

**Partnerships in Injury Reduction (PIR)**

**Documentation and Interview Health and Safety Audit Protocol**

**Organization Name:**

**Auditor Name(s):**       **Audit Date(s):**       to

**Last Audit Date(s):**       **Last Audit Score:**      **%**

Revised 20190101

As an AFPA Certified Auditor, I hereby declare that in the process of completing an audit, I will maintain the following standards:

**Professional Conduct:** I will behave in such a manner that my good faith and integrity will not be called into question.

**Corporate Opportunity:** I will not use either the employer’s or the AFPA’s intellectual property or information for personal gain (including for the gain of my family members or friends).

**Accuracy:** I will accurately and consistently evaluate the data obtained through documentation review, interviews, and site observation during the period of the audit.

**Honesty:** I will be honest in my dealings with persons involved in the audit, and in my assessment of workplace health and safety process strengths and suggestions for improvement.

**Objectivity:** I will attempt to clearly separate fact from opinion and not allow personal feelings or prejudices to affect the evaluation. I will maintain objectivity during the course of the audit by relying on original, specific, quantitative, measurable data to come to my conclusions.

**Completeness:** I will, to the best of my ability, attempt to evaluate the health & safety processes of each operation as completely as possible, and avoid any omissions relevant to the scope of the audit.

**Confidentiality:** I will treat all information, obtained through the audit process, as confidential and will not disclose the information to parties other than the employer and the AFPA, except where authorized or otherwise legally obligated to do so. I will do my best to maintain the anonymity of interviewees in order to reduce their perception of risk in speaking out, except in cases where anonymity will seriously compromise the integrity of the audit.

**Diligence:** I will act in good faith, responsibly with due care and competence, and without misrepresenting material facts or allowing my independent judgment to be compromised.

**Clarity:** I will ensure the suggestions for improvement and other notes and observations are clear, concise, reflective of the audit findings, and written in plain language.

**Relevance:** I will make recommendations that are relevant to the employers’ operations, meet the standards of the audit instrument and add value to improving the employer’s health and safety management system.

**Timeliness:** I will comply with all required timelines for audit completion, submission, and corrections.

**Duty to Report to AFPA:** I will immediately report any situation I encounter where another auditor(s) may have violated the Code of Ethics, or engaged in unethical audit practices.

**Compliance with Standards:** I will follow all auditing and quality assurance standards as established by the AFPA and Partnerships.

**Compliance with Legislation:** I will comply with all applicable laws, rules and regulations of federal, provincial and local governments, and appropriate private and public regulatory agencies**.**

**Conflict of Interest:** I will avoid situations of actual or perceived conflict of interest.

I will not use the audit as an opportunity to further myself with the employer or with other stakeholders.   
Neither I nor a member of my corporate group, if applicable (defined as auditor consulting firms or auditor professional corporations working in partnership arrangements) will conduct a certification / recertification audit of an employer:

* whose health and safety processes I helped to build, establish, implement, advise, consult, or maintain at any time during the past 12 months.
* that I have been employed by or in a direct contractual relationship with within the past 12 months, except for the following:
* delivering AFPA developed training courses,
* delivering generic training courses (in either group or individual employer settings),
* providing other services not directly evaluated by the audit instrument (e.g. audiometric testing).
* with whom I have a personal relationship either directly (e.g. family members, close personal friends) or with any key employees or members of the management group where that relationship may be perceived to influence the results of the audit.

I will not perform “Cross-audits”.

I will not conduct a peer certification / recertification audit of the principal(s) or prime contractor my employer is working for at the time of the audit.

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| Auditor Name |  | Signature |  | Date |

* I hereby acknowledge and agree that notification of any disciplinary measures, including, without limitation, suspension or revocation of my AFPA certification, may be given to any or all organizations that have received an audit from me in the twenty-four (24) months prior to the date when the disciplinary measure was imposed.
* I hereby acknowledge that if I am suspended for any period of time through disciplinary process, all Certifying Partners will be notified as per the Partnerships requirements.
* I furthermore acknowledge that I will not pursue legal action against any decision maker(s) or their organization(s) as a result of the application of the Auditor Discipline Policy.

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| Auditor Name |  | Signature |  | Date |

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| **1.1** | Is there a written policy signed by the current senior operating officer that addresses the protection and maintenance of employee health and safety? | (0 or 3) | Review the written Health and Safety Policy. To award points the policy must contain:   * A declaration of management commitment to health and safety that addresses the physical, psychological, and social well-being of employees * Goals and objectives to achieve a healthy and safe work site * A requirement to comply with government legislation * A statement of responsibilities and accountabilities for health and safety by management, workers, and other work site parties. |
| **D** | Notes: |
| **1.2** | Is the health and safety policy communicated to all employees? | (0 - 5) | Interview employees to verify a general understanding of the policy’s content. |
| **I** | Notes: |
| **1.3** | Does the company have a current copy of the OHS Act, Regulation and Code and amendments? | N/A  (0 or 3) | Ensure applicable legislation, and (*current*) amendments are readily available for employee use. |
| **O** | Notes:  No notes required here! |
| **1.4** | Have specific health and safety responsibilities been written for:   1. senior managers? | (0 or 3) | Review documentation other than the health and safety policy in 1.1 (e.g. employee contracts, job descriptions, handbooks, company health and safety manual, etc.).  (Depending on the size or nature of the organization, one or more of these categories may not be applicable.) |
| **D** | Notes: |
|  | 1. managers? | (0 or 3) |
| **D** | Notes: |
|  | 1. supervisors? | (0 or 3) |
| **D** | Notes: |
|  | 1. workers? | (0 or 3) |
| **D** | Notes: |
| **1.5** | Are employees knowledgeable about their workplace health and safety responsibilities:   1. under applicable legislation? | (0 - 5) | Interview to ensure employees have a working knowledge of OHS legislation applicable to their work, and any work they oversee. Points awarded based on a percentage of positive indicators. |
| **I** | Notes: |
|  | 1. under company policies? | (0 - 5) | Interview employees. Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **1.6** | Do employees understand their occupational health and safety rights? | (0 - 5) | Interview employees to verify understanding of the 3 rights protected under OHS legislation:   * right to know, * right to participate, and * right to refuse dangerous work.   Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **1.7** | Are senior managers, managers, and supervisors aware of their responsibility for the health and safety of the workers under their supervision? | (0 - 5) | Interview senior managers, managers and supervisors. Score based on percentage of positive responses from interviews. |
| **I** | Notes: |
| **1.8** | Does senior management communicate to workers the following at least once annually:   1. Why health and safety is important and who it affects? | (0 or 5) | Interview supervisors and workers. Award points for 70%+ positive response. |
| **I** | Notes: |
|  | 1. The company’s commitment to health and safety? | (0 or 5) |  |
| **I** | Notes: |
| **1.9** | Do managers tour the work site to observe health and safety practices and behaviors?   1. Senior managers?  * every six months (10 points) * yearly (5 points) | (0 or 5 or 10) | Review records or conduct interviews and score by using either. Award points for positive documentation findings or 70%+ positive interview response in each category. |
| **D or I** | Notes: |
|  | 1. Middle Managers?  * every 3 months (10 points) * every 6 months (5 points) | (0 or 5 or 10) |
| **D or I** | Notes: |
|  | 1. Supervisors?  * Daily (10 points) * Weekly (5 points) | (0 or 5 or 10) |
| **D or I** | Notes: |

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| **ELEMENT 1 AUDIT SCORE** | | | | | |
| Audit element score possible: | **80** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points possible:  /  =  x 100 = **%** | | | |
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| **2.1** | Have formal hazard assessments been conducted to identify both health and safety hazards in the workplace?   1. Has an inventory been taken of jobs? | (0 - 10) | Review documentation. A list of employee occupations (jobs) should be in place. Points are awarded based on the percentage of JOBS inventoried. |
| **D** | Notes: |
|  | 1. Has an inventory been taken of tasks? | (0 - 10) | Review job inventory. A list of the various tasks within those occupations (jobs) should be identified. Points are awarded based on the percentage of TASKS inventoried. The points awarded here (2.1b) must not exceed the points awarded in 2.1a. |
| **D** | Notes: |
|  | 1. Are health and safety hazards identified for tasks listed in the inventory?  * health hazards | (0 - 20) | Review hazard assessment documentation to determine if BOTH health and safety hazards have been identified for tasks listed in the inventory. |
| **D** | Notes: |
|  | * safety hazards | (0 - 20) | Points are awarded based on the percentage of tasks for which hazards have been identified. |
| **D** | Notes: |
|  | 1. Is there a system in place to evaluate the level of risk associated with identified hazards? | (0 or 5) | Review hazard assessment documentation to determine if a system to consistently evaluate the level of risk is in place (for example, a risk matrix that includes likelihood and severity may be used). Points are awarded if a system is in place. |
| **D** | Notes: |
|  | 1. Are hazards evaluated and prioritized according to risk? | (0 or 15) | Review hazard assessment documentation to determine if hazards are evaluated (using the system outlined in 2.1d) to determine the order of importance for implementing controls. Award points if at least 90% of hazards have been evaluated to determine risk. No points awarded if the score in 2.1d is 0. |
| **D** | Notes: |
| **2.2** | Are senior managers knowledgeable about the critical (high hazard) tasks conducted in the workplace? | (0 or 10) | Interview senior managers. Award points if senior management can identify at least 80% of the critical tasks conducted in the workplace. No points awarded if the score in 2.1e is 0. |
| **I** | Notes: |
| **2.3** | Are the following involved in the formal hazard assessment process:   1. managers? | (0 or 5) | Conduct interviews. Verify by a review of hazard assessment documentation (2.1). At least 70% of those interviewed in each category must be aware of manager, supervisor or worker involvement in the formal hazard assessment process and/or review. This does not mean all managers, supervisors or workers need to be involved. Involvement could be through health and safety committees, teams, safety representatives, projects, pre-job planning as it relates to the formal hazard assessment itself, etc. |
| **I** | Notes: |
|  | 1. supervisors? | (0 or 5) |
| **I** | Notes: |
|  | 1. workers? | (0 or 5) |
| **I** | Notes: |
| **2.4** | Are key employees trained in how to identify and assess workplace hazards? | (0 or 5) | Review internal and/or external training records. Records for employees responsible for hazard assessment results (i.e. lead) must be available. |
| **D** | Notes: |
| **2.5** | Are site-specific (field-level) hazard assessments required where work site conditions change or when non-routine work is added? | (0 or 10 | Review documentation. To award points, a policy and procedures for conducting site specific hazard assessments must be in place. It must include:   * work conducted at temporary/mobile work sites, * work activities at a site not owned by their employer and * new work activities that have been temporarily introduced. |
| **D** | Notes: |
| **2.6** | When site-specific(field-level) hazard assessments are required, are they:   1. conducted daily, before work begins? | (0 - 5) | Interview employees. Points are awarded based on the percentage of positive indicators. |
| **I** | Notes: |
|  | 1. repeated if changes are introduced? | (0 - 5) |
| **I** | Notes: |
| **2.7** | When site-specific (field-level) hazard assessments are conducted, are affected employees included in the process? | (0 or 5) | Review documentation. Records should include sign-off by all affected employees. |
| **D** | Notes: |
| **2.8** | Do site-specific (field-level) hazard assessments result in the control of the hazards identified? | (0 or 5) | Review records. Controls should be listed for all identified hazards. |
| **D** | Notes: |
| **2.9** | Have the formal hazard assessments been reviewed:   1. on a regular basis, designed to keep the results up to date? | (0 or 3) | Review policy/process documents. Points are awarded if formal hazard assessment review requirements are stated and met. |
| **D** | Notes: |
|  | 1. when a new work process is introduced? | (0 or 3) |
| **D** | Notes: |
|  | 1. when changes to the operation are implemented? | (0 or 3) |  |
| **D** | Notes: |
|  | 1. when site-specific hazard assessments, inspections, and/or investigations identify a previously unrecognized hazard? | (0 or 3) |  |
| **D** | Notes: |
| **2.10** | Is there a system in place whereby employees can report unsafe or unhealthy conditions and practices? | (0 or 10) | Review documentation and interview employees about the reporting system. Auditor notes should explain the system used. |
| **DI** | Notes: |

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| **ELEMENT 2 AUDIT SCORE** | | | | | |
| Audit element score possible: | **162** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points possible:  /  =  x 100 = **%** | | | |
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| **3.1** | Are controls recommended for health and safety hazards identified by the formal hazard assessment?   * health hazard controls | (0 - 10) | Review formal hazard assessments. Controls must be recommended for identified hazards. Points are awarded based on the percentage of hazards for which controls have been recommended. No points awarded if the score in 2.1c is 0. |
| **D** | Notes: |
|  | * safety hazard controls | (0 - 10) |
| **D** | Notes: |
| **3.2** | Do hazard assessments result in the identification of the following types of control methods:   1. engineering? | (0 or 3) | Review formal hazard assessments to verify that the 3 types of controls (engineering, administrative and personal protective equipment) have been identified for use, where appropriate. |
| **D** | Notes: |
|  | 1. administration? | (0 or 3) |
| **D** | Notes: |
|  | 1. personal protective equipment (PPE)? | (0 or 2) |
| **D** | Notes: |
| **3.3** | Have the recommended hazard controls been implemented in the workplace? | N/A  (0 -30) | Conduct observations to verify that controls recommended in 3.1 have been implemented. (Implementation does not mean employee use of controls.)  Points awarded based on a percentage of recommended controls that have been implemented for employee use. No points awarded if the score in 3.1 is 0. |
| **O** | Notes:  No notes required here! |
| **3.4** | Are controls implemented for ALL identified critical (high) hazards? | N/A  (0 or10) | Review evaluated hazard inventory and observe implemented controls. Implementation does not mean use of controls. Points awarded if all critical hazards have been controlled. |
| **DO** | Notes:  No notes required here! |
| **3.5** | Are managers and workers involved in the formal hazard control process? | (0 or10) | Interview managers and workers. At least 70% of those interviewed must be aware of manager and worker involvement in the development, review and/or implementation of controls as they relate to the formal hazard assessment. Involvement could be through committees, teams, safety representatives, etc. Not all manager/workers need to be involved. |
| **I** | Notes: |
| **3.6** | Are employees using controls developed for identified health and safety hazards? | N/A  (0 -20) | Observe employees using controls. Verify by interview. Compare/observe employee performance against hazard controls developed in 3.1 and implemented in 3.2 and 3.3. Assign points based on the percentage of controls used by employees. |
| **O** | Notes:  No notes required here! |
| **3.7** | Do supervisors enforce the use of hazard controls? | (0 - 15) | Interview supervisors and workers. Award points based on a percentage of positive interview response. |
| **I** | Notes: |
| **3.8** | Has a plan for preventing workplace violence been developed?   1. Does the plan include a violence prevention policy? | (0 or 3) | Review the written violence prevention policy. To award points the policy must contain a commitment to eliminating or controlling workplace violence and statements such as:   * Incidents of violence will be investigated and corrective action taken, * Private information is kept confidential, and * Workers are not discouraged from exercising their rights under any other laws (e.g. the Alberta Human Rights Act.). |
| **D** | Notes: |
|  | 1. Does the plan include violence prevention procedures in accordance with legislation? | (0 or 3) | Review violence prevention procedures and compare to OHS Code requirements  (Part 27 Section 390.2).  All legislative requirements must be met to award points. |
| **D** | Notes: |
|  | 1. Are employees trained in how to recognize and respond to workplace violence? | (0 - 5) | Interview employees. Employees must be able to describe how to recognize incidents of violence, how to respond appropriately and procedures to follow for reporting, investigating and documenting incidents.  Award points based on a percentage of positive interview response. |
| **I** | Notes: |
| **3.9** | Has a plan for preventing workplace harassment been developed?   1. Does the plan include a harassment prevention policy? | (0 or 3) | Review the written harassment prevention policy. To award points the policy must contain a commitment to eliminating or controlling harassment on-site and statements such as:   * Incidents of harassment will be investigated and corrective action taken, * Private information is kept confidential, and * Workers are not discouraged from exercising their rights under any other laws (e.g. the Alberta Human Rights Act.). |
| **D** | Notes: |
|  | 1. Does the plan include harassment prevention procedures in accordance with legislation? | (0 or 3) | Review the harassment prevention procedures. To award points the following must be included:   * worker reporting instructions, * employer process for preventing, documenting, and investigating incident of harassment, * process for disclosing investigation results and corrective action to affected parties. |
| **D** | Notes: |
|  | 1. Are employees trained in how to recognize and respond to workplace harassment? | (0 - 5) | Interview employees. Employees must be able to describe how to recognize incidents of harassment, how to respond appropriately and procedures to follow for reporting, investigating and documenting incidents.  Award points based on a percentage of positive interview response. |
| **I** | Notes: |
| **3.10** | Are violence and harassment prevention plans reviewed? | (0 or 5) | Review documentation.  To award points, violence and harassment prevention plans must be reviewed every 3 years, when an incident of violence or harassment occurs, and when the HSC or HSR recommends a review. |
| **D** | Notes: |
| **3.11** | 1. Is a Preventative Maintenance program for vehicles, equipment and tools in place? | (0 or 5) | Review documentation. A requirement for scheduled, ongoing preventative maintenance of vehicles, equipment and tools (as applicable) should be in place. |
| **D** | Notes: |
|  | 1. Is the Preventative Maintenance program followed? | (0 - 10) | Review records. Records must demonstrate that the schedule for regular maintenance is followed. Points awarded based on a percentage of positive indicators. If question 3.11a is scored as “0”, no points can be awarded. |
| **D** | Notes: |
| **3.12** | Is there as system in place that ensures defective equipment is taken out of service? | (0 -15) | Review documentation and interview workers to confirm that defective equipped is removed from service as per company policy/procedure.  Award 5 points for system in place and 10 points based on percentage of positive worker interviews. |
| **DI** | Notes: |
| **3.13** | Has a system for managing hazardous products used in the workplace been developed?   1. Is an inventory of hazardous products available? | (0 or 5) | Review inventory and Safety Data Sheets (SDS’s). Points are awarded based on 90% positive findings. | |
| **D** | Notes: |
|  | 1. Are current Safety Data Sheets (SDS) readily available for all hazardous products used on-site? | (0 or 5) |
| **D** | Notes: |
|  | 1. Are hazardous products handled correctly in the work site? | N/A  (0 or 5) | Observe the work site for correct labeling and storage of hazardous products. Points are awarded based on 90% observance. | |
| **O** | Notes:  No notes required here! |

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| **ELEMENT 3 AUDIT SCORE** | | | | | |
| Audit element score possible: | **120** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points possible:  /  =  x 100 = **%** | | | |
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| **4.1** | Are critical health and safety issues (e.g. emergency evacuation procedures, alarm systems, hazard reporting, etc.) addressed prior to starting regular duties? | (0 or10) | Interview workers. Verify through a review of records.  90% positive response is required in interviews to score. |
| **I** | Notes: |
| **4.2** | Are workers given general orientation that includes:   1. company policies and procedures? | (0 or 5) | Interview workers. Verify through a review of records.  90% positive response is required in interviews to score. |
| **I** | Notes: |
|  | 1. company enforcement policy? | (0 or 5) |
| **I** | Notes: |
|  | 1. worker occupational health and safety rights (right to know, right to participate and right to refuse dangerous work)? | (0 or 5) |
| **I** | Notes: |
| **4.3** | Do supervisors ensure that workers under their supervision have received their orientation(s)? | (0 - 5) | Interview supervisors.  Points awarded based on percentage positive indicators. |
| **I** | Notes: |
| **4.4** | Where formal qualifications are required, is there a process to verify? | (0 or10) | Review documentation. |
| **D** | Notes: |
| **4.5** | Are workers given job-specific health and safety training that includes:   1. job responsibilities? | (0 - 10) | Interview workers. Verify through a review of training records.  Points are awarded based on a percentage of positive interview response. |
| **I** | Notes: |
|  | 1. specific job hazards? | (0 - 10) |
| **I** | Notes: |
|  | 1. hazard controls? | (0 - 10) |
| **I** | Notes: |
| **4.6** | When workers are re-assigned or when operational changes require it, are they given job-specific training to ensure they are competent to carry out their assignment? | (0 or10) | Interview supervisors and workers. Verify through review of records.  90% positive response is required in interviews to score. |
| **I** | Notes: |
| **4.7** | Is there a process to assess the competency of new and re-assigned workers? | (0 or10) | Review documentation. Competency evaluations should include a practical demonstration to assess worker knowledge and skill. Verify through supervisor interviews. |
| **D** | Notes: |
| **4.8** | Is ongoing training provided at set intervals or when operational changes require it? | (0 -10) | Review training records.  Documentation must show ongoing training, recertification and refresher or competency assessment in job specific skills, such as skills upgrading, WHMIS, first aid, defensive driving, TDG, etc.  Points awarded based on a percentage of positive indicators. |
| **D** | Notes: |
| **4.9** | Have supervisors received training designed to support their role? | (0 - 10) | Interview supervisors.  Verify through a review of records. (Examples of training should include: hazard identification, effective inspection methods, incident investigation, communication strategies, conducting meetings, enforcement/ discipline, etc.). |
| **I** | Notes: |
| **4.10** | Are records kept of employee training? | (0 or 5) | Review training records. Records of both internal and external training should be included. |
| **D** | Notes: |

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| **ELEMENT 4 AUDIT SCORE** | | | | | |
| Audit element score possible: | **115** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points possible:  /  =  x 100 = **%** | | | |
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| **5.1** | Has a plan been implemented to protect individuals in the vicinity of the employer’s work site? | (0 or 5) | Review documentation to verify a strategy is in place to protect other workers, visitors and any person NOT under the direction of the employer but in the vicinity of the work site. |
| **D** | Notes: |
| **5.2** | Is a pre-qualification process in place to ensure employers and self-employed persons under the direction of the contracting employer (company) are qualified for the requirements of the job? | (0 or 10) | Review documentation to confirm a process is in place for evaluating and selecting candidates. |
| **D** | Notes: |
| **5.3** | 1. Is there a process in place to ensure the health and safety of visitors? | (0 -10) | Interview on-site visitors, if possible, and person(s) responsible for orientation delivery. If no visitors to interview, review documentation to score. |
| **I or D** | Notes: |
|  | 1. Are employers and self-employed persons under the direction of the contracting employer (company) given general orientation? | (0 -10) | Review documentation. |
| **D** | Notes: |
| **5.4** | Are employers and self-employed persons under the direction of the contracting employer (company) aware of the company health and safety policy? | (0 - 5) | Interview employers and self-employed persons under the direction of the contracting employer. Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **5.5** | Is key health and safety information communicated to affected external work site parties regarding:   1. work site hazards and controls? | (0 or 5) | Interview external work site parties (e.g. employers, self-employed persons, suppliers, etc.) to verify that hazards and controls that could affect them while on-site are communicated.  90% positive response is required in interviews to score. |
| **I** | Notes: |
|  | 1. health and safety responsibilities while on-site? | (0 or 5) | Interview employers and self-employed persons on-site.  90% positive response is required in interviews to score. |
| **I** | Notes: |
|  | 1. operational changes that may affect their health and safety while on-site? | (0 or 5) |
| **I** | Notes: |
| **5.6** | Is key health and safety information readily available to affected external work site parties? | (0 - 10) | Interview managers, supervisors and affected external work site parties to verify key health and safety information is available. This may include hazard assessments, emergency response procedures, investigations, SDSs, first aid supplies and facilities, etc. Points awarded based on a percentage of positive response. |
| **I** | Notes: |
| **5.7** | Where there are employers and self-employed persons under the direction of the contracting employer (company) involved on the work site, is there:   1. a requirement to regularly monitor their activities to ensure applicable policies and procedures are followed? | (0 or 5) | Review documentation. |
| **D** | Notes: |
|  | 1. a process for dealing with non-compliance? | (0 or 5) | Conduct interviews. Verify by reviewing documentation.  90% positive response is required in interviews to award points. If no one is available to interview, score based on documentation. |
| **I or D** | Notes: |

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| **ELEMENT 5 AUDIT SCORE** | | | | | |
| Audit element score possible: | **75** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points possible:  /  =  x 100 = **%** | | | |
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| **6.1** | Is there a written inspection process in place that states the frequency of formal inspections of the operation by:   1. managers and supervisors? | (0 or 10) | Review documentation. | |
| **D** | Notes: |
|  | 1. workers? | (0 or 10) |  | |
| **D** | Notes: |
| **6.2** | Are inspections conducted in accordance with the policy by:   1. managers and supervisors? | (0 - 10) | Interview managers and supervisors. Inspections must include observations of OHS behaviors and conditions. Verify through a review of inspection records. Points awarded based on a percentage of positive interviews. | |
| **I** | Notes: |
|  | 1. workers? | (0 - 10) | Interview workers. Verify through a review of inspection records. Points awarded based on a percentage of positive interviews. | |
| **I** | Notes: |
| **6.3** | Have persons involved in conducting inspections been trained in inspection methods? | (0 or 15) | Review training records. | |
| **D** | Notes: |
| **6.4** | Is a standard format used for documenting inspections? | (0 or 5) | Review inspection reports/ forms/checklists. | |
| **D** | Notes: |
| **6.5** | Is there a system in place to ensure timely correction of substandard conditions and practices identified in inspection reports? | (0 or10) | Review documentation to verify a system is in place. | |
| **D** | Notes: |
| **6.6** | Are substandard conditions and practices identified in inspection reports corrected? | N/A  (0 -10) | Observe items identified in inspection reports to verify corrections have been implemented. Points awarded based on a percentage of positive observations. | |
| **O** | Notes:  No notes required here! |
| **6.7** | Are inspection reports reviewed and signed off by management? | (0 or 10) | Review inspection reports. and interview senior managers and managers. Use any combination of documentation and interview to score the question. |
| **DI** | Notes: |
| **6.8** | Is there a system in place whereby management ensures ongoing compliance with the occupational Health and Safety Act, Regulation and Code, and company health and safety standards? | (0 - 10) | Interview managers and workers. Verify by reviewing documentation. Points are awarded based on percentage of positive manager/worker interviews. |
| **I** | Notes: |

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| **ELEMENT 6 AUDIT SCORE** | | | | | |
| Audit element score possible: | **90** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points possible:  /  =  x 100 = **%** | | | |
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| **7.1** | Is there a written emergency response plan at each work site appropriate to the potential emergencies at the site? | (0–25) | Review written emergency response plan(s). Points awarded based on a percentage of positive findings. |
| **D** | Notes: |
| **7.2** | Do emergency response plans include:   1. communication systems? | (0 or 5) | Review emergency response plan(s) (6.1) for communication systems (i.e. alarms, process for contacting internal/external emergency contacts, radio call signs, etc.). |
| **D** | Notes: |
|  | 1. emergency phone numbers? | (0 or 5) | Review emergency response plan(s) (6.1) for posted emergency phone numbers. They must applicable to the work site. List must include more than 911. |
| **D** | Notes: |
|  | 1. list of emergency response personnel? | (0 or 5) | Review emergency response plan(s) (6.1) a list of designated emergency response personnel. |
| **D** | Notes: |
|  | 1. evacuation procedures? | (0 or 5) | Review emergency response plan(s) (6.1) for written evacuation/muster procedures. |
| **D** | Notes: |
| **7.3** | Are employees given emergency response training appropriate to their individual responsibilities? | (0 or 10) | Review emergency response training records. Verify by interviewing employees. |
| **D** | Notes: |
| **7.4** | Are all employees knowledgeable about their responsibilities under the emergency response plan? | (0 or 15) | Interview employees. All must be aware to score. |
| **I** | Notes: |
| **7.5** | Are periodic emergency response drills conducted to measure the plan’s effectiveness? | (0 or10) | Interview employees. Verify through a review of records. 90%+ employee participation is required to award points. |
| **I** | Notes: |
| **7.6** | Are revisions to the emergency response plan made when deficiencies are identified through a drill or an actual emergency response? | (0 or 10) | Review documentation. Where no deficiencies were noted from a response/drill, this question can be marked n/a. If no response/drill occurred, this question should be scored “0”. |
| **D** | Notes: |
| **7.7** | Does the number of employees trained in first aid meet legislated requirements? | (0 or 10) | Review training records of employee responders and compare to Legislation. |
| **D** | Notes: |
| **7.8** | Do first aid supplies and facilities meet legislated requirements? | N/A  (0 or 10) | Observe supplies and facilities and compare to Legislation. |
| **DO** | Notes:  No notes required here! |

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| **ELEMENT 7 AUDIT SCORE** | | | | | |
| Audit element score possible: | **100** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points possible:  /  =  x 100 = **%** | | | |
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| **8.1** | Is there a written process in place that requires reporting of all workplace incidents, health occurrences, near misses and work refusals? | (0 or 10) | Review incident investigation process documents.  Both internal and external (e.g. OHS and WCB) reporting requirements must be addressed. |
| **D** | Notes: |
| **8.2** | Are employees knowledgeable about the incident reporting process? | (0 or 10) | Interview employees.  Points awarded based on 80% positive response. |
| **I** | Notes: |
| **8.3** | Do employees report workplace incidents, health occurrences, near misses and work refusals? | (0 - 10) | Interview employees. Verify through documentation review.  Points awarded based on a percentage of positive indicators. |
| **I** | Notes: |
| **8.4** | Is a standard format used for documenting workplace incidents, health occurrences, and near misses? | (0 or 5) | Review incident report form. |
| **D** | Notes: |
| **8.5** | Is there a written process in place that requires investigation of workplace incidents, health occurrences, near misses and work refusals? | (0 or 10) | Review incident investigation process documents. The process should include a requirement for gathering evidence, identifying root cause, corrective action, and management sign-off. |
| **D** | Notes: |
| **8.6** | Have the persons investigating incidents been trained in incident investigation and cause analysis techniques? | (0 or 10) | Review training records of those assigned to investigate incidents. Verify by interview of investigators. |
| **D** | Notes: |
| **8.7** | Are the following involved in incident investigations?   1. managers and supervisors? | (0 or 10) | Interview managers and supervisors. Verify by reviewing policy documents.  Minimum 80% positive response is required in interviews to score. |
| **I** | Notes: |
|  | 1. workers? | (0 or 10) | Interview workers. Verify by reviewing policy documents. Minimum 80% positive response is required in interviews to score. |
| **I** | Notes: |
| **8.8** | Do investigations focus on:   1. gathering evidence and identifying root causes? | (0 - 10) | Review completed investigation records.  Award points based on a percentage of investigations that have gathered evidence AND identified root cause. |
| **D** | Notes: |
|  | 1. recommending corrective action? | (0 - 10) | Review completed investigation records. Corrective actions should be designed to prevent recurrence. Award points based on a percentage of positive indicators. |
| **D** | Notes: |
| **8.9** | Are corrective actions taken to prevent recurrence? | (0 - 10) | Review records. Award points based on a percentage of positive indicators. |
| **D** | Notes: |
| **8.10** | Is management held responsible for the results of investigations? | (0 or 5) | Review documentation.  Points are awarded if a policy exists holding managers/ supervisors accountable for timely investigations in which relevant causes are identified, and corrective actions implemented. |
| **D** | Notes: |
| **8.11** | Are all incident investigation reports reviewed by senior site management and signed off? | (0 or 10) | Review completed investigation records and interview management.  At least 90% positive documentation and interviews response required to score. |
| **DI** | Notes: |
| **8.12** | Are incident investigation results communicated to employees? | (0 or 10) | Interview workers. Verify through review of minutes of tool box or health and safety meetings.  80% positive response required in interviews to score. |
| **I** | Notes: |

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| **ELEMENT 8 AUDIT SCORE** | | | | | |
| Audit element score possible: | **130** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points possible:  /  =  x 100 = **%** | | | |
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| **9.1** | Has the company established one or more Joint Work Site Health and Safety Committee(s) in accordance with legislation? | (0 or 5) | Review records and compare to the OHS Act (Part 3 Section 16). |
| **D** | Notes: |
| **9.2** | Are there complete written terms of reference to guide committee activities? | (0 or 5) | Review written terms of reference. To be complete, they must include membership structure, term of office, duties, dispute resolution process and a process for coordinating with other HSCs. |
| **D** | Notes: |
| **9.3** | Has one or more Work Site Health and Safety Representative(s) been selected in accordance with legislation? | (0 or 5) | Review records and compare to the OHS Act (Part 3 Section 17). |
| **D** | Notes: |
| **9.4** | Has a procedure been developed to guide the activities of the health and safety representative(s)? | (0 or 5) | Review documentation to verify procedures, in line with health and safety representative(s) duties, are written. |
| **D** | Notes: |
| **9.5** | Are the names and contact information of committee members and/or health and safety representative(s) posted in accordance with legislation? | N/A  (0 or 5) | Observe work site for clearly posted names and contacts at each work site represented by a committee and/or health and safety representative. |
| **O** | Notes:  No notes required here! |
| **9.6** | Are members of the committee and/or health and safety representative(s) given training relevant to their responsibilities? | (0 or 10) | Interview committee members and/or health and safety representative(s). Verify by reviewing records. Points based on 90% positive responses. |
| **I** | Notes: |
| **9.7** | Are committee members and health and safety representative(s) aware of their responsibilities in accordance with their role? | (0 - 10) | Interview committee members and/or health and safety representative(s) to verify they have a general understanding of applicable duties. |
| **I** | Notes: |
| **9.8** | Is there a system in place to address health and safety concerns and complaints? | (0 or 10) | Review documentation to determine if a system is in place whereby the HSCs and/or HSR(s) can address health and safety concerns and/or complaints and provide recommendations. |
| **D** | Notes: |
| **9.9** | Are members of the committee and/or health and safety representatives involved in:   1. issues resolution including receipt, consideration and disposition of concerns and complaints? | (0 or 5) | Interview committee members, HSRs and workers. Verify by reviewing records. Points awarded based on 90% positive responses. |
| **I** | Notes: |
|  | 1. hazard identification and communication? | (0 or 5) |
| **I** | Notes: |
|  | 1. hazard control? | (0 or 5) |
| **I** | Notes: |
|  | 1. training and promotion of health and safety issues? | (0 or 5) |  |
| **I** | Notes: |
|  | 1. inspections? | (0 or 5) |  |
| **I** | Notes: |
|  | 1. incident investigations? | (0 or 5) |  |
| **I** | Notes: |
|  | 1. officer directed activities? | (0 or 5) |  |
| **I** | Notes: |
| **9.10** | Are health and safety concerns and/or complaints resolved in a timely manner? | (0 or 10) | Interview committee members, HSR(s) and workers. Points awarded based on 90% positive responses. |
| **I** | Notes: |
| **9.11** | Are records of health and safety committee(s) and health and safety representative(s) activities maintained in accordance with legislation? | (0 or 5) | Review records. Records should be available for three years to allow for an ongoing evaluation of processes. If less than three years are available, records should exist since start-up of the HSC and HSR. |
| **D** | Notes: |
| **9.12** | Are minutes of committee meetings readily available to employees? | (0 or 5) | Review minutes and interview employees. Award points based on 90% positive findings. |
| **DI** | Notes: |

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| **ELEMENT 9 AUDIT SCORE** | | | | | |
| Audit element score possible: | **105** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points possible:  /  =  x 100 = **%** | | | |
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| **10.1** | Is there a system in place to ensure:   1. management communicates health and safety issues (including improvements) to employees? | (0 or 10) | Review documentation (e.g. newsletters, safety meeting minutes, bulletins, posters, etc.) and interview workers.  Use any combination of documentation and interview to score the questions. |
| **DI** | Notes: |
|  | 1. feedback on health and safety issues is sought from employees? | (0 or 5) |
| **DI** | Notes: |
|  | 1. changes to hazard controls are communicated to affected workers? | (0 or 5) | Review documentation and interview workers.  Use any combination of documentation and interview to score the question. |
| **DI** | Notes: |
|  | 1. results from occupational health and safety management system evaluations are communicated to affected employees? | (0 or 5) |
| **DI** | Notes: |
| **10.2** | 1. Are records pertaining to health and safety processes kept for a minimum three year period to allow for an ongoing evaluation of the processes? | (0 or 5) | Review records. If the employer’s processes have not been in place for three years, records should be available since startup of the health and safety processes. |
| **D** | Notes: |
|  | 1. Is key health and safety information readily available to employees? | (0 - 10) | Interview employees to verify key health and safety information is available. This may include hazard assessments, policies, procedures, investigation results, etc. Points awarded based on a percentage of positive response. |
| **I** | Notes: |
| **10.3** | Are safety and loss control records and statistics analyzed to identify trends and needs? | (0, or 5 or 10) | Review records (e.g. hazard assessments, completed inspections, incident reports, investigation reports, drills, meeting minutes, training records, etc.) and statistics. Analysis must occur annually, at a minimum, to score points.  Allocate 5 points for safety and 5 points for loss. |
| **D** | Notes: |
| **10.4** | Is the information contained in records and statistics used to improve health and safety processes? | (0 - 10) | Interview management. Verify through review of relevant records. Award points based on a percentage of positive indicators. |
| **I** | Notes: |
| **10.5** | Does senior management conduct an annual review designed to set the strategic direction of the occupational health and safety management system? | (0 or 10) | Interview senior management. To award point, interview response must address:   * Analysis of records/statistics, * Review of audit results including recommendations, * Development of a plan for the following year. |
| **I** | Notes: |
| **10.6** | Have sufficient resources been allocated to occupational health and safety? | (0 or 10) | Interview employees. 80% positive response is required in interviews to score. |
| **I** | Notes: |
| **10.7** | Are employees accountable for their individual health and safety responsibilities? | (0 or 5) | Interview supervisors and workers to ensure they are not only responsible but answerable for their actions. Verify by review of documentation. 80% positive response is required in interviews to score. |
| **I** | Notes: |
| **10.8** | Is the occupational health and safety management system evaluated annually through the use of an audit process? | (0 or 10) | Review previous annual audits. Audits should be completed in the next calendar year, and within 15 months of the previous years’ audit end date. |
| **D** | Notes: |
| **10.9** | Have recommendations from the previous audit process been initiated or implemented? | (0 - 20) | Audit “Suggestions for Improvement (SFI)” have been implemented or initiated. Award points based on the percentage of SFI that have been implemented or assessed and action planned. |
| **D** | Notes: |

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| **ELEMENT 10 AUDIT SCORE** | | | | | |
| Audit element score possible: | **115** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points possible:  /  =  x 100 = **%** | | | |
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