an SSHA/FLHA should have been completed but was not completed.

IMPORTANT: Only Site Specific Hazard Assessments/Field Level Risk Assessments/Field Level Hazard Assessments can be used to score this question.

2.13 Have controls been identified for site specific hazard assessments? (0-5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation.

Site-specific hazard assessments 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.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Completed site specific hazard assessments.

Quantify (how many Site Specific Hazard Assessments were reviewed and how many of the sampled SSHA/FLHAs from 2.12 have controls listed?)

Ensure justification note outlines that controls are being verified, not tasks.

Remember to include positive (and any negative) **examples** from your findings, such as identified controls, and any hazard on the SSHA/FLHA that did not list controls.

IMPORTANT: Only Site Specific Hazard Assessments/Field Level Risk Assessments/Field Level Hazard Assessments can be used to score this question.

2.14 Do site-specific hazard assessments involve affected employees at the work site? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by manager/supervisor and worker interviews.

Interviewees must be able to describe how they participate in the site-specific hazard assessment process.

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.

If the organization does not have supervisors, this question can be asked to only managers.

Provide details/example(s).

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, then include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) examples from your findings.

Not Applicable can only be used if SSHAs/FLHAs were NOT required in the last 12-months. Provide justification/example

	Method	Percentage	Points
2.15 Is there a system in place for workers to report newly identified hazards? (0-10 points)	Interview	100%	10/10

GUIDELINES

Verified by worker interviews.

Workers must be able to describe the system to report hazards, such as unsafe or unhealthy conditions or practices.

Points are awarded based percentage of positive responses.

Provide details/examples.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings, such as the system in use to report hazards.

IMPORTANT: This question is applicable to all workers.

■ STRENGTHS

1 to 2 Key Strengths per element are required.

Strength formula: what is good (the benefit) + the benefit to the overall OHSMS (how the benefit can improve safety)

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.).

3.1 Have controls been identified for the hazards listed in the formal hazard assessments? (0-10 points)	Method	Percentage	Points
	Documentation	100%	10/10

GUIDELINES

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.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Completed hazard assessment forms (may be called formal hazard assessments, job safety analysis, etc.)

Quantify (how many hazard assessments were reviewed, and did all have controls identified?)

Remember to include positive (and any negative) **examples** from your findings, such as, each type of control indicated on the HAs, or any missing types of controls.

Missing controls are not necessarily specific controls for specific hazards; Auditor should look for trends such as

- lack of engineering controls for a significant number of hazards,
- missing identification of the SWP specific to the hazard,
- or just stating 'training'

IMPORTANT: justification note must include some controls for highest hazard items in sample to verify they have priority.

Site specific hazard assessments/Field level hazard assessments cannot be used to score this question.

3.2 Have the identified engineering controls been implemented? (0-20 points)	Method	Percentage	Points
	Observation	100%	20/20

GUIDELINES

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 some controls for highest hazard items in the sample to verify they have been given priority.

Points are awarded based on the percentage of engineering controls sampled from the formal hazard assessment that have been observed.

Provide details/examples.

■ FINDINGS / NOTES

Remember to include positive (and any negative) **examples** from your findings, such as, the engineering controls sampled and confirmed implemented through observation; examples of any that were not implemented.

IMPORTANT: justification note must include some controls for highest hazard items in sample to verify they have priority. The note should also be clear about which controls observed are specifically listed on the formal hazard assessment.

3.3 Have the identified administrative controls been implemented? (0-20 points)	Method	Percentage	Points
	Documentation	100%	20/20

GUIDELINES

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 some controls for highest 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.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Completed hazard assessment forms, job procedures, work practices, rules, job schedule or rotation of workers, training records, etc. Auditor can check a schedule to verify the control ‘taking breaks’.

Quantify (number of admin controls sampled, number of admin controls confirmed in place; pull through from question 3.1)

Remember to include positive (and any negative) **examples** from your findings.

IMPORTANT: Justification notes should be clear about which controls observed are specifically listed on the formal hazard assessment. Also, the justification note must include some controls for highest hazard items in sample to verify they have priority.

3.4 Have the identified personal protective equipment (PPE) controls been implemented? (0-20 points)	Method	Percentage	Points
	Observation	100%	20/20

GUIDELINES

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 some controls for highest hazard items in the sample to verify they have been given priority.

Points are awarded based on the percentage of controls sampled from the formal hazard assessment that have been observed.

Provide details/examples.

■ FINDINGS / NOTES

Remember to include positive (and any negative) **examples** from your findings, such as, the PPE controls sampled and confirmed implemented through observation and/or any that were not implemented. Justification note should include a brief description of which role was observed using the PPE and during which task.

IMPORTANT: The justification note must include some controls for highest hazard items in sample to verify they have priority.

3.5 Are changes to hazard controls communicated to affected employees? (0-5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

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 response.

Provide details/examples.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

3.6 Are employees using the established hazard controls? (0-15 points)	Method	Percentage	Points
	Interview	100%	5/5
	Observation	100%	10/10

GUIDELINES

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.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Quantify (number of controls observed as being used by employees).

Remember to include positive (and any negative) **examples** from your findings.

3.7 Do managers/supervisors enforce the use of hazard controls? (0-5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

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.

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.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

Managers and supervisors must be able to speak to how they enforce controls. Workers must be able to describe the enforcement process.

3.8 Is there a process in place for preventative maintenance of equipment, vehicles, facilities, and tools? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of policy and/or process documents.

Documentation must include a policy and/or process requiring ongoing preventative maintenance for all 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.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Documents outlining the procedure for preventative maintenance process for equipment, vehicles, facilities and tools.

Remember to include positive (and any negative) **examples** from your findings, such as the (PM) Preventative Maintenance policy/process in place, and any PM schedule(s) where applicable.

Examples of applicable PM in facilities may include: mechanical lifts, tubs, localized ventilation, vans, busses, elevators, power tools, etc.

3.9 Is the preventative maintenance process in use? (0-5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation.

Documentation must confirm that preventative maintenance is being performed according to the applicable schedules as identified in question 3.8.

Points are awarded based on the percentage of positive indicators.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: PM records of equipment, tools, and PPE.

Quantify (how many were completed vs. expected to get the ratio/score).

Remember to include positive (and any negative) **examples** from your findings, such as PM completed as per the PM schedule outlined in 3.8.

Auditor should sample completed preventative maintenance forms to verify if the schedule identified in 3.8 is being followed [e.g. sample taken for 6 months to verify if monthly (expected 6 completed for each equipment/tool) and semi-annual (1 expected for each sampled PM check)].

3.10 Is there a system that ensures defective equipment, vehicles, facilities, and tools are taken out of service? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

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.).

Points are awarded based on the percentage of positive responses.

Provide details/example(s).

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

3.11 Does the Violence Prevention Plan meet legislated requirements? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation

Documentation must confirm the employer's Violence Prevention Plan meets legislated requirements (Alberta) or Federal legislation for federally regulated employers.

Points are awarded based on 100% positive indicators

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Violence Prevention Plan that includes policies and procedures.

Quantify (how many of the required criteria are in the policy?)

Remember to include positive (and any negative) **examples** from your findings.

Auditors must refer to the Alberta OHS Code Part 27, Sections 390 to 390.2 and ensure the Violence Prevention Plan meets legislated requirements.

3.12 Does the Harassment Prevention Plan meet legislated requirements? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

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/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Harassment Prevention Plan that includes policies and procedures.

Quantify (how many of the required criteria are in the policy?)

Remember to include positive (and any negative) **examples** from your findings.

Auditors must refer to the Alberta OHS Code Part 27, Sections 390.4 to 390.6 and ensure the Harassment Prevention Plan meets legislated requirements.

3.13 Have the Violence and Harassment plans been reviewed as per legislated requirements? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

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.

Points are awarded based on 100% positive indicators

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Violence and Harassment Prevention Plan(s) that include policies and procedures.

Remember to include positive (and any negative) **examples** from your findings.

Auditors must refer to the Alberta OHS Code Part 27, Sections 390.7(3) and 390.7(4) to ensure the Violence and Harassment Prevention Plans meet legislated requirements.

■ STRENGTHS

1 to 2 Key Strengths per element are required.

Strength formula: what is good (the benefit) + the benefit to the overall OHSMS (how the benefit can improve safety)

4 | JOINT HEALTH AND SAFETY COMMITTEES (HSC) AND HEALTH AND SAFETY REPRESENTATIVES (HS REPRESENTATIVES)

Joint 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 an employer (5-19) chooses to go above legislation and establish a HSC instead of designating a HS representative, they have the option to answer committee questions thus marking the HS representative question not applicable (N/A).

If the employer has 1-4 employees as determined through the audit scope, this element may be marked not applicable (N/A).

4.1 Do the terms of reference for the HSC include all legislated requirements? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation.

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.

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.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Terms of Reference (TOR).

Remember to include positive (and any negative) **examples** from your findings.

Auditors must refer to the Alberta OHS Code Part 13 Section 197 A to H to confirm the organization's Terms of Reference (TOR) include all legislated requirements.

4.2 Is the HSC established as per legislated requirements? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation

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.

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.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: HSR policies, procedures, TOR, meeting minutes, etc.

Remember to include positive (and any negative) **examples** from your findings, such as examples of the established HSC consistent with the organization's TOR. If marks are docked, auditor should include example demonstrating non-compliance with legislation.

May be marked as N/A if the employer is only required to have a HS Rep. Provide justification/example.

4.3 Has a HS representative been designated as per legislated requirements? (0-5 points)	Method	Percentage	Points
	N/A		

GUIDELINES

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/example(s).

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

May be marked as N/A if the employer is only required to have an HSC. Provide justification/example.

4.4 Have duties been written for the HSC and/or HS representative(s)? (5 points)	Method	Percentage	Points
	Documentation	50%	0/5

GUIDELINES

Verified by review of documentation.

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.

Points are awarded based on 100% positive indicators from documentation

Provide details/example(s).

■ FINDINGS / NOTES

Remember to include positive (and any negative) **examples** from your findings, such as examples of appointed HSC or HSR consistent with policy/procedure.

Auditors must refer to the Alberta OHS Act Part 2 Section 13(6) for HSC duties, or Section 14(4) for HSR duties.

■ SUGGESTIONS FOR IMPROVEMENT

1 Key SFI per element (for any element scoring less than 100%), or any audit question scoring less than 80%.

SFI formula: the deficiency + the actionable recommendation + the benefit to the overall OHSMS.

4.5 Have the HSC members and/or the HS representative(s) been trained in their duties and responsibilities? (0-10 points)	Method	Percentage	Points
		Documentation	100%

GUIDELINES

Verified by review of documentation.

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.

Points are awarded based on percentage of positive indicators.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Training records of HSC members and/or HS representatives.

Quantify (number of co-chairs or reps trained; number of HSC members trained)

Remember to include positive (and any negative) **examples** from your findings, such as training records to verify member training (what type of training did they receive?)

Auditors must refer to the Alberta OHS Code Part 13 Section 201 for HSC or rep training requirements.

4.6 Do the HSC members and/or HS representative(s) understand their duties and responsibilities? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by HSC and/or HS representative(s) interviews

Interviewees must be able to describe their general duties and responsibilities.

Examples may include: participation in hazard identification, investigations, and inspections, development and promotion of hazard controls, handling health and safety concerns.

Points are awarded based on percentage of positive responses.

Provide details/examples.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

4.7 Do the HSC members and/or HS representative(s) participate in the formal hazard assessment process? (5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

Verified by HSC and/or HS representative(s) interviews.

Interviewees must be able to confirm their involvement in the formal hazard assessment process, and/or in the regular review of formal hazard assessments.

This question can be N/A if the organization is not legislated to have a HSC/HS Representative.

Points are awarded based on a minimum 80% positive responses.

Provide details/examples.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

4.8 Do HSC members and/or the HS representative(s) participate in health and safety activities? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by employee interviews.

Interviewees must be able to confirm the committee members and/or representative(s) are involved in health and safety activities.

Points are awarded based on the percentage of positive responses.

Provide details/examples.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

4.9 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)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

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.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: HSC and/or HSR policies, TOR, meeting minutes, etc.

Remember to include positive (and any negative) **examples** from your findings, such as illustrating the policy or procedures.

IMPORTANT: Include the process for the receipt, the consideration and the disposition of H&S complaints within the justification note.

4.10 How do employees bring forward health and safety concerns and complaints? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

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) as per the process from 4.8.

Points are awarded based on the percentage of positive responses.

Provide details/example(s).

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

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 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

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.

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.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

4.12 Are health and safety concerns/complaints received by the HSC/HS Representative resolved in a timely manner? (0-5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

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.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Documentation that supports corrective action having been completed in a timely manner (feedback form, emails, HSC meeting minutes, communications, etc.)

Remember to include positive (and any negative) **examples** from your findings, such as the completed corrected actions, and if any were not completed, examples of those.

Quantify (number of documents/meeting minutes sampled).

IMPORTANT: Documentation review should be restricted to data pertaining to how recommendations are made to the HSC. If inspections were used, justification note should clearly state the corrective action completed with specific details.

4.13 Does the HSC hold meetings as identified in the terms of reference? (0-5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation.

Review committee meeting minutes to confirm the meeting frequency is being met as per the HSC Terms of Reference.

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.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: HSC and/or HSR policies, procedures, TOR, meeting minutes, etc.

Remember to include positive (and any negative) **examples** from your findings, such as confirming meetings are held per the TOR (dates, meeting frequency, etc.)

Quantify (number of documents/meeting minutes sampled)

4.14 Does the Joint Health and Safety Committee/HS representative review the employers work site inspection documentation? (0-5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by documentation.

Review any meeting minutes, inspection records or other documentation that can verify that the HSC/HS representative have reviewed inspection documentation.

Points are awarded based on percentage of positive indicators.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Meeting minutes and formal inspections.

Remember to include positive (and any negative) **examples** from your findings, such as confirming the connection between HSC meetings and inspections.

Quantify (number of HSC meeting minutes sampled with corresponding inspections)

IMPORTANT: If an inspection is missed, but the HSC still reviewed documentation available to them, then auditor should deduct marks from Element 7 Inspections (rather than deducting marks in 4.14).

4.15 Are the names and contact information of the HSC members and/or the HS representative(s) readily available? (0-5 points)	Method	Percentage	Points
	Observation	100%	5/5

GUIDELINES

Verified by observation.

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.

Points are awarded based on the percentage of work sites that have contact readily available.

Provide details/examples.

■ FINDINGS / NOTES

Remember to include positive (and any negative) **examples** from your findings, such as areas of the work sites/facilities where

names/contact information was observed, how many member names were posted and if their contact information was posted too.

Quantify (number of observed areas, and/or number of member names).

■ STRENGTHS

1 to 2 Key Strengths per element are required.

Strength formula: what is good (the benefit) + the benefit to the overall OHSMS (how the benefit can improve safety)

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.

5.1 Is there a process to ensure employees are qualified for the position for which they are being considered? (0-15 points)	Method	Percentage	Points
	Documentation	100%	5/5
	Interview	100%	10/10

GUIDELINES

Verified by review of documentation and manager/supervisor interviews.

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.).

Points are awarded based on 100% positive indicators from documentation.

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.

Score:

- 5 points for documentation
- 0 - 10 points for interviews

If the organization does not have supervisors, this question can be asked to only managers.

Documentation points are awarded based on 100% positive indicators. Interview points are awarded based percentage of positive responses.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Blank application forms, hiring records, training records, copies of trade certificates/diplomas/degrees, proof of apprenticeship program, driver's license, etc.

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings, such as illustrating the process.

IMPORTANT: Justification note should speak to parts A and B.

5.2 Does the orientation process cover OHS rights, and critical health and safety information? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of orientation documentation.

The OHS rights, and critical health and safety information must be reviewed with the employee. These must, at minimum include:

- Right to know
- Right to participate
- Right to refuse dangerous work
- Emergency response procedures
- Rules of enforcement
- High risk hazards
- Hazard reporting
- Incident reporting
- Violence and Harassment

Points are awarded based on 100% positive indicators from documentation.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Orientation records, orientation checklist, orientation package/contents.

Quantify (number of criteria met, x/9; number of completed orientations, unless there is not a documented process, or the process does not explicitly state when orientations must occur, then number of documents sampled).

Remember to include positive (and any negative) **examples** from your findings, such as examples of the orientation content.

5.3 Do managers/supervisors ensure orientations were conducted prior to employees starting regular duties? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

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.

If the organization does not have supervisors, this question can be asked to only managers.

Points are awarded based percentage of positive responses.

Provide details/example(s).

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

5.4 Are managers/supervisors provided with training to support them in their role? (0-15 points)	Method	Percentage	Points
	Documentation	100%	5/5
	Interview	100%	10/10

GUIDELINES

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.

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. Interview points are awarded based on percentage of positive responses.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Department/job specific training material and training records.

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings, such as the training provided or the qualifications confirmed.

IMPORTANT: Justification note should speak to both parts A and B.

Focus should be on H&S. Do the Job Descriptions list required training and/or OHS responsibilities?

Training is not necessarily required if the qualifications are substantiated in the organization's hiring process.

5.5 Does job-specific training include hazards and controls as well as a practical demonstration? (0-10 points)	Method	Percentage	Points
	Documentation	100%	10/10

GUIDELINES

Verified by review of training documents

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.

Due to the nature of some tasks, practical demonstrations might not be suitable.

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.).

Documentation points are awarded based on percentage of positive indicators.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Department/job specific training material and training records.

Remember to include positive (and any negative) **examples** from your findings, such as the training provided and **where the practical demonstration occurred**.

Quantify (number of employees who have received job-specific training).

5.6 Do employees receive job specific training when they are assigned new tasks, or when an operational change affects their work? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by employee interviews.

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.

Points are awarded based on percentage of positive responses.

Provide details/example(s).

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

5.7 Is there a process to assess competency of new and re-assigned workers? (0-10 points)	Method	Percentage	Points
	Documentation	50%	5/10

GUIDELINES

Verified by reviewing documentation.

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.

Points are awarded based percentage of positive indicators.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Training policy outlining intervals to be completed, orientation records, training checklists, etc.

Justification note should describe the process for assessing competency of **both** new and re-assigned workers.

Remember to include positive (and any negative) **examples** from your findings.

■ SUGGESTIONS FOR IMPROVEMENT

1 Key SFI per element (for any element scoring less than 100%), or any audit question scoring less than 80%.

SFI formula: the deficiency + the actionable recommendation + the benefit to the overall OHSMS.

5.8 Are competency assessments conducted? (0-5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

Verified by manager/supervisor interviews.

Managers and supervisors must be able to indicate how they ensure competency assessments are conducted as required by the process in 5.7.

If 5.7 is awarded no points, this question is scored 0. Points are awarded based on percentage of positive responses.

If the organization does not have supervisors, this question can be asked to only managers.

Provide details/example(s).

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how

many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings, such as what competency assessments are used, and how many managers/supervisors conduct and/or ensure competency assessments are conducted.

5.9 Is required refresher training provided? (0-10 points)	Method	Percentage	Points
	Documentation	100%	10/10

GUIDELINES

Verified by reviewing documentation.

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.

Points are awarded based on the percentage of positive indicators.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Department/job specific training material and training records.

Remember to include positive (and any negative) **examples** from your findings, such as, the required & completed refresher training; examples of the training interval(s); examples of incomplete refresher training.

Quantify (number of completed refresher training, or number of employees trained).

■ STRENGTHS

1 to 2 Key Strengths per element are required.

Strength formula: what is good (the benefit) + the benefit to the overall OHSMS (how the benefit can improve safety)

6 | OTHER PARTIES AT OR IN THE VICINITY OF THE WORK SITE

Other employers, visitors, and external work site parties must be included in the employer's health and safety management system.

6.1 Is a process in place to address the protection of others not under the employer's direction? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation.

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.

Points are awarded based on 100% positive indicators from documentation.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Policy and/or process to address the protection of others not under the employer's direction.

Remember to include positive (and any negative) **examples** from your findings, such as, what is in the process and/or policy.

Justification note should speak to protection of other workers not under the employer's direction, including visitors and other persons in the vicinity of the work that is being carried out.

6.2 Is a process in place that includes criteria for evaluating and selecting other employers? (5 points)	Method	Percentage	Points
	Documentation	50%	0/5

GUIDELINES

Verified by review of documentation.

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.

Points are awarded based on 100% positive indicators from documentation.

If the auditor can confirm the audited employer does not use other employers, this question may be marked not applicable (n/a). Provide justification.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Process for evaluating and selecting other employers. This may include a policy and/or procedure.

Remember to include positive (and any negative) **examples** from your findings, such as, a brief description of the selection criteria used to evaluate different contractors.

■ SUGGESTIONS FOR IMPROVEMENT

1 Key SFI per element (for any element scoring less than 100%), or any audit question scoring less than 80%.

SFI formula: the deficiency + the actionable recommendation + the benefit to the overall OHSMS.

6.3 Is a process in place that includes a system for regularly monitoring and addressing non-compliance with other employers? (0-10 points)	Method	Percentage	Points
	Documentation	100%	5/5
	Interview	100%	5/5

GUIDELINES

Verified by review of documentation and manager/supervisor interviews.

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.

The contracting employer must have a process to deal with other employers when there is non-compliance to their OHSMS.

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, this question may be marked not applicable (n/a). Provide justification.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Process for monitoring and addressing non-compliance with other employers. This may include a policy and/or procedure.

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings, such as, examples of the monitoring system and process description.

IMPORTANT: Justification note should speak to both parts A and B.

6.4 Are health and safety orientations provided to:		Method	Percentage	Points
a) Visitors? (5 points)	a	Documentation	100%	5/5
b) Other employers? (5 points)	b	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation.

Confirm orientations are provided to other employers, and visitors (e.g., visitor logs with safety information identified, 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, part b of this question may be marked not applicable (n/a).

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Orientation records, orientation checklist, orientation package/contents for - visitors, other employers, and/or self-employed persons.

Quantify (number of completed visitor orientations/logs)

Quantify (number of completed contractor orientations/logs)

Remember to include positive (and any negative) examples from your findings, such as, the H&S orientation process/package/checklists.

IMPORTANT: This question cannot be marked as N/A if the employer uses other employers.

6.5 Does the employer communicate with external work site parties regarding:		Method	Percentage	Points
a) Their health and safety responsibilities while on site? (0-5 points)	a	Interview	100%	5/5
b) Work site hazards and controls? (0-5 points)	b	Interview	100%	5/5
c) When there are changes to the site? (0-5 points)	c	Interview	100%	5/5

GUIDELINES

Verified by interviewing managers/supervisors.

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.

Work site parties can include other employers, suppliers, prime contractors, etc. conducting activities at a work site or receiving products.

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.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

6.6 Is health and safety information readily available to affected external work site parties? (0-5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

Verified by manager/supervisor interviews.

Health and safety information is readily available to affected external work site parties.

Examples may include hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC and/or HS representative meeting minutes.

Work site parties can include other employers, suppliers, prime contractors, etc. conducting activities at a work site or receiving products.

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/example(s).

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

■ STRENGTHS

1 to 2 Key Strengths per element are required.

Strength formula: what is good (the benefit) + the benefit to the overall OHSMS (how the benefit can improve safety)

7 | INSPECTIONS

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

7.1 Is there an inspection process that states the frequency of inspections and includes the following:	Method	Percentage	Points
a) All areas of the operation (0-5 points)	a Documentation	100%	5/5
b) All employee levels? (0-5 points)	b Documentation	100%	5/5

GUIDELINES

Verified by review of inspection process.

- 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.
- 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.

Points are awarded based on percentage positive indicators from documentation.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Health and Safety policy and procedures manual, inspection policy and/or process, inspection records, inspection schedule.

Quantify (have the 2 criteria been met?)

Remember to include positive (and any negative) **examples** from your findings, such as, a brief description of the inspection frequency.

IMPORTANT: Must illustrate whether all areas of the organization/facility/site/community are included in the inspection schedule. Must identify what participation is required by all levels.

7.2 Are checklists or forms used for formal inspections? (5 points)	Method	Percentage	Points
	Documentation	25%	0/5

GUIDELINES

Verified by review of completed inspection checklists or forms.

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.

Points are awarded based on 100% positive indicators from documentation.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Completed inspection checklists.

Remember to include positive (and any negative) **examples** from your findings, such as, the checklists used i.e., what is included in the inspection checklists or forms, what is included in department checklists required, and/or preferably, a brief description of the checklists in use i.e., per area, per site, etc.

■ SUGGESTIONS FOR IMPROVEMENT

1 Key SFI per element (for any element scoring less than 100%), or any audit question scoring less than 80%.

SFI formula: the deficiency + the actionable recommendation + the benefit to the overall OHSMS.

7.3 Have individuals leading formal inspections received training? (0-10 points)	Method	Percentage	Points
		Documentation	100%

GUIDELINES

Verified by review of inspection and training records.

Identify employees leading inspections and verify they have completed training.

Points are awarded based on percentage positive indicators from documentation.

Provide details/example(s).

■ FINDINGS / NOTES

Auditor must first confirm who leads the processes by reviewing the inspection forms, then confirm whether those who were leading the process have been trained through a review of the training records.

Suggested documentation examples: Training records of individuals designated to conduct inspections.

Quantify (how many individuals were identified as leads, and how many of those individuals have received training)

Remember to include positive (and any negative) **examples** from your findings, such as, a brief description of the training program.

7.4 Are formal inspections carried out in accordance with the policy and/or process:	Method	Percentage	Points
a) For all areas of the operation? (0-5 points)	a Documentation	100%	5/5
b) By Managers? (0-5 points)	b Documentation	100%	5/5
c) By Supervisors? (0-5 points)	c Documentation	100%	5/5
d) By Workers? (0-5 points)	d Documentation	100%	5/5

GUIDELINES

Verified by review of inspection records.

a. The frequency in the policy and/or process is being met for all areas of the operation.

b-d. Records must show participation from each level stated in the policy and/or process is being met (question 7.1).

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.

Points are awarded based on percentage positive indicators from documentation.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Completed inspection reports, checklists, or forms.

Quantify (number of completed inspections sampled; number of completed inspections which show participation by each level)

Remember to include positive (and any negative) **examples** from your findings which may include areas that are inspected by each level: A) For all areas of operation, B) Managers, C) Supervisors, D) Workers

7.5 Do management inspections include a component of employee observation? (0-5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

Verified by senior manager/manager interviews.

Senior managers/managers must be able to describe how they include observations of OHS behaviors and conditions during their inspections.

Points are awarded based on the percentage of positive responses.

Provide details/examples.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

7.6 Is there a system to correct deficiencies identified through formal inspections? (0-5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

Verified by manager/supervisor interviews.

Interviewees must be able to describe how they ensure deficiencies identified through formal inspections will be corrected.

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.

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

7.7 Have deficiencies identified through formal inspections been corrected? (0-25 points)	Method	Percentage	Points
	Observation	100%	25/25

GUIDELINES

Verified by observations.

Observe whether sampled deficiencies identified in the inspection reports have been corrected.

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.

Provide details/examples.

■ FINDINGS / NOTES

Quantify (take a sample of deficiencies identified in meeting minutes X and how many of those were observed to be corrected Y? X/Y)

Remember to include positive (and any negative) **examples** from your findings.

8 | EMERGENCY RESPONSE

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

8.1 Have written emergency response plans been developed for potential emergencies? (0-10 points)	Method	Percentage	Points
	Documentation	100%	10/10

GUIDELINES

Verified by review of emergency response plans applicable to the operations.

Emergency response plans should be specific to the employer including those required by legislation (Alberta) or federal legislation for federally regulated employers. 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

Provide details/examples of emergencies identified.

Points are awarded based on the percentage of positive indicators.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Emergency Response Plans (ERPs) and/or procedures.

Quantify (identify the number of plans reviewed).

Remember to include positive (and any negative) **examples** from your findings.

8.2 Do written emergency response plans include:	Method	Percentage	Points
a) Communication systems? (2 points)	a Documentation	100%	2/2
b) Emergency phone numbers? (2 points)	b Documentation	100%	2/2
c) List of emergency response personnel? (2 points)	c Documentation	100%	2/2
d) Appropriate response? (2 points)	d Documentation	100%	2/2
e) Monitoring the effectiveness of the plan? (2 points)	e Documentation	100%	2/2

GUIDELINES

Verified by review of emergency response plans and/or procedures.

- 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.

Notes must include examples of auditor findings to support the scores for each part of the question.

Points are awarded based on 100% positive indicators from documentation for each sub-point.

Provide details/examples.

■ FINDINGS / NOTES

Suggested documentation examples: Emergency Response Plans (ERPs) and/or procedures.

Quantify (How many documents were reviewed? Were all 5 criteria met?)

Remember to include positive (and any negative) **examples** from your findings.

8.3 Have employees received emergency response training appropriate to their individual responsibility? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by employee interviews.

Interviewees must be able to describe the type of training they received in emergency response. Examples include first aid, fire warden, in house, industry specific, incident command system, etc.

Points are awarded based on the percentage of positive responses.

Provide details/example(s).

FINDINGS / NOTES

Quantify – how many interviewees and how many gave positive responses (if less than 90% cohort breakdown – how many of each of the groups interviewed gave positive responses).

Remember to include positive (and any negative) **examples** from your findings.

8.4 Do employees understand their responsibilities under the emergency response plan? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by employee interviews

Interviewees must be able to describe how they would respond in the event of an emergency.

Points are awarded based on the percentage of positive responses.

Provide details/example(s).

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

8.5 Are emergency response drills conducted? (0-10 points)	Method	Percentage	Points
	Documentation	100%	10/10

GUIDELINES

Verified by review of records.

Records of drills must be kept. Drills are required 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 tabletop 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.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Emergency Response drills, minutes of meetings, emergency response table-top review exercises.

Quantify (How many drills were reviewed?)

Remember to include positive (and any negative) **examples** from your findings.

IMPORTANT: drills are required at a minimum of once every 12 months. If records cannot be found to substantiate that drills took place, then points cannot be awarded for this question.

8.6 Have deficiencies in the emergency response plan identified through a drill been corrected? (0-5 points)	Method	Percentage	Points
	Documentation	93%	5/5

GUIDELINES

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.

Provide details/examples.

FINDINGS / NOTES

Suggested documentation examples: Emergency Drill Response records, minutes of meetings documenting review of drills, documents outlining corrective action or change in procedures as a result of the drills.

Quantify (how many deficiencies were identified and how many were documented corrected)

Remember to include positive (and any negative) **examples** from your findings.

IMPORTANT: only drills can be used to score this question. If deficiencies were not identified from the drills in the last 12-months, then mark as Not Applicable.

8.7 Have deficiencies in the emergency response plan identified through an actual emergency response been corrected? (0-5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

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.

Provide details/examples.

■ FINDINGS / NOTES

Suggested documentation examples: Actual Emergency Response records, minutes of meetings documenting review of actual emergencies, documents outlining corrective action or change in procedure as a result of the actual emergency.

Quantify (how many deficiencies were identified and how many were documented corrected)

Remember to include positive (and any negative) **examples** from your findings.

IMPORTANT: only actual emergencies can be used to score this question. If an actual emergency response has not occurred or if deficiencies were not noted in the past 12-month period, then mark this question as Not Applicable.

8.8 Do the numbers of employees trained in first aid meet legislated requirements? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation.

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.

Points are awarded based on 100% positive indicators from documentation.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: First aid regulations, first aid certificates, shift schedules of certified first aiders.

Quantify (how many employees are needed to be trained according to schedule 2; how many have training and does that meet the schedule)

Remember to include positive (and any negative) **examples** from your findings.

Refer to AB OHS Code Schedule 2 First Aid, Table 6 Medium Hazard Work

It's strongly recommended to include average number of workers per shift and distance from nearest medical facility to outline how you ensured that the information in Table 6 was met.

8.9 Do first aid equipment, supplies and facilities meet legislated requirements? (10 points)	Method	Percentage	Points
	Observation	100%	10/10

GUIDELINES

Verified by observation.

Equipment, supplies and facilities must meet the identified legislative requirements (Alberta) or Federal legislation for federally regulated employers

The auditor must verify that legislated first aid obligations have been met at all visited sites and facilities.

Points are awarded based on 100% positive indicators from observations.

Provide details/example(s).

FINDINGS / NOTES

Quantify (What is listed according to schedule, then, did the kit have everything listed in the schedule?) Where was the kit found?

Remember to include positive (and any negative) **examples** from your findings.

Refer to AB OHS Code Schedule 2 First Aid, Table 6 Medium Hazard Work

STRENGTHS

1-2 Key Strengths per element

Key Strength formula: the benefit (what is good) + the benefit to the overall OHSMS (how does the benefit improve safety)

9 | INCIDENT INVESTIGATION

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

9.1 Is there a process that requires the reporting of incidents (including near miss), occupational illness, and work refusals? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation.

A 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.).

Points are awarded based on 100% positive indicators from documentation.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Incident reporting procedures and/or process, reporting forms (blank/completed).

Quantify (how many of the 4 have process for reporting and does the process have the reporting to external parties)

Remember to include positive (and any negative) **examples** from your findings.

STRENGTHS

1-2 Key Strengths per element

Key Strength formula: the benefit (what is good) + the benefit to the overall OHSMS (how does the benefit improve safety)

9.2 Can employees explain the reporting procedures for incidents (including near miss), occupational illness, and work refusals? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by employee interviews.

Interviewees must be able to explain the process for reporting incidents (including near miss), occupational illness, and work refusals.

Points are awarded based on the percentage of positive responses.

Provide details/example(s).

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

9.3 Are employees reporting incidents, occupational illnesses and work refusals? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

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 100% 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.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Completed incident investigation reports.

Quantify (How many investigations/occupational illness/work refusal reports were reviewed?)

Remember to include positive (and any negative) **examples** from your findings.

9.4 Are employees reporting near misses? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation.

Review completed near miss reports to support that reporting is taking place.

Points are awarded based on 100% positive indicators from documentation.

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.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Completed near miss and incident forms.

Quantify (How many near miss reports were reviewed?)

Remember to include positive (and any negative) **examples** from your findings.

9.5 Is there a procedure for investigating incidents (including near miss), occupational illness, and work refusals? (5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of documentation.

The procedure must include:

- how to investigate incidents (near misses), occupational illness, work refusals
- how to identify root causes
- the requirement to implement corrective actions

Points are awarded based on 100% positive indicators from documentation.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Incident reporting procedures and/or process, reporting forms (blank/completed).

Quantify (how many of the 3 criteria are present in the process)

Remember to include positive (and any negative) **examples** from your findings.

9.6 Have the individuals leading investigations been trained in investigation techniques? (0-5 points)	Method	Percentage	Points
	Documentation	93%	5/5

GUIDELINES

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/example(s).

FINDINGS / NOTES

Suggested documentation examples: Training records of individuals conducting investigations, investigation training course materials.

Quantify (identify how many individuals are leads and how many of those individuals have training)

Remember to include positive (and any negative) **examples** from your findings.

9.7 Do managers/supervisors participate in investigations? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by manager/supervisor interviews.

Not all managers/supervisors need to actively participate in incident investigation. However, all must be able to describe managers/supervisors are involved 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/example(s).

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

9.8 Do workers participate in the investigation process? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

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/example(s).

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

IMPORTANT: Participation must be more than the injured worker or witness.

9.9 Do investigations:		Method	Percentage	Points
a) Identify underlying factors? (0-5 points)	a	Documentation	100%	5/5
b) Recommend corrective actions? (0-5 points)	b	Documentation	100%	5/5

GUIDELINES

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/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Completed incident investigation reports, investigation report forms, memos outlining implementation of corrective action, minutes of meetings outlining results of investigation. If there have been no investigations required in the previous 12-months, refer to a blank investigation form or the investigation process.

Quantify (# of reports the auditor reviewed and the # of those reports that identify underlying factor and corrective actions)

Justification notes should speak to both part A and part B.

Remember to include positive (and any negative) **examples** from your findings.

9.10 Implementation of corrective actions:		Method	Percentage	Points
a) Are corrective actions identified in investigation reports implemented to prevent reoccurrence? (0-5 points)	a	Documentation	100%	5/5
b) Are corrective actions identified in investigation reports implemented to prevent reoccurrence? (0-10 points)	b	Observation	100%	10/10

GUIDELINES

Verified by review of documentation and observing results of corrective actions implemented.

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.

Score:

- 0-5 points for documentation
- 0-10 points for observation

Documentation points are awarded based on the percentage of corrective actions reviewed in question 9.9b that can be verified as implemented.

Observation points are awarded based on the percentage of implemented observable corrective actions reviewed in 9.9b.

If corrective actions are not observable, the observation portion of this question may be marked not applicable (n/a). Provide justification.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Completed incident investigation reports, investigation report forms, memos outlining implementation of corrective actions, minutes of meetings outlining results of investigation.

Quantify (# of reports reviewed and the # of corrective actions identified and how many of those were observed to be implemented)

Remember to include positive (and any negative) **examples** from your findings, such as the implemented corrective actions.

9.11 Are investigations completed in a timely manner? (0-5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of investigation reports.

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).

If no investigations have been required in the previous 12 months, review the process to determine that the employer indicates timeliness.

Points are awarded based on percentage of positive indicators.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Completed incident investigation reports, investigation report forms, memos outlining implementation of corrective actions, minutes of meetings outlining results of investigation.

Quantify (what was the sample of investigations looked at (X) and how many of those are resolved in a timely manner (Y) – Y/X)

If no investigations have been required in the previous 12 months, review the process to determine that the employer indicates timeliness.

Remember to include positive (and any negative) **examples** from your findings, such as, timelines for completing sample investigations, and/or any that were not completed or unable to validate the reason for an investigation delay.

IMPORTANT: For most investigations reports, completion before 30 days is considered to be a timely manner, however, each organization will have different lengths of time within their Incident Investigation policy depending on the complexity of the issue.

9.12 Do managers/supervisors ensure investigations are complete as required by the investigation procedures? (0-5 points)	Method	Percentage	Points
	Documentation	100%	5/5

GUIDELINES

Verified by review of investigation reports.

Investigation reports should be complete, including identifying causes and implementing corrective actions as outlined in the investigation procedure verified in question 9.5.

Points are awarded based on percentage of positive indicators.

Provide details/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Completed incident investigation reports, investigation report forms, memos outlining implementation of corrective actions, minutes of meetings outlining results of investigation.

Quantify (what was the sample of investigations looked at (X) and how many of those are resolved as per investigation procedure (Y) – Y/X)

Remember to include both positive (and any negative) **examples** from your findings, such as examples of fully completed investigations and/or any that were not completed fully.

9.13 Are completed investigation reports/results communicated to employees? (0-10 points)	Method	Percentage	Points
	Interview	100%	10/10

GUIDELINES

Verified by employee interviews.

Interviewees must be able to describe how investigation results are communicated.

Points are awarded based on the percentage of positive responses.

Provide details/example(s).

■ FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

■ SUGGESTIONS FOR IMPROVEMENT

1 Key SFI per element (for any element scoring less than 100%), or any audit question scoring less than 80%.

SFI formula: the deficiency + the actionable recommendation + the benefit to the overall OHSMS.

10 | SYSTEM ADMINISTRATION

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

10.1 Is there a system to confirm:		Method	Percentage	Points
a) Management communicates health and safety issues to workers? (0-10 points)	a	Interview	100%	10/10
b) Workers can provide feedback on health and safety issues? (0-10 points)	b	Interview	100%	10/10

GUIDELINES

Verified by worker interviews.

- 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.).
- 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.)

Points are awarded based on percentage of positive response.

Provide details/example(s).

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings, such as, responses describing how the employees are advised of H&S issues by management and responses describing how they are able to offer feedback on H&S issues.

IMPORTANT: Justification note should clearly indicate the responses for part A and part B.

10.2 Is health and safety information readily available to employees? (0-5 points)		Method	Percentage	Points
		Interview	100%	5/5

GUIDELINES

Verified by employee interviews.

Health and safety information (e.g., hazards assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC meeting minutes, etc.) is readily available to employees.

Points are awarded based on percentage of positive responses.

Provide details/example(s).

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings, such as, hazards assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC meeting minutes, etc.

10.3 Are health and safety records/statistics analyzed to identify trends on at least an annual basis? (10 points)	Method	Percentage	Points
	Documentation	38%	0/10

GUIDELINES

Verified by review of documentation.

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.

Notes must provide details/examples of the records/statistics being analyzed, and any trends/gaps identified by the employer.

Points are awarded based on 100% positive indicators from documentation.

Provide details/examples.

FINDINGS / NOTES

Suggested documentation examples: Company specific monthly, quarterly, or annual health and safety reports, analysis of injury reports, graphical reports of health and safety statistics to show trends, etc.

Quantify (could be based on the number of statistics reviewed)

Remember to include positive (and any negative) **examples** from your findings, such as records and/or statistics being analyzed, and any trends/gaps identified.

SUGGESTIONS FOR IMPROVEMENT

1 Key SFI per element, or any audit question scoring less than 80%

SFI formula: the deficiency + the actionable recommendation + the benefit to the overall OHSMS.

10.4 Is senior management/management held accountable for the implementation of the OHSMS? (5 points)	Method	Percentage	Points
	Interview	100%	5/5

GUIDELINES

Verified by senior manager and manager interviews.

Interviewees must describe their involvement in improving the performance of the OHSMS (including review, initiating

improvements, and setting strategic direction) and how they are held accountable.

Points are awarded based on a minimum 80% positive interview results.

Provide details/example(s).

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings, such as reviewing, initiating improvements, and setting strategic direction regarding OHSMS accountability.

10.5 Is an OHSMS evaluation or action plan completed at least annually? (5 points)	Method	Percentage	Points
		Documentation	100%

GUIDELINES

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 the company did not perform a COR or SECOR audit or maintenance option the previous year, this question may be marked not applicable (n/a). Provide justification.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Previous health and safety system evaluations. These could be COR Audits, an Action Plan in lieu of a COR Maintenance audit, or any other relevant OHSMS evaluation such as ISO 2001.

Remember to include positive (and any negative) **examples** from your findings, such as when the evaluation or action plan was last completed. If the company did not perform a H&S system evaluation in the previous year, this question can be marked as Not Applicable.

10.6 Are results from the OHSMS evaluation or action plan communicated to employees? (0-10 points)	Method	Percentage	Points
		Interview	48%

GUIDELINES

Verified by employee interviews.

Interviewees must be able to describe how the evaluation or action plan results are communicated to them.

Points are awarded based on percentage of positive responses.

If the company did not perform a COR or SECOR audit or maintenance option the previous year, this question may be marked not applicable (n/a). Provide justification.

Provide details/example(s).

FINDINGS / NOTES

Quantify - how many interviewees and how many gave positive responses (if less than 90%, include a cohort breakdown - how many of each of the groups interviewed gave positive responses?)

Remember to include positive (and any negative) **examples** from your findings.

SUGGESTIONS FOR IMPROVEMENT

1 Key SFI per element (for any element scoring less than 100%), or any audit question scoring less than 80%.

SFI formula: the deficiency + the actionable recommendation + the benefit to the overall OHSMS.

	Method	Percentage	Points
10.7 Was a plan developed to address identified OHSMS deficiencies from the previous evaluation? (0-5 points)	Documentation	100%	5/5

GUIDELINES

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:

- measurable action items,
- proposed completion dates, and
- individuals responsible for follow-up.

If the company did not perform a COR or SECOR audit or maintenance option the previous year, this question may be marked not applicable (n/a). Provide justification.

Provide details/example(s).

FINDINGS / NOTES

Suggested documentation examples: Any plans to address deficiencies or weaknesses found during an OHSMS evaluation. Many organizations refer to these as "action plans" or "post-audit action plans" (these should not be confused with the Action Plan conducted in lieu of a COR Maintenance Audit).

Quantify (did the plan included the 3 required criteria? x/3)

Remember to include positive (and any negative) **examples** from your findings, such as, identifying whether a plan was developed and identifying what type of plan or provide a brief description.

10.8 Has the plan been implemented? (0-10 points)	Method	Percentage	Points
	Documentation	100%	10/10

GUIDELINES

Verified by review of documentation.

Verify if the items identified in question 10.7 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/example(s).

■ FINDINGS / NOTES

Suggested documentation examples: Any plans to address deficiencies or weaknesses found during an OHSMS evaluation. Many organizations refer to these as "action plans" or "post-audit action plans" (these should not be confused with the Action Plan conducted in lieu of a COR Maintenance Audit).

Quantify (How many deficiencies were identified in the plan and how many of those were either started or completed?)

Remember to include positive (and any negative) **examples** from your findings, such as, number of plan items sampled and the number confirmed to be initiated or completed, and/or examples of any that have not been initiated.

IMPORTANT: Items do not have to be completed; if the items were started/initiated, then marks can be awarded.

■ STRENGTHS

1-2 Key Strengths per element

Key Strength formula: the benefit (what is good) + the benefit to the overall OHSMS (how does the benefit improve safety)

CONCLUSION

The Conclusion is required. The Conclusion could include:

- congratulations to the employer if successful,
- next steps if not successful,
- a recognition of cooperation received,
- next steps, such as creating an action plan for continuous improvement

PRE-AUDIT LETTER / PLAN

The Pre-Audit Letter is required. Attach a copy of the Pre-Audit Letter using the ADD ATTACHMENT button. The Pre-Audit Letter should have been sent to the employer and CCSA before the audit started.

SUGGESTED DOCUMENTATION

If you have a copy of your Request for Information form (RFI), you can attach that here.

AUDITOR DISCLAIMER

AUDITOR CODE OF ETHICS AND DISCLAIMER STATEMENT:

The Audit was conducted with the utmost integrity, confidentiality and no conflict of interest. The facts stated in the audit have been recorded accurately and according to the information received at the time of the audit. The intent of the audit is to give guidance, enhance current programs and provide suggestions for improvement, not to undermine any current processes in place, or to assume liability for changes or use of the document for any reason other than the original intent. I agree to follow the standard Code of Ethics and to submit the audit within an acceptable time frame and address all deficiencies in a timely manner.

AUDITOR NAME	DATE
Lead Auditor's First Name	July 21, 2024

PRE-AUDIT MEETING AGENDA / NOTES / ATTENDANCE

The Pre-Audit Meeting is required. Attach a copy of your Pre-Audit Meeting Agenda, Minutes and Attendance using the ADD ATTACHMENT button.

A Pre-Audit Meeting Agenda template can be found on CCSA's website under Auditor Resources

ORGANIZATIONAL CHART

The Organization Chart is required. Attach a copy of the current Organizational Chart(s) using the ADD ATTACHMENT button.

REVIEWED DOCUMENTATION

Attach a copy of, or enter, a list of reviewed documents. Include policy numbers in list.

FACILITY TOUR NOTES / FIELD SITE OBSERVATIONS

Attach a copy of, or list, Facility Tour Notes / Field Site Observations.

POST-AUDIT MEETING NOTES / ATTENDANCE RECORD

The Post-Audit Meeting is required. Attach a copy of your Post-Audit Meeting Agenda, Minutes and Attendance.

A Post-Audit Meeting Agenda template can be found on CCSA's website under Auditor Resources.

AUDITSOFT CERTIFICATE

If this is your first audit with AuditSoft, attach a copy of your AuditSoft Application Overview online training certificate of completion. **This is required.**

ADDITIONAL INFORMATION (OPTIONAL)

Optionally, include any additional information that should be considered as part of this submission.