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Alberta Forest Products Association

**Partnerships in Injury Reduction (PIR)**

## Small Employer Documentation Only Audit Protocol

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| Company Name: |  | | | |
| Auditor Name(s): |  | | | |
| Audit Date(s): |  |  | Last Audit Date(s): |  |
| Last Audit Score: |  |  |  |  |

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 current, written Health and Safety Policy signed and dated by the owner? | (0 or 1) | Review the written health and safety policy.  The policy must state:   * management’s commitment to health and safety (HS) * overall goals and objectives * general HS responsibilities of employees & contractors * requirement to comply with relevant legislation & company HS standards |
| D | Notes: |
| **1.2** | Do employees know what the Workplace Health and Safety Policy states? | (0 or 1) | Explain how employees are made aware of the policy. |
| D | Notes: |
| **1.3** | Have specific health and safety responsibilities been written for managers, supervisors, workers, sub-contractors, and others: | (0 - 3) | Review the written responsibilities documents (e.g. job descriptions, HS manual, contracts).  Depending on the size or nature of the company, one or more of these categories may not be applicable. Indicate with n/a. Where the company has no workers, the owner will be considered the Manager.  Deduct 1 POINT for any category, applicable to the employer’s operation that is missed. |
| D | Notes: |
| **1.4** | Are managers, supervisors and workers knowledgeable about their health and safety responsibilities? | (0 -3) | Explain how employees are made aware of their health and safety responsibilities.  Depending on the size or nature of the company, one or more of these categories may not be applicable. Indicate with n/a. Where the company has no workers, the owner will be considered the Manager.  Deduct 1 POINT for any category, applicable to the employer’s operation that is missed. |
| D | Notes: |
| **1.5** | Does the company have a current copy of the OH&S Act, Regulation, Code and amendments? | (0 or 1) | Indicate where employees can access the legislation. |
| D | Notes: |
| **1.6** | Do key employees have a working knowledge of OH&S legislation applicable to their work sites? | (0 - 3) | Explain how employees are made aware of their legislated rights and responsibilities.  This question is not applicable (n/a) for owner/operators. |
| D | Notes: |

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| **PIR I AUDIT SCORE – Element 1** |
| Audit element score possible 12 – 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 work place?   1. Has an inventory been taken of jobs and job tasks? | (0 - 3) | Review documentation. A list of employee occupations (jobs) should be in place and the various tasks within those occupations (jobs) should be identified.  Points are awarded based on the percentage completion of job and task inventories. |
| D | Notes: |
|  | 1. Are health and safety hazards identified for tasks listed in the inventory? | (0 – 3) | Review documentation to determine if there is a system in place to identify hazards from the task inventory. Both health and safety hazards should be identified. Points are awarded based on the percentage of tasks for which health and safety hazards have been identified. (The points awarded in this section must not exceed the points awarded in 2.1a) |
| D | Notes: |
|  | 1. Have the health and safety hazards been evaluated and prioritized according to risk? | (0 - 3) | Review documentation. Points are awarded based on the percentage of identified hazards that have been evaluated and prioritized. (The points awarded in this section must not exceed the points awarded in 2.1b) |
| D | Notes: |
| **2.2** | Is a site specific (field level) hazard assessment process in use at unfamiliar or changing work environments? | (0 or 1) | Review documentation. Records of completed site specific hazard assessments should be available to demonstrate implementation. |
| D | Notes: |
| **2.3** | Have the formal hazard assessments been reviewed:   1. when changes to the operation are implemented? | (0 or 1) | Review documentation. |
| D | Notes: |
|  | 1. in response to site specific hazard assessment findings, inspection and investigation results? | (0 or 1) |
| D | Notes: |
| **2.4** | Is there a system in place whereby employees can report unsafe or unhealthy conditions and practices? | (0 or 1) | Review documentation. |
| D | Notes: |

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| **PIR I AUDIT SCORE – Element 2** |
| Audit element score possible 14 – Points not applicable (N/A)       = Total points possible  Points scored on this element       / Total points possible       =       x 100 =       % |

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| **3.1** | Have controls (Engineering, Administrative and Personal Protective Equipment) been identified for health and safety hazards? | (0 or 1) | Review prioritized hazard assessment documents (2.1c), and compare with hazard controls.  Points are awarded based on the percentage of hazards for which controls have been identified. |
| D | Notes: |
| **3.2** | Are Health and Safety Hazards controlled using the following methods?   1. Engineering | (0 - 2) | Review documentation |
| D | Notes: |
|  | 1. Administration | (0 - 2) |
| D | Notes: |
|  | 1. Personal Protective Equipment (PPE) | (0 - 2) |
| D | Notes: |
| **3.3** | Does the owner ensure health and safety policies and control methods are followed? | (0 or 1) | Describe how this is done. |
| D | Notes: |
| **3.4** | Is a scheduled Preventative Maintenance program for equipment, machinery and vehicles in place? | (0 or 2) | Review documentation. |
| D | Notes: |
| **3.5** | Where personal protective equipment is required, are workers trained in use, care and maintenance of the protective equipment? | (0 or 2) | Review PPE policy and training records. (Where the company has no workers, describe how the owner is trained.) |
| D | Notes: |
| **3.6** | 1. Has a plan been developed, in consultation with the contracting organization(s), for ensuring workplace health and safety? | (0 - 3) | Review the written plan.  The plan must address:   * Identification of site specific hazards and controls * Ongoing field-level hazard assessment * Reporting of changes to work site conditions * Review of emergency response plans * Process for dealing with worker non-compliance * On-site supervision of contract workers   Points awarded based number of sub-points addressed divided by 2. |
| D | Notes: |
|  | 1. Is the plan communicated to all employees? | (0 or 1) | Explain how the workplace health and safety plan from the contracting organization is communicated to all affected employees. This question is not applicable (n/a) for owner/operators. |
| D | Notes: |

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| **PIR I AUDIT SCORE – Element 3** |
| Audit element score possible 16 – 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 workers provided with a general orientation that covers company policies and procedures, enforcement policy and worker right to know and refuse unsafe work? | (0 or 1) | Review orientation checklist(s) and records.  Points awarded based number of sub-points addressed during orientation. |
| D | Notes: |
| **4.2** | Are workers given job-specific health and safety orientation that covers job responsibilities, job hazards and safety precautions? | (0 or 1) | To award points, completed orientation records must be dated and signed off. |
| D | Notes: |
| **4.3** | Does the orientation take place within the first week of employment? | (0 or 1) | Review orientation records. 90% positive indicators required to score. |
| D | Notes: |
| **4.4** | Are critical health and safety issues (e.g. emergency evacuation procedures, alarm systems, hazard / incident reporting, etc.) addressed on the first day of employment? | (0 or 2) | Review records. 90% positive indicators required to score. |
| D | Notes: |
| **4.5** | Is job-specific training conducted to help ensure workers perform all tasks competently and with no adverse affects to their health? | (0 - 3) | Review training records. Both health and safety issues must be dealt with during job-specific training to obtain full points.  Where the company has no workers, describe the owner’s training. |
| D | Notes: |
| **4.6** | Is ongoing training provided as required? | (0 or 2) | Review training documentation.  Documentation must show ongoing training, refresher and recertification in job specific skills, such as skills upgrading, WHMIS, first aid, defensive driving, TDG, etc. |
| D | Notes: |

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| **PIR I AUDIT SCORE – Element 4** |
| Audit element score possible 10 – Points not applicable (N/A)       = Total points possible  Points scored on this element       / Total points possible       =       x 100 =       % |

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| **5.1** | Is there a written inspection policy or procedure that states the frequency of formal inspections of the company by manager(s), supervisor(s) and worker(s)? | (0 or 3) | Review documentation.  Frequency must be stated for all applicable levels to award points. | |
| D | Notes: |
| **5.2** | Is a standard format used for the inspections? | (0 or 1) | Review inspection reports/forms. | |
| D | Notes: |
| **5.3** | Are formal, written inspections carried out at the worksite (frequency as per process) by:   1. Manager(s)? | (0 or 1) | Review inspection records.  Depending on the size or nature of the company, one or more of these categories may not be applicable. Indicate with n/a. Where the company has no workers, the owner will be considered the Manager. | |
| D | Notes: |
|  | 1. Supervisor(s)? | (0 or 1) |
| D | Notes: |
|  | 1. Worker(s)? | (0 or 1) |
| D | Notes: |
| **5.4** | Is there a system in place to ensure timely correction of substandard conditions and practices identified in inspection reports? | (0 - 2) | Review documentation.  Completed inspection records should show corrective action was initiated/taken. |
| D | Notes: |

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| **PIR I AUDIT SCORE – Element 6** |
| Audit element score possible 9 – 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 emergency response plan at each work site appropriate to the potential emergencies at the site? | (0 - 2) | Review written emergency response plan (ERP).  The plan(s) must be specific to the worksite(s) and include:   * Communication procedures * Emergency phone numbers * List of emergency response personnel * Evacuation procedures   Working under the ERP of the contracting organization is acceptable. |
| D | Notes: |
| **6.2** | Are employees given emergency response training appropriate to their individual responsibilities? | (0 - 2) | Review emergency response training records. |
| D | Notes: |
| **6.3** | Are periodic emergency response drills conducted to test the response of all employees? | (0 or 1) | Review records from previous 12 months. Participation in drills held by the contracting organization may be appropriate to the needs of the small employer. |
| D | Notes: |
| **6.4** | 1. Are records kept of all emergency responses, including drills? | (0 or 1) | Review policy (requiring emergency response records to be kept) and records from the past 12 months. |
| D | Notes: |
|  | 1. Are these records reviewed to correct deficiencies? | (0 or 1) | Review documentation. |
| D | Notes: |

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| **PIR I AUDIT SCORE – Element 9** |
| Audit element score possible 7 – 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 incident investigation process which requires reporting of all incidents, occupational health occurrences and incidents involving no losses (near misses)? | (0 - 2) | Review incident investigation process documents and confirm legal reporting responsibilities are included (e.g. WHS, WCB). |
| D | Notes: |
| **7.2** | Are employees knowledgeable about the Incident Reporting Process? | (0 or 2) | Explain how employees are made aware of their responsibility to report incidents, illnesses and near misses. |
| D | Notes: |
| **7.3** | Is there a written incident report form which requires documenting incident details, cause (direct, indirect and root), corrective action planned and taken and includes management sign-off? | (0 or 1) | Review documentation. |
| D | Notes: |
| **7.4** | Do investigations focus on gathering evidence and identifying root causes? | (0 - 2) | Review completed incident report forms. . If no incidents have occurred in previous 12 months, this question becomes not applicable (n/a). |
| D | Notes: |
| **7.5** | Are corrective actions taken to prevent recurrence? | (0 - 2) | Review completed incident report forms. If no incidents have occurred in previous 12 months, score based on policy stipulation requiring corrective action. |
| D | Notes: |

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| **PIR I AUDIT SCORE – Element 10** |
| Audit element score possible 9 – 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 system in place to ensure:  a) health and safety issues, including improvements, are communicated to employees? | (0 or 1) | Review documentation to score this question. | |
| D | Notes: |
|  | b) feedback on health and safety issues is sought from employees? | (0 or 1) |
| D | Notes: |
|  | 1. Follow-up of significant items identified during health and safety meetings? | (0 or 1) | Review minutes of health and safety meetings. | |
| D | Notes: |
| **8.2** | Are safety and loss control statistics maintained and analyzed to identify trends and needs? | (0 or 1) | Review records (e.g. first aids, medical aids, claim rates, number of inspections / orientations / safety meetings). |
| D | Notes: |
| **8.3** | Have health and safety processes been evaluated through the use of an audit process within the last 12 months? | (0 or 1) | Review previous annual audit / assessment. | |
| D | Notes: |
| **8.4** | Was an action plan developed and have previous action items been implemented, or initiated? | (0 or 1) | Review previous action plan. The plan should include:   * Target and actual completion dates * Person responsible   Points awarded based on the percentage of action items that have been implemented or assessed and action planned. |
| D | Notes: |

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| **PIR I AUDIT SCORE – Element 13** | |
| Audit element score possible 6 – Points not applicable (N/A)       = Total points possible  Points scored on this element       / Total points possible       =       x 100 =       % |