Government of Alberta ■
Employment and Immigration

Partnerships
IN INJURY REDUCTION

Partnerships in Injury Reduction

On-Site Audit Review (OSAR) Pilot Project

FINAL REPORT

July 8, 2011

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EXECUTIVE SUMMARY

To ensure that Partnerships Standards for Quality Assurance are maintained, the Certifying Partners (CPs) conduct detailed desktop reviews of all audit reports completed for Certificate of Recognition (COR) certification and maintenance. This review process is verified by Partnerships quality assurance audits every other year, whereby verification reviews are conducted on a sample of employer audits and their corresponding CP audit reviews. Both levels of quality assurance are limited to a review of submitted documentation, and while effective at identifying many issues with audit quality and auditor process, these assessments may not identify potential gaps between the findings of the audit reports and the actual state of the employer's health and safety management systems.

As many Partnerships stakeholders (Partners, Certificate of Recognition-holders, auditors, and Certifying Partners) had expressed support for the concept of an on-site, post-audit quality assurance review, Partnerships undertook a 12-month pilot project that involved conducting post-audit, on-site reviews designed to confirm key audit findings and validate auditor process. Reviews were conducted by 5 experienced and certified health and safety auditors selected by the Certifying Partners, and working under contract to Partnerships.

Through the use of employer interview questions provided by Partnerships, on-site audit reviewers (OSA reviewers) were asked to confirm auditor activities at the work site. Findings indicated that most auditors are accurately reporting their activities, and following the audit processes to which they are trained by the Certifying Partners. While there were few areas where *all* auditors were conducting their activities to Partnerships/Certifying Partner standards, in most cases, only a small number of deficiencies were identified. For example,

- 4.5% of auditors were allowing the employer to select their interviewees
- 1.8% of auditors were taking less than 10 minutes to conduct individual interviews
- 2.5% of auditors were not reporting all members of their audit team
- 3% of auditors were not conducting pre-audit meetings

There were, however, some significant trends identified, one of which was that 9.8% of auditors are misreporting their audit dates. And in some cases it appears that dates are being deliberately misreported in order to meet Partnerships' standards for report deadlines.

In addition, 8 of the auditors sampled were deviating from standard audit processes in ways that could significantly affect the validity of audit results, and/or which appeared to violate the Auditor Code of Ethics. And though some of affected employers in these cases expressed dissatisfaction with the auditor or their audit results, they were hesitant to contact the Certifying Partner in the event that their COR-status would be jeopardized.

OSA reviewers were also required to re-assess selected audit questions using documentation review and (where possible) limited site observations in order to compare their own scoring assessments to those of the original auditor. A total of 12 hazard assessment and hazard control related questions from the Partnerships Audit document were selected for re-assessment (see Appendix A), and OSAR findings confirmed that, on average, auditors scored the questions the same/somewhat the same as the OSA reviewer about 90% of the time. Significant differences in the scoring (either higher or lower than the OSA reviewer's score) occurred an average of 8.4% of the time, and were most often related to:

- prioritization of hazards (19% of auditors scored this significantly higher than the OSA reviewer)
- review of hazards when changes occur (13.4% of auditors scored this significantly higher than the OSA reviewer)
- evaluation of hazards according to risk (12.5% of auditors scored this significantly higher than the OSA reviewer)

In general, where significant scoring deviations were noted, the original auditor applied a higher score than the OSA reviewer.

Employer participation in the OSAR process was voluntary, and while 21 of the employers sampled refused to participate in the process, OSA reviewers reported that most employers were very cooperative, and indicated that they understood the importance of introducing on-site verification of auditor work. Many employers also showed an interest in obtaining further advice with regards to improving their OHS system, though the pilot process was not designed to offer the employer feedback on their OHS programs.

OSAR SAMPLING

Each OSA reviewer was responsible for scheduling and conducting 24 OSARs, as assigned by Partnerships, for a grand total of 120 on-site reviews. OSA reviewers used a specially designed review protocol (see Appendix A) to conduct their review at the employer's site, and once their data gathering was completed, they were given access to the employer's original audit report in order to compare their findings with those of the original auditor. The results of this comparison were recorded and sent to Partnerships.

The review process was intended to answer the following key questions:

- Were interviews conducted on a representative sample of the employer's workforce?
- Were site observations performed at all sites identified in the audit report?
- Did the auditor complete all critical audit steps?
- Does direct feedback from management and workers on site validate the original auditor's findings?
- Does a review of key documentation (including job task inventories, and hazard assessment and control measures) validate the original auditor's findings?
- Do observations confirm that hazard controls documented by the original auditor are actually in-place?

The seven CPs selected to participate in the OSAR project represented 94.4% of all regular CORs. Only certification audits were chosen for inclusion in the sample.

Certifying Partners Included in OSAR Project	Number of Regular CORs *	Planned OSAR Sample Size	Number of OSARs Completed
Alberta Association for Safety Partnerships	437	16	16
Alberta Construction Safety Association	2504	48	**47
Alberta Forest Products Association	108	4	4
Alberta Motor Transport Association	227	12	12
Alberta Safety Council	112	4	4
Enform	1296	24	***22
Manufacturers' Health and Safety Association	223	12	**7
Total	4907	120	112

* As of January 4, 2010
**Sampling could not be completed due to employer refusals to participate.
*** OSA reviewer was unable to complete the sample assigned.

The audit sample was selected based on a combination of factors, including:
- number of certification audits processed by a Certifying Partner
- number of certification audits completed by an individual auditor
- employer size
- PIR refund size
- number of sites
- high-risk industries

Employer Refusals to Participate

OSA reviewers reported that, overall, employers were highly supportive of the on-site audit review process, but a total of 21 employers refused to participate in the pilot project. The reason most frequently cited for refusing to participate was that the employer was too busy and could not accommodate the OSA reviewer. In some cases, however, the employer did not respond to Certifying Partner or OSA reviewer attempts to contact them, so we were not able to identify the reasons for their unwillingness to participate.

It is worth noting that a total of 3 separate employer refusals were recorded for audits conducted by a specific auditor. As a result, we were unable to schedule an OSAR of this auditor's work, so the reason for these refusals could not be confirmed.

CP	# Refusals	% Overall Planned OSAR Sample	% of Refusals
AASP	1	13%	4.8%
ACSA	5	40%	24%
AFPA	0	3%	0%
ASC	0	3%	0%
AMTA	4	10%	19%
Enform	4	20%	19%
MHSA	7	10%	33%

The distribution of refusals by CP may indicate that employers in some industries may be less willing than others to participate in a post-audit on-site evaluation. The reasons for this unwillingness to participate should be explored with the membership of the industry associations themselves.

Distribution of Refusals by CP
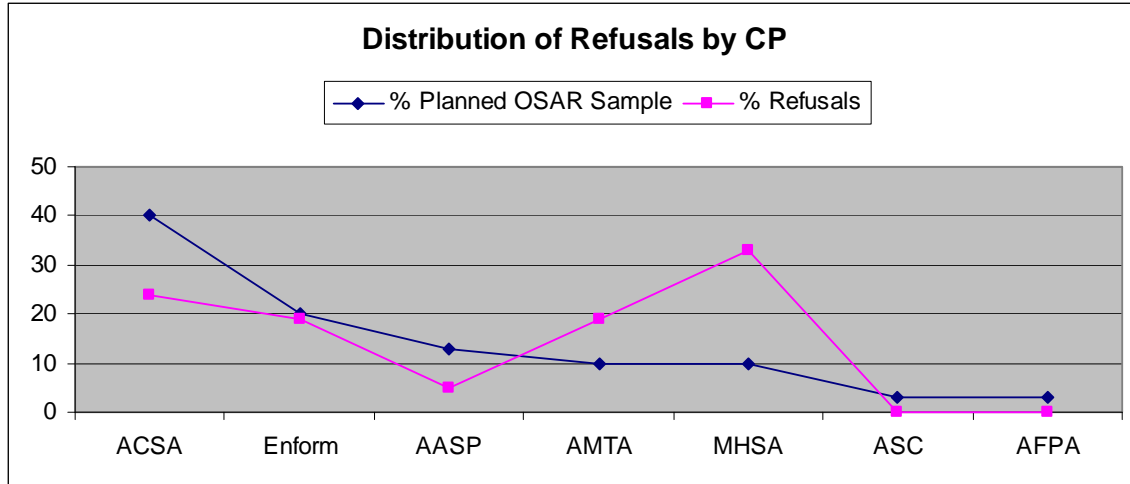
Over the course of the calendar year, most employer refusals to participate (45%) occurred in January, though this was a month in which there were the most audits to choose from (since January OSARs would be completed on audits from November or December).

Month of Audit (original audit)	Number of OSARs completed for the month	Number of employer refusals for the month
April 2010	1	0
May 2010	6	1
June 2010	8	0
July 2010	10	0
August 2010	3	1
September 2010	4	0
October 2010	6	0
November 2010	8	3
December 2010	10	2
January 2011	13	9
February 2011	13	2
March 2011	16	3
April 2011	14	-
Total	112	21

Sampling Distribution Over Time

Though the plan had been to sample 10 audits every month for the 12 months of the project, due to the low number of audits conducted in the summer months and the difficulty contacting employers between July and September it was difficult to distribute the sampling evenly over the course of the year.
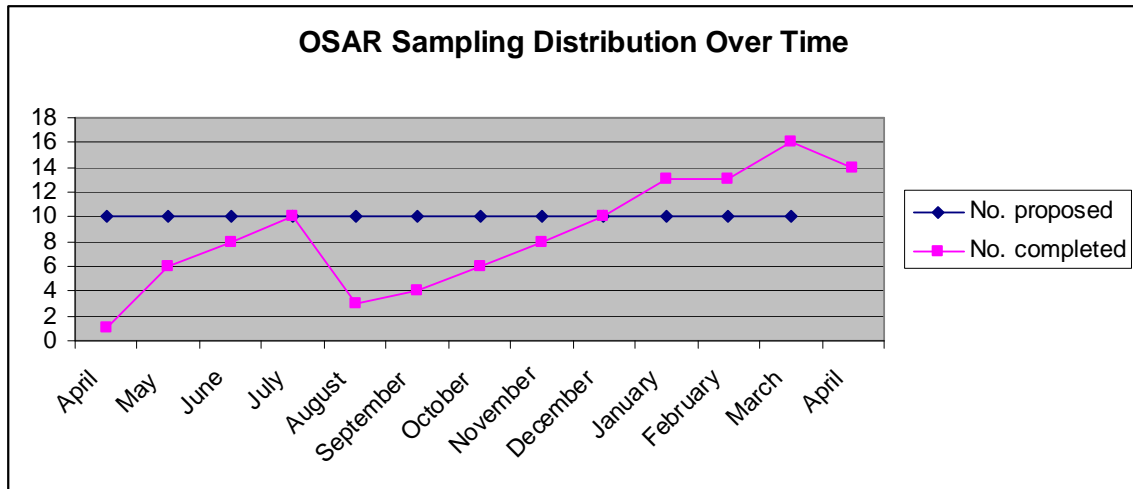
The chart above also reflects some difficulty in getting the project started in April and May. This was mostly due to issues around ensuring employers had received adequate communication about the project before the sampling process began.

OSAR Timelines

Though the project proposal anticipated completing all OSARS within 60 days from the original audit date, this was not always possible. Factors such as quality assurance timelines, difficulties in contacting employers, and difficulty scheduling dates to conduct the on-site reviews often impacted the amount of time that would pass between the original audit and the OSAR.

CP	No. of days between original audit date and OSAR date					
	</= 60 days	61-70 days	71-80 days	81-90 days	91-100 days	>100 days
ALL	50%	16%	13%	9%	5%	7%
AASP	75%	12%	12%	0	0	0
ACSA	36%	20%	13%	17%	9%	11%
AFPA	50%	25%	25%	0	0	0
AMTA	67%	17%	0	8%	8%	0
ASC	25%	0	25%	25%	0	25%
Enform	73%	9%	9%	0	0	9%
MHSA	43%	29%	29%	0	0	0

CPs noted in red were those for whom Partnerships initiated contact with the employers selected for inclusion in the sample. All other CPs elected to contact the selected employers themselves.

Ultimately, half of the OSARs were completed within the 60-day timeframe originally proposed, with 79% completed within 80 days of the original audit date. It should be noted that employers contacted directly by Partnerships were more likely to have an OSAR completed within the 60-day timeline than those contacted by the Certifying Partner.

OSAR FINDINGS

Audit Scope Reporting

As indicated in the table below, OSAR results show that, with a small number of exceptions, original auditors were reporting audit scopes accurately.

Item verified	Percent Verified
Account Number(s)	98%
Industry Code(s)	100%
Scope	96%
Activity Level	97%
Operation Description	100%

Where discrepancies were identified between actual and reported WCB account numbers, the issue appeared to be typographical errors, something easily identified for correction by the CP.

Where audit scopes were not verified, OSA reviewers identified that the original auditor may not have visited a sufficient number of active field sites, or may have concentrated on operations in a major centre and neglected to visit work sites located in other parts of the province.

Where activity levels could not be verified:
- an employer mistakenly neglected to report activity at a work site they did not expect to be active when the audit was scheduled, or
- auditors could not audit part of the operation, as it was inactive during the time when the audit was scheduled.

The latter rationale may have been acceptable to the Certifying Partner under certain conditions, but should have been reported by the auditor.

Interview Sampling

The OSAR process confirmed that 98% of auditors conducted interviews with all levels, as required by Partnerships' sampling standards. It was identified, however, that only 78.6% of auditors are selecting interviewees independently. In some cases, the auditor was selecting sampling in consultation with the employer, or allowing the employer to make the sampling decisions on their own.

Interviews selected by…	Percentage of Sample
Employer	4.5%
Employer and auditor together	3.5%
Employer and auditor based on availability	4.5%
Total interviews selected with employer input	12.5%

Interviews with employer contacts also identified that about 11% of auditors based their sampling decisions on availability or random selection, instead of a plan for representative sampling.

OSA reviewers also asked employer contacts if their auditors had used a "group interview" process: a technique by which more than one interviewee was questioned during a single interview session. The reports indicated that 9 auditors (or 8% of audits in the sample) used "group interviews" to gather data. This finding was identified for audits completed for 5 different Certifying Partners. In one case where the employer questioned the auditor`s methodology, they were advised that the CP had approved the use of this technique.

Interview Timelines

Most auditors (about 82%) were taking from 10-30 minutes to complete a single interview, but the data indicated some unexpected inconsistency in interview times across auditors.

Average Interview timelines	Percentage of sample
Less than 10 minutes	1.8%
10-20 minutes	44%
20-30 minutes	37.8%
30-40 minutes	7%
More than 40 minutes	5.4%
Other	*1%
Unable to determine	2.7%

*One auditor took 20-25 minutes for worker interviews, and 45-60 minutes for manager interviews.

Auditor Process

Auditor Verification

OSAR interviews verified accurate reporting of the lead auditor in all 112 on-site reviews, but in 3 cases (2.5% of the sample) an additional "helper" was involved in some part of the audit process, though their participation was not recorded in the audit report. In one case, an auditor candidate reportedly participated in a certification audit. In another, a "trainee" was part of the team and it was not clear whether or not this individual had received training from the CP. In a third case, a second certified auditor assisted with some of the interviews, and though the second auditor's name was mentioned on the post-audit document, the individual was not listed as part of the audit team.

Audit Date Verification

The OSAR process revealed that some auditors are misreporting actual audit dates. Just under 10% (9.8%) of the auditors in the sample reported audit dates that were different from those confirmed by the employer. OSA reviewers did not always provide detailed notes to explain the differences between the reported dates and the actual dates noted by the employer contact, but where they provided more information specific issues included:

- Auditor reported more days on site than they actually spent.
- Auditor reported fewer days on site than they actually spent.
- Auditor reported audit dates that were later than the actual days on site.
  - reported dates were December 7-8; actual date was November 5
  - reported dates were December 19-31; actual dates were December 3-11
  - reported audit end date was October 20; actual end date was October 12

Audit Process Verification

When OSA reviewers asked employers to verify that auditors were completing each step of the audit process to which they are trained, results confirmed that most auditors are following correct process, though no category was verified at 100%.

The most common discrepancy identified was that almost 25% of auditors revealed the expected audit score at the post-audit meeting, though the majority of Certifying Partners (with the exception of the ACSA) require auditors to submit their results for quality assurance and approval before audit scores are disclosed to the employers.

Interviews with employer contacts also revealed that 1.8% of auditors completed their review of documentation off-site after the interviews and observations were concluded.

Audit step	Percent Verified
Auditor established pre-audit communications	99%
Auditor conducted pre-audit meeting	97%
introduced themselves	99%
invited questions	95.5%
explained the process	95.5%
Auditor conducted a familiarization tour	98%
Auditor reviewed documentation	98%
Auditor conducted interviews at all levels	*97%
started/ended interviews on time	93.8%
maintained interview confidentiality	97%
Auditor completed site observations	**95.5%
conducted observations as per the audit plan	95.5%
requested a site escort	96%
Auditor conducted a post-audit meeting	***92%
communicated overall findings	93.8%
communicated overall strengths and recommendations	96%
invited questions	96%
revealed the audit score (non-ACSA employer audits only)	24.6%
explained the QA process	96%

*were some cases where the employer contact reported that the auditor focused interviews on managers/supervisors.

**some auditors reportedly completed only cursory walk-arounds; others did not visit all sites in the scope; others declined an escort, so the employer contact could not confirm that the observation tour was completed.

***Note that some auditors were waiting for their reports to be approved by the CP before conducting their post-audit meetings.

Audit Question Scoring

Overall OSAR results confirmed that most auditors were scoring audit questions the same or somewhat the same as the OSA reviewer.

In cases where the results from the original audit were significantly different from those of the OSA reviewer, auditors were scoring the question significantly higher than the OSAR findings an average of 7% of the time, while an average of 1.35% were scored significantly lower than the OSA reviewer.

| Audit Question	Auditor scored significantly less than OSA Reviewer (1)	Auditor scores somewhat higher/lower or the same as the OSA Reviewer (2-4)	Auditor scored significantly higher than OSA Reviewer (5)
2.1a Does the employer have a list of all jobs carried out at the work site?	0%	90.8	9%
2.1b Has the employer compiled a list of all tasks associated with each job?	0%	90.3	8%
2.2 Are health and safety hazards identified for the jobs and tasks?	.9%	90.9	4.5%
2.3 Have the health and safety hazards been evaluated according to risk?	.9%	85.7	12.5%
2.4 Are identified health and safety hazards prioritized according to risk?	2.7%	79.5	19%
2.5 Are workers involved in health and safety hazard identification and assessment?	1.8%	91.1	6.3%
2.7 Are the health and safety hazard assessments reviewed when changes to the operation are implemented?	.9%	85.6	13.4%
3.1a Have engineering controls been identified and implemented for the identified jobs/tasks?	1.8%	95.5	1.8%
3.1b Have administrative controls been identified and implemented for the identified jobs/tasks?	1.8%	94.6	2.7%
3.1c Has PPE been identified and implemented for the identified jobs/tasks?	.9%	95.6	2.7%
3.2 Are workers involved in establishing control of health and safety hazards?	1.8%	94.7	3.6%
3.4 Is there a process for maintaining equipment and preventing the use of defective equipment?	2.7%	95.6	.9%

For a more detailed breakdown, see Appendix B.

The biggest scoring differences were found in the following areas:

- prioritization of hazards according to risk - *19% of auditors scored this question significantly higher than the OSAR findings; 2.7% scored it significantly lower*
- review of hazards when changes to the operation occur - *13.4% of auditors scored this question significantly higher than the OSAR findings; .9% scored it significantly lower*
- evaluation of hazards according to risk - *12.5% of auditors scored this question significantly higher than the OSAR findings; .9% scored it significantly lower*

Employer Perceptions

Employer perceptions of auditor competency and professionalism were overwhelmingly positive:

- 98% of employers interviewed indicated that they agreed or strongly agreed that their auditor appeared competent.
- 94% of employers interviewed agreed or strongly agreed that their auditor exhibited good communication skills.
- 97% agreed or strongly agreed that their auditor behaved professionally.
- 89% agreed or strongly agreed that they would use the same auditor again.

Employer Opinion Ratings
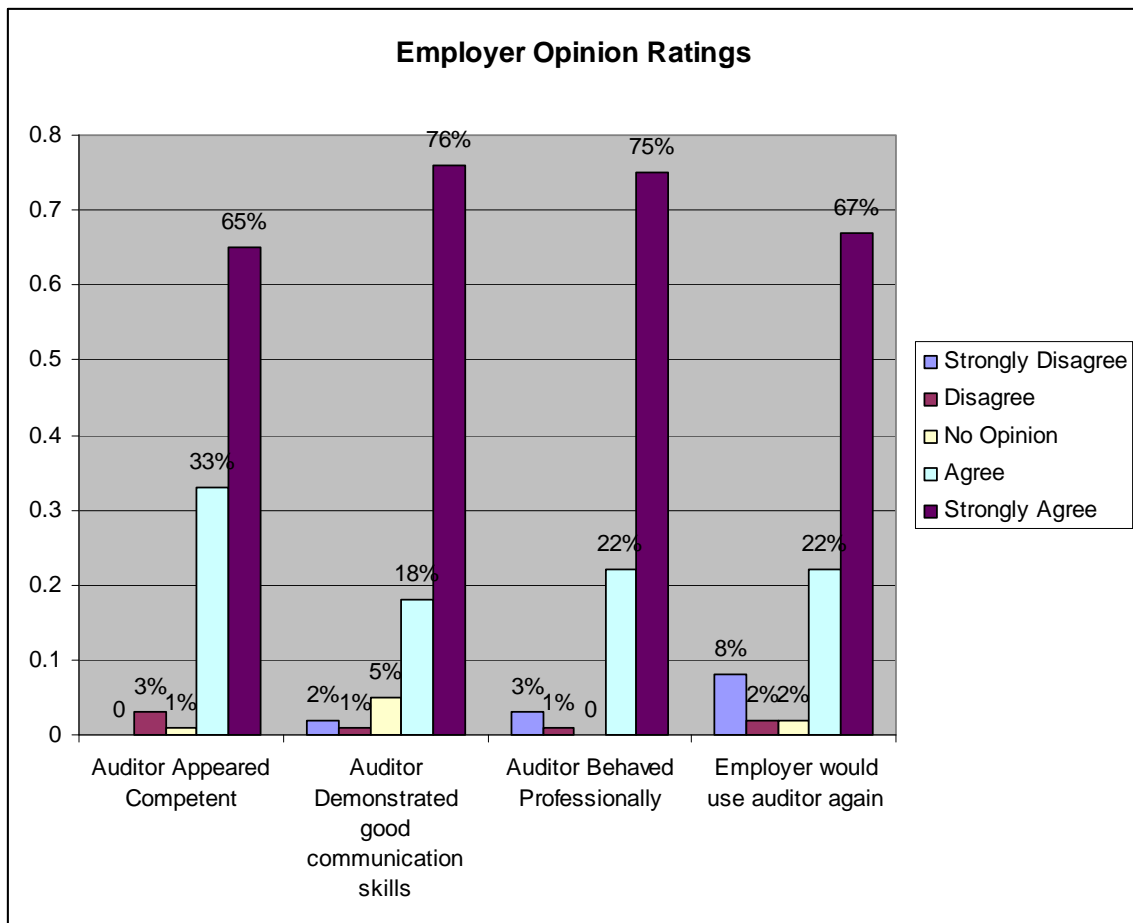
It should be noted that all but 3 of the 8 employers whose audits were identified as having significant deficiencies (see page 14) indicated very high opinions of their auditors in all 4 of these categories, and strongly agreed with all of them. Only one of these employers indicated that they would not use the auditor again.

Significant Deficiencies Identified

Of the 112 OSARs completed, significant deficiencies with the auditor's process were identified for eight (or 7%) of them. Findings for three of these indicated that employer hazard assessments were not sufficient to meet the COR Audit standard. The results of a fourth review were difficult to determine, as the employer could not produce the hazard assessment documentation required by the OSA reviewer.

The table below summarizes the issues identified with these 8 audits.

#	Scores too high	Scores too low	On-Site Audit Reviewer Findings	Issue Summary
1	Y	Y	• Site sampling inadequate: visited 2 sites in one city, though 3 other sites existed in 3 other cities. • No post-audit meeting conducted. • Auditor advised employer they were eligible for a 1-year COR, but the CP was not advised of this inside report. • Sampling breakdown from employer shows 28 interviews and 1 contractor interview; sampling breakdown in report shows 54 interviews and no contractor interview. • Findings in report did not reflect what the OSA reviewer found on site.	• Report results do not reflect the state of the employer's program nor the audit process reported by the employer.
2	Y		• Site sampling inadequate: only Edmonton office and shop included, though there are sites in 4 other cities. • Interview sampling limited to Edmonton sites. • No pre-audit meeting or familiarization tour. • No site escort requested. • Reported audit dates were a month later than the audit dates confirmed by the employer. • Hazard assessments scored too high: no inventory of jobs/tasks, no task assessments, no reviews/updates found, and no way to verify worker involvement.	• Auditor not following audit standards, and inaccurately reporting audit dates.
3	Y		• Employer confirmed audit dates that were a week earlier than dates reported by auditor. • Auditor reported that the audit took 2 days, but employer said it took 3. • Hazard assessments not complete, and quality was "weak." Little evidence of worker involvement.	• Inaccurate reporting of audit dates. • Employer could not produce an adequate hazard assessment and control process.
4	Y		• Hazard assessments were non-existent aside from a site hazard assessment form that is occasionally used. • Only controls found were PPE. • No evidence of training, and no worker involvement in hazard assessments that *were* done.	• Correct audit process was followed on site, but the employer could not produce any hazard assessment and control documents that would meet the audit standard.

#	Scores too high	Scores too low	On-Site Audit Reviewer Findings	Issue Summary
5	n/a	n/a	• Discrepancy in the number of work sites: auditor identified 2 more than the employer could account for. • Appears that auditor did not do enough manager interviews, and appears to have increased the number of interviews reported in order to meet the minimums required.	• Auditor not following audit standards, and inaccurately reporting sampling data.
6	Y	Y	• Employer reported that pre-audit meeting was too short. • Employer felt the documentation review was inadequate and incomplete. • Many interviews were only 5 minutes long, and workers questioned the value of the interview (the auditor did most of the talking). • Auditor did attend the sites noted in the audit report, but the employer indicated that he did little more than walk around the site. • Auditor scored one section lower than the OSA reviewer would have, and tried to market his services to improve this area.	• Auditor not following audit standards or process, bringing result into question. • Note that employer was not happy with the audit but afraid to say anything to the CP, as they thought they may have to re-audit, and no longer had any active sites. • Code of Ethics violations suspected.
7	Unable to determine		• OSA reviewer could not find any job descriptions or a formal hazard assessment. • More than one auditor was on site, but only one was noted in the audit report. • Appears that the audit was conducted by the person who helped develop the OHS system. • OSA reviewer was unable to determine a score for most audit questions on the OSAR template, as the employer could not produce the documentation required. (He called the auditor to request the docs.)	• Auditor inaccurately reporting on audit process. • Audit results do not reflect what was found at the work site. • Code of Ethics violations suspected.
8	Y		• Auditor spent 4 days on site, but reported 8 days on site. • No task inventories could be found. • Only a small number of hazards had been identified there was no evidence of prioritization. • little evidence of worker participation found, and no evidence of any regular review of hazard assessments.	• OSA reviewer could not verify the existence of a hazard assessment/control system that would meet Partnerships standards.

It should be noted that half of the affected CPs reported that they had identified prior concerns with the consultant auditors identified in the table above. The OSAR findings allowed them to confirm their suspicions and gave them an opportunity to follow up and apply discipline if required.

Other Notable Findings

Partnerships received 3 complaints from employers who felt pressured by a specific OSA reviewer, and were uncertain as to whether or not they wanted to proceed with a review. In 2 of these cases, the employer had been in touch with the original auditor, who informed them that they were not required to participate. In all cases, these employers ultimately decided to cooperate with the process. A fourth employer called to complain about a different OSA reviewer after their on-site review was completed. They were upset with the implication that their original audit had not captured some basic insufficiencies with their OHS system. It should be noted that this audit was one of the eight for which significant deficiencies with the auditor's processes were identified (e.g. misreported audit dates and insufficient site sampling).

A written complaint from an auditor was also received by Partnerships. The auditor had been contacted by the employer after the OSAR was completed, and wanted to register a complaint about the findings (though no data had yet been received by Partnerships). When the OSAR results were received from the reviewer, however, there was only one audit question which was rated as a "5" (original auditor scored significantly higher than the OSA reviewer), and sound reasons were given to support these findings. The OSA reviewer also identified that the original audit team included an "auditor trainee." This third member of the audit team was not accounted for inside the audit report.

CONCLUSION

Overall, the findings from the On-Site Audit Review pilot project indicate that the majority of auditors are following the process to which they are trained, and that the current QA review process is already effective in identifying most auditor errors. The on-site post-audit reviews confirmed that 90.8% of the auditors scored the sampled questions the same or somewhat the same as the OSA reviewers. Auditors scored the question significantly lower than the OSA reviewer an average of only 1.4% of the time, and scored significantly higher than the OSAR findings an average of 7% of the time. While these findings are not ideal, it is probable that once the new Audit Quality Assurance Review and Auditor Notes standards (sections 2.2 and 1.15 of the *Partnerships Standards Manual)* are fully implemented by all CPs, scoring mistakes will likely be reduced even further.

There were, however, some disturbing blind spots that *were* identified by the on-site review process, including:

- deliberate misrepresentation of audit dates,
- disregard for interview and work site sampling standards,
- use of group interview processes,
- shortcuts being used to perform documentation review and site observations,
- the use of untrained, uncertified and unacknowledged "helpers" as part of an audit team, and
- Auditor Code of Ethics violations.

All of these practices devalue the audit report and put audit findings and the employer's eligibility for a Certificate of Recognition into question. These practices are also difficult to identify through a desktop review, and affected employers appear unlikely to report issues to their Certifying Partner, either because they are unaware of audit process/standards or because they are unwilling to jeopardize their COR status by lodging a complaint. All CPs included in the pilot project agreed that OSAR results suggest some kind of on-site follow-up should be added to the existing quality assurance processes.

Suggestions to be further considered include the following:

- Introduce a post-audit questionnaire for employers which asks them to confirm critical audit details such as audit dates, number of interviews, number of auditors, whether observation tours were completed, etc. This questionnaire could be in the form or a written document or completed over the phone.
- Develop and implement a Partnerships standard allowing CPs to conduct targeted on-site audit reviews to verify the performance of specific auditors when reviewers have concerns that they may not be following the processes to which they were trained.

– Develop and implement an ongoing on-site review process based on the approach used for the OSAR pilot. The number, frequency and scope of the reviews would be determined after further consideration by Partnerships and the Certifying Partner group. Whether the reviews would be managed/completed by Partnerships or the Certifying Partners would be contingent on availability of funding, and subject to further consideration by the CP group and Partnerships.

It is recommended that a subcommittee be struck to consider the findings of the OSAR project and pursue implementation of one or more ongoing on-site audit review processes to support the existing quality assurance standards already in place.

APPENDIX A

ON-SITE AUDIT REVIEW TEMPLATE

<div style="background:navy;color:white;text-align:center">**Employer Interview Questions**</div>

1. Confirm the CORRS data in the table below.

Certifying Partner: _____ OSAR Date: _____

Company Name/Trade Name/Group Name: _____

Company Address: _____ City: _____

Company Contact:_____ Position/Title: _____

Phone: _____ Email: _____

Account Number(s): _____

Industry Code(s): _____

*Lead Auditor: _____

*Do not ask who the auditor was until the post-review meeting.

2. Ask the employer to supply the sampling data below. If they are unaware/unsure of the sample sizes, leave the response fields blank, and indicate the reason in the "notes" field.

Sampling Data		
Total # managers:	# managers sampled:	# worker interviews using questionnaires:
Total # supervisors:	# supervisors sampled:	# interviews by phone:
Total # workers:	# workers sampled:	# interviews by group:
Total # work sites:	# work sites sampled:	
Total # shifts:	# shifts sampled:	
How were interviewees selected:		
About how long was each interview:		
What parts of the operation were active during the audit?		
Brief description of operation:		
Notes 1:		

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3. Ask the employer to supply the data below. If they are unaware/unsure of the answer, leave the response field blank, and indicate the reason in the "notes" field.

QUESTIONS ABOUT THE AUDITOR/AUDIT		
Audit Start Date:	**Audit End Date:**	**Number of auditors:**
Notes 2:		

4. Ask the employer the following "yes" or "no" questions. If the employer does not know the answer to the questions, indicate the reason why in the "notes" field.

Did the auditor...?

☐ establish pre-audit communication with employer to determine scope, timing, sampling details, etc. before arrival at the site?

☐ conduct a pre-audit meeting?
    ☐ introduce themselves?
    ☐ invite questions?
    ☐ explain the audit process?

☐ conduct an escorted familiarization tour?

☐ conduct a review of documentation?

☐ conduct interviews with all levels of employee (managers, supervisors, workers)?
    ☐ start and end interviews on time?
    ☐ maintain confidentiality of interview results?

☐ conduct site observations?

☐ were site visits conducted as per the audit plan?

☐ request a knowledgeable site escort for site tours?

☐ conduct a post-audit meeting?
    ☐ communicate overall audit findings
    ☐ include strengths as well as areas in need of improvement?
    ☐ invite questions?
    ☐ tell you the audit score you should expect?
    ☐ explain the quality assurance and audit report approval process?

Notes 3:

5. Ask the employer to rate their overall impressions of the auditor. If the employer offers any additional information, record it in the notes fields for each question.

Employer Overall Impressions of the Auditor	Rating (from *1-5)	Notes 4
The auditor appeared competent to do the job.		
The auditor behaved in a professional manner.		
The auditor demonstrated good interpersonal and communication skills.		
The employer would use this auditor again.		

*5 - strongly agree
*4 – agree
*3 - no opinion
*2 – disagree
*1 - strongly disagree

Documentation Review and Observation Questions - Partnerships

Do not attempt to assign a score for the following questions, except as a guide for your own comparison with the scoring of the original auditor. Record your findings (including the percentage positive indicators) using clear and complete notes.

Once you receive the original audit report from the CP, use your notes to compare your findings to those of the original auditor, and record whether or not the results were similar, using the rating system provided.

	Partnerships Audit Template		
Partnerships Numbering	**Partnerships Questions**	**OSA Reviewer Notes**	Comparison Rating (0 – 5)
2.1a	Does the employer have a list of all jobs carried out at the work site? (D)		
2.1b	Has the employer compiled a list of all tasks associated with each job? (D)		
2.2	Are health and safety hazards identified for the jobs and tasks? (D)		
2.3	Have the health and safety hazards have been evaluated according to risk? (D)		
2.4	Are identified health and safety hazards have been prioritized according to risk? (D)		
2.5	Are workers involved in health and safety hazard identification and assessment? (D)		
2.7	Are the health and safety hazard assessments reviewed when changes to the operation are implemented? (D)		
3.1a	Have engineering controls been identified and implemented for the identified jobs/tasks? (D, O)		
3.1b	Have administrative controls been identified and implemented for the identified jobs/tasks? (D, O)		
3.1c	Has Personal Protective Equipment (PPE) been identified and implemented for the identified jobs/tasks? (D,O)		
3.2	Are workers involved in establishing the control of health and safety hazards? (D)		
3.4	Is there a process for maintaining equipment and preventing the use of defective equipment? (D)		

Audit Question Comparison Matrix

The OSARs will be conducted using the original audit Instrument, but for the sake of consistency, comparisons will be conducted against the questions in the Partnerships instrument. For those OSARS conducted using an audit instrument other than the Partnerships Audit, use the matrix below to determine how to match the Partnerships questions to the related questions from the CPs' protocol.

Partnerships Questions (AMTA, ASC)		AASP Question	ACSA Question	AFPA Question	Enform Question	New Enform Question	MHSA Question
2.1a	Does the employer have a list of all jobs carried out at the work site?	2.1	2.1	2.1a	C3a	B2a	2.1
2.1b	Has the employer compiled a list of all tasks associated with each job?	2.1	2.6	2.1a	C3a	B2b	2.1
2.2	Are health and safety hazards identified for the jobs and tasks?	2.2a 2.2b	2.4	2.1b	B2a	B2c1	2.2
2.3	Have the health and safety hazards have been evaluated according to risk?	2.3a 2.3b	2.5	2.1c	B3a C3b	B2c2	2.3
2.4	Are identified health and safety hazards prioritized according to risk?	2.4a 2.4b	2.5	2.1d	B3a	B2c3	2.4
2.5	Are workers involved in health and safety hazard identification and assessment?	2.5	2.3	2.3	B2c B3c C3d	B2h	2.5
2.7	Are the health and safety hazard assessments reviewed when changes to the operation are implemented?	2.7a 2.7b	2.2	2.2	B2b	B2e	2.7
3.1a	Have engineering controls been identified and implemented for the identified jobs/tasks?	3.1a	2.7	3.1a 3.1b 3.2a	B4e	C2a	3.1a 3.2a
3.1b	Have administrative controls been identified and implemented for the identified jobs/tasks?	3.1b	2.7 3.2 4.1	3.1a 3.1b 3.2b	C3c	C3a	3.1b 3.2b
3.1c	Has Personal Protective Equipment (PPE) been identified and implemented for the identified jobs/tasks?	3.1c	2.7 6.1 6.3	3.1a 3.1b 3.2c	C1a3	C4a	3.1c 3.2c
3.2	Are workers involved in establishing the control of health and safety hazards?	3.2	2.9	3.3	C3d	C1f	3.3
3.4	Is there a process for maintaining equipment and preventing the use of defective equipment?	3.7	7.1 7.3 7.5	3.5	B4a	C5a	5.3 5.4

APPENDIX B

Audit Question	Auditor scored significantly less than OSAR (1)	Auditor scored somewhat less than OSAR (2)	Auditor scored the same as OSAR (3)	Auditor scored somewhat higher than OSAR (4)	Auditor scored significantly higher than OSAR (5)
2.1a Does the employer have a list of all jobs carried out at the work site?	0%	1.8%	69.4%	19.6%	9%
2.1b Has the employer compiled a list of all tasks associated with each job?	0%	4.5%	67%	18.8%	8%
2.2 Are health and safety hazards identified for the jobs and tasks?	.9%	.9%	66%	24%	4.5%
2.3 Have the health and safety hazards been evaluated according to risk?	.9%	1.8%	62.5%	21.4%	12.5%
2.4 Are identified health and safety hazards prioritized according to risk?	2.7%	0%	55.4%	24.1%	19%
2.5 Are workers involved in health and safety hazard identification and assessment?	1.8%	.9%	76.8%	13.4%	6.3%
2.7 Are the health and safety hazard assessments reviewed when changes to the operation are implemented?	.9%	3.6%	67%	15%	13.4%
3.1a Have engineering controls been identified and implemented for the identified jobs/tasks?	1.8%	.9%	69.6%	25%	1.8%
3.1b Have administrative controls been identified and implemented for the identified jobs/tasks?	1.8%	1.8%	68.8%	24%	2.7%
3.1c Has PPE been identified and implemented for the identified jobs/tasks?	.9%	0%	78.6%	17%	2.7%
3.2 Are workers involved in establishing control of health and safety hazards?	1.8%	1.8%	79.5%	13.4%	3.6%
3.4 Is there a process for maintaining equipment and preventing the use of defective equipment?	2.7%	1.8%	88.4%	5.4%	.9%