**AFPA Corrective Action Report (CAR)**

##### A picture containing chart  Description automatically generated

##### *Company Name:*

##### *Auditor Name(s):*

##### *CAR Completion Date(s):*

##### *Last External Audit Date:*

#### *Last External Audit Score:* *%*

# Corrective Action Report (CAR) Overview

Employers who have held a valid Certificate of Recognition (COR) in Alberta for at least 4 consecutive years, have the option of maintaining their COR by using the AFPA Corrective Action Report (CAR) process instead of completing an internal maintenance audit. The process requires AFPA approval prior to use.

To be **eligible**, employers must:

* hold a regular COR in good standing (i.e. not for participants in SECOR, MECOR and PASE)
* have a minimum of 11 employees
* have participated in the Partnerships/PIR Program for a minimum of 4 years
* have achieved and overall minimum score of 90% on their last external audit or an overall minimum score of 80% on the previous year’s CAR

The CAR process must be completed by an AFPA Certified Auditor in good standing who has received instruction in the CAR process prior to using it.

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| ★ Only a certified auditor, familiar with the work site and the Health and Safety Management Systems being assessed, is eligible to complete the CAR. ★ |

**Employer Responsibilities:**

* Notify the AFPA before proceeding with the CAR Process.
* Use an AFPA Certified Auditor to complete the CAR document provided by the AFPA. The process is usually undertaken by a certified *internal* auditor, but can be completed by an external, consultant auditor provided that senior management is heavily involved in the process.
* Ensure the CAR is completed, signed off, and submitted within 45 days of data collection and no later than ***December 31st*** of the current year.
Documentation submitted must include a completed action plan (or similar like document) from the employer’s last re-certification (external) audit, internal maintenance audit, or CAR document from the previous year.
* Senior Management must be included in the application process and must sign off on the final report.

**Auditor Responsibilities:**

* Ensure the senior person on site:
	+ approves of proceeding with the CAR process,
	+ has notified the AFPA of their intent to use the CAR maintenance option, and
	+ is willing to be involved in the process and sign off on the findings.
* Participate in CAR training (through auditor refresher and CAR PowerPoint instruction) before proceeding with the CAR maintenance option.
* Complete the CAR
	+ Gather results primarily through observation (O) and documentation review (D).

	*Interviews (in-person and/or by questionnaire) are not required to complete the CAR process but can be used at the auditor’s discretion. If interviews are used, no minimum sampling is required however justification for the sample selected must be provided.*
	+ Provide notes sufficient to justify whether or not the standard is met for each audit question. To do this effectively you must:
* respond directly to the intent of the question, and contain enough detail to explain how the standard was/was not met, and
* indicate the percentage of positive response to justify the score assigned, as needed.
	+ Enter the resulting \*suggestions for improvement (SFI) into the AFPA Corrective Action Report (CAR) ‘action plan’ page(s) (i.e. any questions marked ‘below standard’ must be included.)
* Action items should address meaningful system improvements.

*Avoid basic suggestions such as “ensuring availability of current copies of the OHS legislation, or verification that the correct number of staff is first aid trained”.*
* Person(s) accountable for action must be listed.
* Resources required to address SFIs must be noted, and
* Estimated start and completion dates listed for each action item.



* The Suggestion for Improvement / Continuous Improvement Opportunity pages are intended for internal company use only but may be submitted with the completed CAR document. Of note:
	+ Items which do not meet the audit standard should be listed as Suggestions for Improvement. Items that exceed the audit requirements should be identified as Continuous Improvement Opportunities.
* Submit the completed CAR document to AFPA for quality assurance (QA) review within 15 days of the last day of data collection and no later than December 31st of the current year.
	+ The CAR submission must include the CAR document and a completed action plan (or similar like document) from the employer’s last re-certification (external) audit, internal maintenance audit, or CAR document from the previous year.

	*Note: The CAR action plan cannot be blank. There must be at least one action item listed even if the overall CAR score is equal to 100%.*

# Auditor Code of Ethics

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 (if applicable), and site observation during the period of the CAR process.

**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 CAR process 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 CAR 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 (where applicable) in order to reduce their perception of risk in speaking out, except in cases where anonymity will seriously compromise the integrity of the CAR process.

**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 CAR findings, and written in plain language.

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

**Timeliness:** I will comply with all required timelines for CAR 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 (this applies to auditors completing maintenance options also).

**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 Corrective Action Report process as an opportunity to further myself with the employer or with other stakeholders.

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| Auditor Name |  | Signature |  | Date |

# Discipline for Statement of Ethics Violations

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 (or maintenance option) 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 a 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 |

# Corrective Action Report (CAR) Summary Sheet

|  |
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| **CAR Information** |
| **CAR Start Date:**       | **WCB Account(s) #**:       |
| **CAR End Date:**        | **WCB Industry Code(s):**       |
| **COR Number:**       | **COR Expiry Date:**       | **Years Participating in COR:**       |

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| **Auditor Information** |
| **Auditor**:       | **Company**:       |
| **Address**:       |
| **City**:       | **Province**:       | **P/C**:       |
| **Phone**:       | **E-mail**:       |
|  |
| **Company Information** |
| **Legal** **Name**:       |
| **Address**:       |
| **City**:       | **Province**:       | **P/C**:       |
| **Key** **Contact**:       | **Telephone**:       |
| **Position/Title**:       | **E-mail:**       |
| **Total # of Employees**:       | **Total # Work Site(s)**:       |
| **Employee Distribution Numbers** | **Work Site Detail** |
| (List number of employees at each level below) | (List each active work site below) | (Included in scope?) Yes / No |
| **Sen. Manager**:       | 1.
 |       |
| **Manager**:       | 1.
 |       |
| **Supervisor**:       | 1.
 |       |
| **Worker**:       | 1.
 |       |
|  | 1.
 |       |
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| **Notes** (indicate justification for interview sample selected here, if applicable):       |
|       |
|       |
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| **CAR Submission Checklist:** |
| [ ]  AFPA approval granted for use of CAR? | [ ]  Previous year’s **action plan** attached to submission? |
| [ ]  CAR action plan is signed-off by senior management? | [ ]  Interview sample justified, if applicable? |
| [ ]  Notes justify all scores in CAR and provide evidence? | [ ]  SFI provided for all questions below standard? |
| [ ]  CAR submitted to AFPA within 15 days of the last day of data collection and no later than December 31st? |

# Corrective Action Report Scoring Summary

**Evaluation of: (Company Name)**

**Date(s) of Audit:**

**Audited by: (Print and Sign):**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Element** | Points Possible (*1 point per question*) | **Possible– N/A** | **Points Awarded** | **Percent****Total** |
| 1. Leadership Commitment
 | 16 |       |       |  |
| 1. Hazard Assessment
 | **17** |       |       |  |
| 1. Hazard Control
 | **20** |       |       |  |
| 1. Qualifications, Orientation and Training
 | **11** |       |       |  |
| 1. Work Site and Other Parties (at or in the vicinity of the work site)
 | **10** |       |       |  |
| 1. Regular Inspection and Monitoring
 | **11** |       |       |  |
| 1. Emergency Response
 | **13** |       |       |  |
| 1. Incident Investigation
 | **13** |       |       |  |
| 1. Joint Health and Safety Committee(s) and Health and Safety Representative(s)
 | **13** |       |       |  |
| 1. System Review
 | **12** |       |       |  |
| **TOTAL** | **136** |  |  |  |

NOTE: For COR maintenance purposes, an overall minimum score of 60% is required.

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| **Company:** |       | **CAR Completion Date(s):** |       |
| **Auditor:** |       | **Internal** [ ]  **External** [ ]  |  |

| **Question #** | **Suggestion for Improvement**(All question below standard must be included in the Action Plan) | **Estimated Start Date** | **Start Date** | **Person Accountable for Action** | **Resources Required** | **Action Taken** | **Estimated Completion Date** | **Actual Completion Date** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
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| **Question #** | **Continuous Improvement Opportunities**(CIOs are outside the protocol requirements and do not impact the score) | **Estimated Start Date** | **Start Date** | **Person Accountable for Action** | **Resources Required** | **Action Taken** | **Estimated Completion Date** | **Actual Completion Date** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
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| **Senior Management Name:** |  |  |  |
| **Senior Management Signature:** |  | **Date:** |  |
| **Auditor Signature:** |  | **Date:** |  |
|  |
| ***Note: For AFPA Use Only*** |
| ***Date Completed CAR Received*** |  | ***% Achieved:*** |  |
| ***AFPA 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?  |     | 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?  |     | Interview employees or mark this question N/A if interviews were not conducted.  |
| **I** | Notes:       |
| **1.3** | Does the company have a current copy of the OHS Act, Regulation and Code and amendments?  |     | 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?
 |     | 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?
 |     |
| **D** | Notes:       |
|  | 1. supervisors?
 |     |
| **D** | Notes:       |
|  | 1. workers?
 |     |
| **D** | Notes:       |
| **1.5** | Are employees knowledgeable about their workplace health and safety responsibilities:1. under applicable legislation?
 |     | Interview to confirm employees have a working knowledge of OHS legislation applicable to their work, and any work they oversee or mark this question N/A, if interviews were not conducted. |
| **I** | Notes:       |
|  | 1. under company policies?
 |     | Interview employees or mark this question N/A if interviews were not conducted. |
| **I** | Notes:       |
| **1.6** | Do employees understand their occupational health and safety rights?  |     | 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

or mark this question N/A if interviews were not conducted. |
| **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? |     | Interview senior managers, managers, and supervisors or mark this question N/A if interviews were not conducted. |
| **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?
 |     | Interview supervisors and workers or mark this question N/A, if interviews were not conducted.  |
| **I** | Notes:       |
|  | 1. The company’s commitment to health and safety?
 |     |
| **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)
 |     | Review records. To meet the standard:1. Senior managers at least every 6 months,
2. Middle managers at least every 3 months,
3. Supervisors daily.
 |
| **D**  | Notes:       |
|  | 1. Middle Managers?
* every 3 months (10 points)
* every 6 months (5 points)
 |     |
| **D**  | Notes:       |
|  | 1. Supervisors?
* Daily (10 points)
* Weekly (5 points)
 |     |
| **D** | Notes:       |

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| **ELEMENT 1 CAR SCORE** |
| Element score possible: | **16** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points awarded (points scored/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?
 |     | Review documentation. A list of employee occupations (jobs) should be in place. At least 80% of the JOBS must be included in the inventory to meet the standard. |
| **D** | Notes:       |
|  | 1. Has an inventory been taken of tasks?
 |     | Review the job inventory. A list of the various tasks within those occupations (jobs) should be identified. At least 80% of all Job TASKS must be included in the inventory to meet the standard. |
| **D** | Notes:       |
|  | 1. Are health and safety hazards identified for tasks listed in the inventory?
 |     | 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)

At least 90% of the tasks in the inventory must have been assessed for health and safety hazards to meet the standard.  |
| **D** | Notes:       |
|  | 1. Is there a system in place to evaluate the level of risk associated with identified hazards?
 |     | 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). |
| **D** | Notes:       |
|  | 1. Are hazards evaluated and prioritized according to risk?
 |     | 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. |
| **D** | Notes:       |
| **2.2** | Are senior managers knowledgeable about the critical (high hazard) tasks conducted in the workplace? |     | Interview senior managers or mark this question N/A if interviews were not conducted.  |
| **I** | Notes:       |
| **2.3** | Are the following involved in the formal hazard assessment process:1. managers?
 |     | Review hazard assessment documentation to determine if employees at all levels participate the process. |
| **D** | Notes:       |
|  | 1. supervisors?
 |     |
| **D** | Notes:       |
|  | 1. workers?
 |     |
| **D** | Notes:       |
| **2.4** | Are key employees trained in how to identify and assess workplace hazards? |     | Review internal and/or external training records. Records for employees designated to lead the formal hazard assessment process must be available to meet the standard.  |
| **D** | Notes:       |
| **2.5** | Are site-specific (field-level) hazard assessments required where work site conditions change or when non-routine work is added? |     | Review documentation. To meet the standard, 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?
 |     | Interview employees or mark this question N/A if interviews were not conducted.  |
| **I** | Notes:       |
|  | 1. repeated if changes are introduced?
 |     |
| **I** | Notes:       |
| **2.7** | When site-specific (field-level) hazard assessments are conducted, are affected employees included in the process? |     | 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? |     | 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? |     | 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.
 |
| **D** | Notes:       |
| **2.10** | Is there a system in place whereby employees can report unsafe or unhealthy conditions and practices? |     | Review documentation. Auditor notes should explain the reporting system used.  |
| **D** | Notes:       |

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| **ELEMENT 2 CAR SCORE** |
| Element score possible: | **17** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points awarded (points scored/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
 |     | Review formal hazard assessments. To meet the standard, controls must be recommended for at least 90% of identified hazards. If question 2.1c is classified as “below standard,” then this question must be classified the same way. |
| **D** | Notes:       |
|  | * safety hazard controls
 |     |
| **D** | Notes:       |
| **3.2** | Do hazard assessments result in the identification of the following types of control methods:1. engineering?
 |     | 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?
 |     |
| **D** | Notes:       |
|  | 1. personal protective equipment (PPE)?
 |     |
| **D** | Notes:       |
| **3.3** | Have the recommended hazard controls been implemented in the workplace? |     | Conduct observations to verify that controls recommended in 3.1 have been implemented. (Implementation does not mean employee use of controls.) If 3.1 is classified as “below standard”, then this question must be classified the same way. |
| **O** | Notes:       |
| **3.4** | Are controls implemented for ALL identified critical (high) hazards? |     | Review evaluated hazard inventory 2.1e and observe implemented controls. Implementation does not mean use of controls. To meet the standard, all critical (high) hazards must be controlled.  |
| **DO** | Notes:       |
| **3.5** | Are managers and workers involved in the formal hazard control process? |     | Review hazard control documentation to determine if managers and workers participate the process. |
| **D** | Notes:       |
| **3.6** | Are employees using controls developed for identified health and safety hazards? |     | Observe employees using controls. Compare/observe employee performance against hazard controls developed in 3.1 and implemented and 3.3.  |
| **O** | Notes:       |
| **3.7** | Do supervisors enforce the use of hazard controls? |     | Interview supervisors and workers or mark this question N/A if interviews were not conducted.  |
| **I** | Notes:       |
| **3.8** | Are changes to hazard controls communicated to affected workers? |     | Interview supervisors and workers or mark this question N/A if interviews were not conducted.  |
| **I** | Notes:       |
| **3.9** | Has the company developed a workplace violence prevention plan in accordance with legislation? |     | Review the workplace violence prevention plan and compare to legislation. To meet the standard, all requirements must be met. |
| **D** | Notes:       |
| **3.10** | Has the company developed a workplace harassment prevention plan in accordance with legislation? |     | Review the workplace harassment prevention plan and compare to legislation. To meet the standard, all requirements must be met. |
| **D** | Notes:       |
| **3.11** | Are violence and harassment prevention plans reviewed? |     | 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?
 |     | 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?
 |     | Review records. Records must demonstrate that the schedule for regular maintenance is followed. If question 3.12 a) is classified as “below standard,” then this question must be classified the same way. |
| **D** | Notes:       |
| **3.13** | Is there as system in place that ensures defective tools and equipment are taken out of service? |     | Review documentation to confirm that defective tools and equipment (including vehicles) are removed from service as per company standards  |
| **D** | Notes:       |
| **3.14** | Has a system for managing hazardous products used in the workplace been developed?1. Is an inventory of hazardous products available?
 |     | Review inventory, Safety Data Sheets (SDS’s) and SDS availability at strategic locations. The standard is met 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?
 |     |
| **DO** | Notes:       |
|  | 1. Are hazardous products handled correctly?
 |     | Observe the work site for correct labeling and storage of hazardous products. The standard is met based on 90% observance. |
| **O** | Notes:       |

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| **ELEMENT 3 CAR SCORE** |
| Element score possible: | **20** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points awarded (points scored/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? |     | Review records.  |
| **D** | Notes:      |
| **4.2** | Do worker orientations cover occupational health and safety rights and key health and safety information?  |     | Review orientation records. To meet the standard, orientations must include 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.
 |
| **D** | Notes:       |
| **4.3** | Do supervisors ensure that workers under their supervision have received their orientation(s)? |     | Interview supervisors or mark this question N/A if interviews were not conducted.  |
| **I** | Notes:       |
| **4.4** | Where formal qualifications are required, is there a process to verify? |     | Review documentation.  |
| **D** | Notes:       |
| **4.5** | Are workers given job-specific health and safety training that includes:job responsibilities? |     | Review training records. |
| **D** | Notes:       |
|  | specific job hazards? |     |
| **D** | Notes:       |
|  | hazard controls? |     |
| **D** | 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? |     | Review company standards (e.g. policy, or procedure, etc.) and training records.  |
| **D** | Notes:       |
| **4.7** | Is there a process to assess the competency of new and re-assigned workers? |     | Review documentation. Competency evaluations should include a practical demonstration by the trainee to assess their knowledge and skill. To meet the standard, documentation must confirm a system is in place.  |
| **D** | Notes:       |
| **4.8** | Is ongoing training provided at set intervals or when operational changes require it? |     | Review training records. To meet the standard, 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.  |
| **D** | Notes:       |
| **4.9** | Have supervisors received training designed to support their role? |     | Interview supervisors or mark this question N/A if interviews were not conducted. (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.  |
| **I** | Notes:       |

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| **ELEMENT 4 CAR SCORE** |
| Element score possible: | **11** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points awarded (points scored/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? |     | 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? |     | 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?
 |     | Review records (e.g. visitor logs with safety information listed, orientations with contractor sign off, etc.)  |
| **D** | Notes:       |
|  | 1. contracted employers?
 |     |
| **D** | Notes:       |
| **5.4** | Is key health and safety information communicated to affected external work site parties regarding:1. work site hazards and controls?
 |     | 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.) or mark this question N/A if interviews were not conducted  |
| **I** | Notes:       |
|  | 1. health and safety responsibilities (reporting incidents, investigating incidents, reporting unsafe conditions) while on-site?
 |     |
| **I** | Notes:       |
|  | 1. operational changes that may affect their health and safety while on-site?
 |     |
| **I** | Notes:       |
| **5.5** | Is key health and safety information readily available to affected external work site parties? |     | Conduct observation 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.  |
| **O** | 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?
 |     | 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?
 |     | Review documentation to confirm a process for dealing with non-compliance is in place.  |
| **D** | Notes:       |

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| **ELEMENT 5 CAR SCORE** |
| Element score possible: | **10** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points awarded (points scored/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?
 |     | Review documentation. To award points, the documented inspection process must specify the inspection frequency for each area. Auditor notes should specify the established frequency. |
| **D** | Notes:       |
|  | 1. by managers, supervisors, and workers?
 |     | 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 meet the standard. Auditor notes should specify the established frequency. |
| **D** | Notes:       |
| **6.2** | Are formal inspections conducted in accordance with the process:1. for all areas of the operation?
 |     | Review inspection records. To meet the standard, the process outlined in 6.1 must be followed.  |
| **D** | Notes:       |
|  | 1. by managers?
 |     | Inspections must include observations of OHS behaviors and conditions. |
| **D** | Notes:       |
|  | 1. by supervisors?
 |     |
| **D** | Notes:       |
|  | 1. by workers?
 |     |  |
| **D** | Notes:       |
| **6.3** | Have individuals leading formal inspections received training? |     | Review training records to confirm individuals leading inspections have received training.  |
| **D** | Notes:      |
| **6.4** | Is a standard format used for documenting inspections? |     | 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? |     | Review documentation to verify a system is in place. |
| **D** | Notes:       |
| **6.6** | Are substandard conditions and practices identified in inspection reports corrected? |     | Observe deficiencies identified in inspection reports to verify corrections have been implemented.  |
| **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? |     | Review documentation and observe the work site to confirm a system is in place and followed.  |
| **DO** | Notes:       |

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| **ELEMENT 6 CAR SCORE** |
| Element score possible: | **11** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points awarded (points scored/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?
 |     | 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.)
 |
| **D** | Notes:       |
|  | 1. procedures for dealing with identified emergencies?
 |     | Review potential emergencies (7.1a) and compare to procedures. To award points, procedures must be in writing and readily available for reference by workers.  |
| **D** | Notes:       |
|  | 1. identification, location, and operational procedures for emergency response resources?
 |     | 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.  |
| **DO** | Notes:       |
| **7.2** | Do emergency response plans include:1. communication systems?
 |     | 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?
 |     | 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?
 |     | 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?  |     | Review emergency response training records. To meet the standard, records must show that at least 90% of employees have received training appropriate to their individual responsibilities.  |
| **D** | Notes:       |
| **7.4** | Are all employees knowledgeable about their responsibilities under the emergency response plan? |     | Interview employees or mark this question N/A if interviews were not conducted. Employees must be able to describe how they would respond in the event of an emergency.  |
| **I** | Notes:       |
| **7.5** | Are periodic emergency response drills conducted to measure the plan’s effectiveness? |     | 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. To meet the standard, documentation must show at least 80% employee participation. |
| **D** | Notes:       |
| **7.6** | Are revisions to the emergency response plan made when deficiencies are identified:1. through a drill?
 |     | Review documentation. Where no deficiencies were noted from a drill, this question can be marked N/A. If no drill occurred, this question should be marked “NO”.  |
| **D** | Notes:       |
|  | 1. from an actual emergency response?
 |     | Review documentation. Where no deficiencies were noted from an actual response or no response occurred, this question can be marked N/A.  |
| **D** | Notes:       |
| **7.7** | Does the number of employees trained in first aid meet legislated requirements? |     | Review training records of employee responders and compare to Legislation. |
| **D** | Notes:       |
| **7.8** | Do first aid equipment, supplies and facilities meet legislated requirements? |     | Observe equipment, supplies and facilities and compare to Legislation. |
| **DO** | Notes:       |

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| **ELEMENT 7 CAR SCORE** |
| Element score possible: | **13** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points awarded (points scored/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? |     | 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? |     | Interview employees or mark this question N/A if interviews were not conducted. |
| **I** | Notes:       |
| **8.3** | Is a standard format used for documenting workplace incidents, occupational illnesses, and near misses? |     | Review incident report form.  |
| **D** | Notes:       |
| **8.4** | Do employees report workplace incidents, occupational illnesses, near misses and work refusals? |     | Review records. This question cannot be marked as not applicable. At a minimum 1 or more near misses must be documented to meet the standard.  |
| **D** | Notes:       |
| **8.5** | Is there a written process in place that requires investigation of workplace incidents, occupational illnesses, near misses and work refusals? |     | 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? |     | Review training records of those assigned to lead incident investigations (e.g., on-the-job, formal third party, etc.). |
| **D** | Notes:      |
| **8.7** | Are the following involved in incident investigations?1. managers and supervisors?
 |     | Interview managers and supervisors or mark this question N/A if interviews were not conducted. Not all managers and supervisors need to actively participate in incident investigation, but they must be able to describe management involvement in the process.  |
| **I** | Notes:       |
|  | 1. workers?
 |     | Interview workers or mark this question N/A if interviews were not conducted. Not all workers need to actively participate in incident investigation, but they must be able to describe worker involvement in the process.  |
| **I** | Notes:       |
| **8.8** | Do investigations focus on:1. gathering evidence and identifying underlying causes?
 |     | Review completed investigation records from the previous 12 months.  |
| **D** | Notes:       |
|  | 1. recommending corrective action?
 |     | Review completed investigation records. Corrective actions should be designed to prevent recurrence.  |
| **D** | Notes:       |
| **8.9** | Are corrective actions implemented to prevent recurrence? |     | Review documentation and conduct observations of the identified corrective actions.  |
| **DO** | Notes:       |
| **8.10** | Is management held responsible for the results of investigations? |     | Review documentation. To meet the standard a process should exist, 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? |     | Review minutes of toolbox or health and safety meetings.  |
| **D** | Notes:       |

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| **ELEMENT 8 CAR SCORE** |
| Element score possible: | **13** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points awarded (points scored/points possible):  /  =  x 100= **%** |
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| **9.1** | Has the company established a joint health and safety committee in accordance with legislation? |     | 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? |     | 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? |     | 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? |     | Interview committee members or the health and safety representative, as applicable or mark this question N/A if interviews were not conducted. Interviewee(s) must be able to describe their assigned duties and responsibilities, as per legislated requirements.  |
| **I** | Notes:       |
| **9.5** | Is the contact information of committee members or the health and safety representative readily available to employees? |     | 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? |     | Review training records and compare to legislation. To meet the standard, all committee members or the health and safety representative, as applicable, must be trained.  |
| **D** | Notes:       |
| **9.7** | Is there a system in place to address employee concerns and complaints related to the health and safety system? |     | 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?
 |     | Review documentation. Consider the complexity of the concerns/complaints to determine timeliness.  |
| **D-** | Notes:       |
|  | 1. Does the committee or health and safety representative participate in the hazard assessment process?
 |     | Interview committee members, or the health and safety representative or mark this question N/A if interviews were not conducted.  |
| **I** | Notes:       |
|  | 1. Are recommendations made to management regarding the health and safety of workers?
 |     | Interview managers and supervisors or mark this question N/A if interviews were not conducted. To meet the standard, interviewees must be able to explain if and how they receive recommendations from the committee or the health and safety representative regarding the health and safety of workers.  |
| **I** | Notes:       |
|  | 1. Are work site inspections reviewed?
 |     | Interview committee members, or the health and safety representative or mark this question N/A if interviews were not conducted. |
| **I** | Notes:       |
| **9.9** | Are records of committee, and health and safety representative activities maintained in accordance with legislation? |     | 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? |     | Interview employees or mark this question N/A if interviews were not conducted.  |
| **I** | Notes:       |

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| **ELEMENT 9 CAR SCORE** |
| Element score possible: | **13** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points awarded (points scored/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?
 |     | Review documentation (e.g. newsletters, safety meeting minutes, bulletins, posters, etc.). |
| **D** | Notes:       |
|  | 1. feedback on health and safety issues is sought from employees?
 |     | Review policy documents and records to confirm a process in place and followed. |
| **D** | 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?  |     | 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? |     | Interview employees to verify key health and safety information is available or mark this question N/A if interviews were not conducted. Key information may include hazard assessments, policies, procedures, investigation results, etc.  |
| **I** | Notes:       |
| **10.4** | Are safety and loss control records and statistics analyzed to identify trends and needs? |     | Review records (e.g. hazard assessments, completed inspections, incident reports, investigation reports, drills, meeting minutes, training records, etc.) and statistics. To meet the standard, analysis must occur annually, at a minimum.  |
| **D** | Notes:       |
| **10.5** | Is the information contained in records and statistics used to improve health and safety processes? |     | Review relevant records and observe the work site to confirm.  |
| **DO** | Notes:       |
| **10.6** | Does senior management conduct an annual review designed to set the strategic direction of the occupational health and safety management system? |     | Interview senior management or mark this question N/A if interviews were not conducted. To meet the standard, 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? |     | Interview employees or mark this question N/A if interviews were not conducted. |
| **I** | Notes:       |
| **10.8** | Are employees accountable for their individual health and safety responsibilities? |     | 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.) or mark this question N/A if interviews were not conducted..  |
| **I** | Notes:       |
| **10.9** | Is the occupational health and safety management system evaluated annually through the use of an audit process? |     | 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? |     | Review the previous year’s audit process. To meet the standard 100% of the “Suggestions for Improvement (SFI)” must have been implemented or initiated.  |
| **D** | Notes:       |
| **10.11** | Are results from occupational health and safety management system evaluations communicated to affected employees? |     | Interview employees or mark this question N/A if interviews were not conducted. |
| **I** | Notes:       |

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| **ELEMENT 10 CAR SCORE** |
| Element score possible: | **12** | Points not applicable (N/A): |  | Total points possible: |  |
| Points scored on this element: |  | Total points awarded (points scored/points possible):  /  =  x 100= **%** |
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| Auditor: |  |
| Action Assigned to: |  |
| [ ]  Suggestion for Improvement | [ ]  Continuous Improvement Opportunity |
| Action Number: | **1** | CAR Section & Question: |  |
| CAR Completion Date: |  |
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| Description and Proposed Action: |
| Approved by Company Representative: |  |
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| Name |  | Title |  | Date |
| Implementation Date: |  | Action Effective: | [ ]  Yes | [ ]  No |
| Reviewed by Senior Management: |
| Name |  | Title |  | Date |

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| Auditor: |  |
| Action Assigned to: |  |
| [ ]  Suggestion for Improvement | [ ]  Continuous Improvement Opportunity |
| Action Number: | **2** | CAR Section & Question: |  |
| CAR Completion Date: |  |
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| Description and Proposed Action: |
| Approved by Company Representative: |  |
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| Name |  | Title |  | Date |
| Implementation Date: |  | Action Effective: | [ ]  Yes | [ ]  No |
| Reviewed by Senior Management: |
| Name |  | Title |  | Date |

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| Auditor: |  |
| Action Assigned to: |  |
| [ ]  Suggestion for Improvement | [ ]  Continuous Improvement Opportunity |
| Action Number: | **3** | CAR Section & Question: |  |
| CAR Completion Date: |  |
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| Description and Proposed Action: |
| Approved by Company Representative: |  |
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| Name |  | Title |  | Date |
| Implementation Date: |  | Action Effective: | [ ]  Yes | [ ]  No |
| Reviewed by Senior Management: |
| Name |  | Title |  | Date |

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| Auditor: |  |
| Action Assigned to: |  |
| [ ]  Suggestion for Improvement | [ ]  Continuous Improvement Opportunity |
| Action Number: | **4** | CAR Section & Question: |  |
| CAR Completion Date: |  |
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| Description and Proposed Action: |
| Approved by Company Representative: |  |
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| Name |  | Title |  | Date |
| Implementation Date: |  | Action Effective: | [ ]  Yes | [ ]  No |
| Reviewed by Senior Management: |
| Name |  | Title |  | Date |

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| Auditor: |  |
| Action Assigned to: |  |
| [ ]  Suggestion for Improvement | [ ]  Continuous Improvement Opportunity |
| Action Number: | **5** | CAR Section & Question: |  |
| CAR Completion Date: |  |
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| Description and Proposed Action: |
| Approved by Company Representative: |  |
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| Name |  | Title |  | Date |
| Implementation Date: |  | Action Effective: | [ ]  Yes | [ ]  No |
| Reviewed by Senior Management: |
| Name |  | Title |  | Date |