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**Partnerships in Injury Reduction (PIR)**

**Standard Health and Safety Audit Protocol**

**Organization Name:**

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

**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 questioned.

**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 employee health and safety? | (0 or 5) | 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 (federal or provincial, as applicable). |
| **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.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **1.3** | Does the company have a current copy of the OHS Act, Regulation and Code and amendments? | (0 or 5) | Ensure applicable legislation, and (*current*) amendments are readily available for employee use. |
| **O** | Notes: |
| **1.4** | Have specific health and safety responsibilities been written for:   1. senior managers? | (0 or 5) | 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 5) |
| **D** | Notes: |
|  | 1. supervisors? | (0 or 5) |
| **D** | Notes: |
|  | 1. workers? | (0 or 5) |
| **D** | Notes: |
| **1.5** | Are employees knowledgeable about their workplace health and safety responsibilities:   1. under applicable legislation? | (0 - 5) | Interview to confirm 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 interview response. |
| **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. Points awarded based on a percentage of positive interview response. |
| **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. If interviews are selected to validate findings, then for:  a) - interview senior managers  b) - interview middle managers  c) - interview supervisors.  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: | **95** | 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 awarded based on the percentage of JOBS inventoried. |
| **D** | Notes: |
|  | 1. Has an inventory been taken of tasks? | (0 - 20) | Review the job inventory. A list of the various tasks within those occupations (jobs) should be identified.  Points awarded based on the percentage of TASKS inventoried.  The maximum points allowed in 2.1b is determined by the total percentage awarded in 2.1a. For example, if 80% of the points are awarded in 2.1a (i.e. 8 points), then a maximum of 80% (i.e. 16 points) can be awarded in 2.1b. |
| **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, where applicable.  Consider:   * Physical hazards (that can injure with or without contact) * Chemical hazards (toxins that can be inhaled/ingested, etc.), * Biological hazards (exposure to moulds, viruses, or animal droppings, for example) * Psychological hazards (that can affect mental well-being – for example, working alone, shift work, or fatigue)   Points awarded based on the percentage of tasks for which hazards have been identified.  The points awarded in 2.1c must not exceed the points awarded in 2.1b. |
| **D** | Notes: |
|  | * safety hazards | (0 - 20) |
| **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 awarded if a system is in place. |
| **D** | Notes: |
|  | 1. Are hazards evaluated and prioritized according to risk? | (0 or 10) | 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 80% 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 - 5) | Review internal and/or external training records. Records for employees designated to lead the formal hazard assessment process must be available.  Points awarded based on a percentage of positive findings. |
| **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 process must be in place. that requires site-specific hazard assessments to be conducted, as applicable to the operation, when:   * work is conducted at temporary/mobile work sites * work activities are conducted at a site not owned by the employer, and * new work activities are temporarily introduced at the work site. |
| **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 awarded based on a percentage of positive interview response. |
| **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** | Is there a policy and/or process in place to review the formal hazard assessments? | (0 - 10) | Review policy/process documents. To award points, the following review requirements must be stated and met:   * on a regular pre-determined basis, designed to keep the results up to date, * when a new work process is introduced, * when changes to the operation are implemented, * when site-specific hazard assessments identify a previously unrecognized hazard, * when inspections, and/or investigations identify a previously unrecognized hazard.   Award one point for each bullet that is stated and one point for each bullet that is met. |
| **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 reporting system used.  Award points for positive documentation findings and 70%+ positive interview response. |
| **DI** | Notes: |

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| **ELEMENT 2 AUDIT SCORE** | | | | | |
| Audit element score possible: | **165** | 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 - 20) | Review formal hazard assessments. Controls must be recommended for identified hazards.  Points awarded based on the percentage of hazards for which controls have been recommended. The points awarded in 3.1 must not exceed the points awarded in 2.1c. |
| **D** | Notes: |
|  | * safety hazard controls | (0 - 20) |
| **D** | Notes: |
| **3.2** | Do hazard assessments result in the identification of the following types of control methods:   1. engineering? | (0 or 5) | 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 5) |
| **D** | Notes: |
|  | 1. personal protective equipment (PPE)? | (0 or 5) |
| **D** | Notes: |
| **3.3** | Have the recommended hazard controls been implemented in the workplace? | (0 -20) | 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: |
| **3.4** | Are controls implemented for ALL identified critical (high) hazards? | (0 or10) | Review evaluated hazard inventory 2.1e and observe implemented controls. Implementation does not mean use of controls. Points awarded if all critical hazards have been controlled. No points awarded if the hazards inventory has NOT been evaluated. |
| **DO** | Notes: |
| **3.5** | Are managers and workers involved in the formal hazard control process? | (0 or 5) | Interview managers and workers. At least 80% 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? | (0 -20) | Observe employees using controls. 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: |
| **3.7** | Do supervisors enforce the use of hazard controls? | (0 - 10) | Interview supervisors and workers.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **3.8** | Are changes to hazard controls communicated to affected workers? | (0 - 5) | Interview supervisors and workers.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **3.9** | Has the company developed a workplace violence prevention plan in accordance with legislation? | (0 or 5) | Review the workplace violence prevention plan and compare to legislation. To award points, all requirements must be met. |
| **D** | Notes: |
| **3.10** | Has the company developed a workplace harassment prevention plan in accordance with legislation? | (0 or 5) | Review the workplace harassment prevention plan and compare to legislation. To award points, all requirements must be met. |
| **D** | Notes: |
| **3.11** | Are violence and harassment prevention plans reviewed? | (0 or 5) | Review documentation.  To award points, the violence and harassment prevention plans must be reviewed:   * every 3 years, * when an incident of violence or harassment occurs, and * when the health and safety committee or health and safety representative recommends a review. |
| **D** | Notes: |
| **3.12** | 1. Is a preventive maintenance program for vehicles, equipment, and tools in place? | (0 or 5) | Review documentation. A requirement for scheduled, ongoing preventive maintenance of vehicles, equipment, and tools, as applicable, should be in place. |
| **D** | Notes: |
|  | 1. Is the Preventive 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 3.12a) is scored as “0”, no points can be awarded. |
| **D** | Notes: |
| **3.13** | Is there as system in place that ensures defective tools and equipment are taken out of service? | (0 -10) | Interview workers to confirm that defective tools and equipment (including vehicles) are removed from service.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **3.14** | 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, Safety Data Sheets (SDS’s) and SDS availability at strategic locations.  Points awarded based on 90% observation of the inventory, currency, and availability factors. | |
| **DO** | Notes: |
|  | 1. Are current Safety Data Sheets (SDS) readily available for all hazardous products used on-site? | (0 or 5) |
| **DO** | Notes: |
|  | 1. Are hazardous products handled correctly? | (0 or 5) | Observe the work site for correct labeling and storage of hazardous products.  Points awarded based on 90% positive observance. | |
| **O** | Notes: |

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| **ELEMENT 3 AUDIT SCORE** | | | | | |
| Audit element score possible: | **180** | 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** | Do worker orientations cover occupational health and safety rights and key health and safety information? | (0 - 5)    (0 - 5) | Review orientation records and interview workers. To award points, orientations must include all of the following:   * worker OHS rights (right to know, right to participate and right to refuse dangerous work), * company policies and procedures, and * company enforcement policy.   Points awarded based on a percentage of positive findings.  Award 0-5 points for positive documentation findings.  Award 0-5 points for positive interview findings. |
| **DI** | Notes: |
| **4.3** | Do supervisors ensure that workers under their supervision have received their orientation(s)? | (0 - 5) | Interview supervisors.  Points awarded based on a percentage of positive interview response. |
| **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 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 -10) | Interview supervisors and workers. Verify through review of records.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **4.7** | Is there a process to assess the competency of new and re-assigned workers? | (0 or 5) | Review documentation and interview supervisors. Competency evaluations should include a practical demonstration by the trainee to assess their knowledge and skill. Documentation and interviews must confirm a system is in place to award points |
| **DI** | 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.  (Examples of training should include hazard identification, effective inspection methods, incident investigation, communication strategies, conducting meetings, enforcement/ discipline, etc.). Verify through a review of records.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |

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| **ELEMENT 4 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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| **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 confirm a process is in place to protect workers, visitors, and persons not under the employer’s direction, but in the vicinity of the employer’s work site. |
| **D** | Notes: |
| **5.2** | Is a pre-qualification process in place to ensure contracted employers 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** | Are health and safety orientations provided to:   1. visitors? | (0 -5)    (0 -5) | Review records (e.g. visitor logs with safety information listed, orientations with contractor sign off, etc.) and interview on-site visitors, contracted employers/workers, if possible, and person(s) responsible for orientation delivery.  Award up to 5 Points based on a percentage of positive documentation findings. (for visitor(s) 5.3a and contracted employer(s) 5.3b)  Award up to 5 Points based on a percentage of positive interview response (for visitor(s) 5.3a and contracted employer(s) 5.3b).  Notes must clarify scoring results. |
| **DI** | Notes: |
|  | 1. contracted employers? | (0 -5)    (0 -5) |
| **DI** | Notes: |
| **5.4** | Is key health and safety information communicated to affected external work site parties regarding:   1. work site hazards and controls? | (0 - 5) | Interview managers and supervisors to verify key health and safety information is communicated to affected external work site parties (i.e. contracted employers, suppliers, service providers, etc.) Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
|  | 1. health and safety responsibilities (reporting incidents, investigating incidents, reporting unsafe conditions) while on-site? | (0 - 5) |
| **I** | Notes: |
|  | 1. operational changes that may affect their health and safety while on-site? | (0 - 5) |
| **I** | Notes: |
| **5.5** | Is key health and safety information readily available to affected external work site parties? | (0 - 10) | Interview managers and supervisors 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 interview response. |
| **I** | Notes: |
| **5.6** | Where there are contracted employers 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. The employer should have a requirement in place to monitor contracted employers working on their site. |
| **D** | Notes: |
|  | 1. a process for dealing with non-compliance? | (0 - 5) | Interview managers and supervisors to confirm a process for dealing with non-compliance is in place. Verify by reviewing documentation.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |

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| **ELEMENT 5 AUDIT SCORE** | | | | | |
| Audit element score possible: | **70** | 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 formal inspection process in place that states the frequency of inspections:   1. for all areas of the operation? | (0 - 5) | Review documentation.  To award points, the documented inspection process must specify the inspection frequency for each area. Auditor notes should specify the established frequency.  Points awarded based on a percentage of positive documentation findings. | |
| **D** | Notes: |
|  | 1. by managers, supervisors, and workers? | (0 - 5) | Participation at all levels (manager, supervisor, worker) is not expected for every inspection, but each applicable level should be assigned some responsibility in the inspection process to award points. Auditor notes should specify the established frequency.  Points awarded based on a percentage of positive documentation findings. | |
| **D** | Notes: |
| **6.2** | Are formal inspections conducted in accordance with the process:   1. for all areas of the operation? | (0 - 5) | Review inspection records. The process outlined in 6.1 must be followed to award points. Points awarded based on a percentage of positive documentation findings. | |
| **D** | Notes: |
|  | 1. by managers? | (0 - 10) | Interview managers (b) and supervisors (c). Inspections must include observations of OHS behaviors and conditions. Verify through a review of inspection records.  Points awarded based on a percentage of positive interview response. | |
| **I** | Notes: |
|  | 1. by supervisors? | (0 - 10) |
| **I** | Notes: |
|  | 1. by workers? | (0 - 10) | Interview workers. Verify through a review of inspection records.  Points awarded based on a percentage of positive interview response. | |
| **I** | Notes: |
| **6.3** | Have individuals leading formal inspections received training? | (0 - 10) | Review training records to confirm individuals leading inspections have received training.  Points awarded based on a percentage of positive indicators. | |
| **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 or 5) | Review documentation to verify a system is in place. | |
| **D** | Notes: |
| **6.6** | Are substandard conditions and practices identified in inspection reports corrected? | (0 -20) | Observe deficiencies identified in inspection reports to verify corrections have been implemented.  Points awarded based on a percentage of positive observations. | |
| **O** | Notes: |
| **6.7** | 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 - 5) | Interview managers and workers. Interviewees must indicate how management ensures compliance with both legislated and company standards. Verify by reviewing documentation.  Points awarded based on a percentage of positive interview response. |
| **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 that includes:   1. identification of potential emergencies at the site? | (0 – 10) | Review written emergency response plan(s). Plans must be specific to the work site(s) and consider any potential:   * site/location-based emergencies (e.g. fire, gas leak, explosion, wildlife), * biological/chemical/ medical emergencies (e.g. chemical exposure, heart attack, etc.) * workplace violence (e.g. bomb threat, aggressive behaviour/physical assault) * extreme weather/natural disasters (e.g. wildfire, severe storm, wind, hail, etc.)   Points awarded based on a percentage of positive findings. |
| **D** | Notes: |
|  | 1. procedures for dealing with identified emergencies? | (0 -10) | Review potential emergencies (7.1a) and compare to procedures. To award points, procedures must be in writing and readily available for reference by workers.  Points awarded based on the percentage of potential emergencies for which procedures are written. |
| **D** | Notes: |
|  | 1. identification, location, and operational procedures for emergency response resources? | (0 - 5) | Review documentation and observe location and accessibility of emergency equipment (e.g. eye wash stations, emergency showers, fire protection), facilities (e.g. fire station, hospital, police) and PPE designated for emergency response. Resources must be appropriate for dealing with the potential hazards when workers respond to related emergencies.  Points awarded based on a percentage of positive findings. |
| **DO** | Notes: |
| **7.2** | Do emergency response plans include:   1. communication systems? | (0 or 5) | Review emergency response plan(s) (7.1) and observe work site(s) for communication systems (i.e. alarms, process for contacting internal/external emergency contacts, emergency phone numbers (more than just 911), radio call signs, etc.). |
| **DO** | Notes: |
|  | 1. list of emergency response personnel? | (0 or 5) | A list of personnel designated to respond to specific types of emergencies should be readily available. Designated rescue and evacuation workers should be identified in the plan. |
| **D** | Notes: |
|  | 1. evacuation and rescue procedures? | (0 or 5) | Review emergency response plan(s) (7.1) and observe work site(s) for written, clearly displayed evacuation/ muster procedures. Plans must also include rescue procedures, where applicable. |
| **DO** | Notes: |
| **7.3** | Are employees given emergency response training appropriate to their individual responsibilities? | (0 - 10) | Review emergency response training records.  Points awarded based a percentage of positive documentation findings. |
| **D** | Notes: |
| **7.4** | Are all employees knowledgeable about their responsibilities under the emergency response plan? | (0 - 10) | Interview employees. Employees must be able to describe how they would respond in the event of an emergency.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **7.5** | Are periodic emergency response drills conducted to measure the plan’s effectiveness? | (0 or10) | Review records of emergency response drills conducted in the previous 12 months. An emergency response drill could include a practice drill or tabletop exercise. (e.g. evacuation, lockdown, medical event, etc.) and may address more than one emergency response plan. Documentation must show at least 80% employee participation to award points. |
| **D** | Notes: |
| **7.6** | Are revisions to the emergency response plan made when deficiencies are identified:   1. through a drill? | (0 - 5) | Review documentation. Where no deficiencies were noted from a drill, this question can be marked n/a.  Points awarded based on the percentage of identified deficiencies corrected  If no drill occurred, this question should be scored “0”. |
| **D** | Notes: |
|  | 1. from an actual emergency response? | (0 - 5) | Review documentation. Where no deficiencies were noted from an actual response or no response occurred, this question can be marked n/a.  Points awarded based on the percentage of identified deficiencies corrected. |
| **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 equipment, supplies and facilities meet legislated requirements? | (0 or 10) | Observe equipment, supplies and facilities and compare to Legislation. |
| **DO** | Notes: |

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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, occupational illnesses, near misses and work refusals? | (0 or 5) | 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 - 10) | Interview employees.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **8.3** | Is a standard format used for documenting workplace incidents, occupational illnesses, and near misses? | (0 or 5) | Review incident report form. |
| **D** | Notes: |
| **8.4** | Do employees report workplace incidents, occupational illnesses, near misses and work refusals? | (0 or 5) | Review records. This question cannot be marked as not applicable. At a minimum 1 or more near misses must be documented to award points. |
| **D** | Notes: |
| **8.5** | Is there a written process in place that requires investigation of workplace incidents, occupational illnesses, near misses and work refusals? | (0 or 5) | Review incident investigation process documents. The process should include a requirement for gathering evidence, identifying underlying (root) causes, and recommending corrective action. |
| **D** | Notes: |
| **8.6** | Have individuals leading investigations been trained in incident investigation and cause analysis techniques? | (0 - 5) | Review training records of those assigned to lead incident investigations (e.g., on-the-job, formal third party, etc.).  Points awarded based on a percentage of positive indicators. |
| **D** | Notes: |
| **8.7** | Are the following involved in incident investigations?   1. managers and supervisors? | (0 - 10) | Interview managers and supervisors. Not all managers and supervisors need to actively participate in incident investigation, but they must be able to describe management involvement in the process.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
|  | 1. workers? | (0 - 10) | Interview workers. Not all workers need to actively participate in incident investigation, but they must be able to describe worker involvement in the process.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **8.8** | Do investigations focus on:   1. gathering evidence and identifying underlying causes? | (0 - 10) | Review completed investigation records from the previous 12 months.  Award points based on the percentage of investigations that have gathered evidence AND identified underlying (root) causes. |
| **D** | Notes: |
|  | 1. recommending corrective action? | (0 - 10) | Review completed investigation records. Corrective actions should be designed to prevent recurrence.  Points awarded based on a percentage of positive indicators. |
| **D** | Notes: |
| **8.9** | Are corrective actions implemented to prevent recurrence? | (0 - 5)    (0 - 10) | Review documentation and conduct observations.  Award 0-5 points for documented corrective actions.  Award 0-10 points for observable corrective actions.  Points awarded based on a percentage of positive indicators for each validation technique (documentation and observation). |
| **DO** | Notes: |
| **8.10** | Is management held responsible for the results of investigations? | (0 or 5) | Review documentation.  Points awarded if a process exists holding managers/ supervisors accountable for timely investigations in which relevant causes are identified, and corrective actions implemented. |
| **D** | Notes: |
| **8.11** | Are incident investigation results communicated to employees? | (0 - 10) | Interview workers. Verify through review of minutes of toolbox or health and safety meetings.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |

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| **ELEMENT 8 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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| **9.1** | Has the company established a joint health and safety committee in accordance with legislation? | (0 or 5) | Review records and compare to legislation.  A committee must be established if the employer regularly employs 20 or more workers.  This question may not be applicable (n/a) to employers with less than 20 workers. |
| **D** | Notes: |
| **9.2** | Have written terms of reference been developed to guide committee activities? | (0 or 5) | Review written terms of reference and compare to legislation.  This question is not applicable (n/a) if 9.1 is not applicable. |
| **D** | Notes: |
| **9.3** | Has the company designated a health and safety representative in accordance with legislation? | (0 or 5) | Review records and compare to legislation.  A health and safety representative must be designated if the employer regularly employs 5-19 workers.  This question may not be applicable (n/a) to employers with less than 5 or more than 19 workers. |
| **D** | Notes: |
| **9.4** | Have duties been assigned to the health and safety committee or health and safety representative in accordance with legislation? | (0 - 10) | Interview committee members or the health and safety representative, as applicable. To award points, interviewee(s) must be able to describe their assigned duties and responsibilities, as per legislated requirements.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **9.5** | Is the contact information of committee members or the health and safety representative readily available to employees? | (0 or 5) | Observe the work site(s) to confirm contact information is readily available to employees. |
| **O** | Notes: |
| **9.6** | Are members of the committee or the health and safety representative trained for their role in accordance with legislation? | (0 - 10) | Review training records and compare to legislation.  Points awarded based on a percentage of positive findings. |
| **D** | Notes: |
| **9.7** | Is there a system in place to address employee concerns and complaints related to the health and safety system? | (0 or 5) | Review documentation to determine if a system is in place whereby the committee or the health and safety representative can address health and safety concerns and/or complaints and make recommendations. |
| **D** | Notes: |
| **9.8** | Is the committee or health and safety representative functioning in accordance with legislation?   1. Are health and safety concerns and/or complaints resolved in a timely manner? | (0 - 5) | Review documentation. Consider the complexity of the concerns/complaints to determine timeliness.  Points awarded based on a percentage of positive findings. |
| **D** | Notes: |
|  | 1. Does the committee or health and safety representative participate in the hazard assessment process? | (0 - 5) | Interview committee members, or the health and safety representative.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
|  | 1. Are recommendations made to management regarding the health and safety of workers? | (0 - 5) | Interview managers and supervisors.  Award points if interviewees can explain if and how they receive recommendations from the committee or the health and safety representative regarding the health and safety of workers.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
|  | 1. Are work site inspections reviewed? | (0 - 5) | Interview committee members, or the health and safety representative.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **9.9** | Are records of committee, and health and safety representative activities maintained in accordance with legislation? | (0 or 5) | Review records. Records should be maintained in accordance with the committee terms of reference. Special meeting minutes must be maintained for 2 years. |
| **D** | Notes: |
| **9.10** | Are minutes of committee meetings readily available to employees? | (0 - 5) | Interview employees.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |

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| **ELEMENT 9 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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| **10.1** | Is there a system in place to ensure:   1. management communicates health and safety issues (including improvements) to employees? | (0 - 10) | Interview workers.  Communication may be verbal (e.g. safety/toolbox meetings, one-on-one, etc.) or nonverbal (e.g. newsletters, safety meeting minutes, bulletins, posters, etc.).  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
|  | 1. feedback on health and safety issues is sought from employees? | (0 - 5) |
| **I** | Notes: |
| **10.2** | 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: |
| **10.3** | 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 interview response. |
| **I** | Notes: |
| **10.4** | 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: |
| **10.5** | Is the information contained in records and statistics used to improve health and safety processes? | (0 - 10) | Interview senior managers and managers. Verify through review of relevant records.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **10.6** | 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: |
| **10.7** | Have sufficient resources been allocated to occupational health and safety? | (0 - 10) | Interview employees.  Points awarded based on a percentage of positive interview response. |
| **I** | Notes: |
| **10.8** | Are employees accountable for their individual health and safety responsibilities? | (0 or 5) | Interview employees to ensure they are not only responsible but answerable for their actions (i.e. accepting responsibility for their actions, taking ownership if things don’t go as planned, communicating openly (transparency), clarifying roles, following through on commitments, meeting deadlines, etc.).  80% positive response is required in interviews to score. |
| **I** | Notes: |
| **10.9** | 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: |
| **10.10** | 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: |
| **10.11** | Are results from occupational health and safety management system evaluations communicated to affected employees? | (0 - 10) | Interview employees.  Points awarded based on a percentage of positive interview response. |
| **I** | 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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