ENERGY SAFETY CANADA

Certificate of Recognition Program

Audit Protocol 2023 v.1 (January 2023)

Endorsed by:

WorkSafe BC
WORKING TO MAKE A DIFFERENCE

AN APPROVED *Partnerships* AUDIT INSTRUMENT
AUDIT 2022
Alberta Government

WorkSafe
SASKATCHEWAN
Work to live.

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INTRODUCTION

1. **Purpose**

   A Health and Safety System Audit is a comprehensive and objective review of the design and effectiveness of your health and safety system. Evaluating your health and safety system allows you to:

   - Obtain valuable input from employees and others at your work site on the usability and practicality of your health and safety system.

   - Review each component of your operation to determine how well your system is being implemented.

2. **Frequency of Audits**

   A Certificate of Recognition (COR) is valid for three years from the date of issue, providing that all maintenance requirements are met. The date the audit is completed on-site is used as the COR issue date.

   - An employer must complete annual COR maintenance requirements to maintain the validity of their certificate.
     - o The first year, and second year maintenance audits should be completed by anniversary date, however if the busy season changes, on-site activities cannot extend past December 31 of the maintenance year.
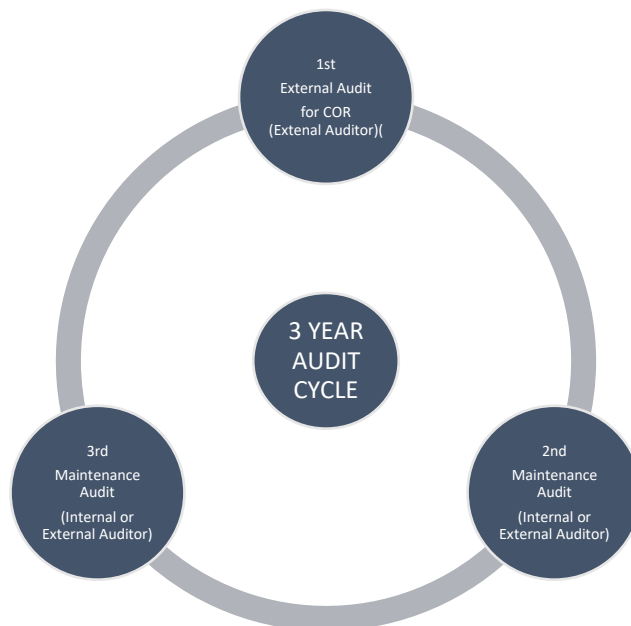
- COR Maintenance audits are subject to the same quality assurance (QA) review as Certification/Recertification COR audits. The passing mark for maintenance audits is 60% overall.
- To renew a COR, an employer will arrange for an external auditor to perform a recertification audit and have it completed and reviewed by Energy Safety Canada (ESC) prior to the expiration date of the COR. The passing mark is 80% overall and at least 50% in each element.

AUDIT SOFTWARE TOOL TECHNICAL REQUIREMENTS

ESC uses Alcumus North America's audit tool called the eCompliance Audit Tool. Auditors are trained to use the tool during the Certified Health and Safety Auditor Program.

Auditors are required to download the software using the information provided in the course material. Once the course is complete and successfully passed, auditors use this software for all audits going forward.

The software requires a license key for each audit conducted. Once an audit is registered with ESC and approved, the license key is provided.

System Requirements

The eCompliance Audit Tool has the following system requirements:

- Microsoft Windows 7 (SP1), Windows 8.1, Windows 10
- .NET Framework 4.7.1 and Windows Installer 3.1
- 1 GHz or faster processor
- 1 GB memory (or more recommended)
- 100 MB Hard Disk Free (or more recommended)
- 1024 x 768 monitor resolution (or higher recommended)
- 96 DPI or Windows default settings (100% only)
- Internet Access for installation (required) and software updates (optional)

For self-serve technical assistance, please visit our eCompliance-Audit Tool Troubleshooting Guide. It can be found on EnergySafetyCanada.com under COR > COR Materials & Resources > Guidelines.

INSTRUCTIONS

1. **Maintaining Confidentiality**

   When people are interviewed, auditors will keep interviewees' names confidential. It is important to protect the privacy of individuals so they can express their opinions freely.

   Auditors should not include the names of sources in any notes made on the audit instrument. If auditors want to keep track of sources for future reference, they should keep these records separate and confidential.

2. **How to Score**

   All-or-nothing questions (e.g., 0, 10): To award points, some questions will require 100% positive indicators, while other questions may only require 70%, 80% or 90% positive indicators. The auditor must reference each instruction to determine scoring requirements for a certain question.

   Range-of-points questions (e.g., 0-10 points): The auditor can award part marks based on findings in sampling. Points are awarded based on the percentage of positive indicators.

   Validation techniques: The auditor must validate the answer to the audit question using the validation techniques (i.e., documentation, interviews, and observation) as outlined in the auditor instruction for each question.

   Some audit questions require the use of more than one validation technique to determine scoring. For example, if instructions indicate verification "by documentation and interviews", points are awarded based on consideration of both validation techniques.

   Use of "Not Applicable" (N/A): Where noted in the guidelines, the auditor has the option of determining that the question is "not applicable" (n/a). This option is provided because some questions may not be applicable to every operation. If the auditor scores a question as "n/a", the points for that question are deducted from the total points possible for the element and for the audit. Auditor notes must clearly justify any "n/a" response.

   Rounding Rules for Scoring: Regular rounding rules apply. From .1 to .4, round down to the nearest whole number, and from .5 to .9, round up to the nearest whole number. For example, 6.37 is rounded down to 6, and 5.67 is rounded up to 6.

   All scoring must be justified using clear and complete auditor notes that:

   - Clearly explain how scoring was derived.
   - Indicate the validation method(s) used to score the question and, where applicable, the percent positive indicators found.
   - Are consistent with the notes and score awarded for other related questions.

3. Steps for Completing an Audit

PRE-AUDIT PHASE	AUDIT PHASE	POST-AUDIT PHASE
1. Pre-Audit Preparation and Planning 2. Pre-Audit Meeting	3. Cursory Tour 4. Documentation Review 5. Interviews 6. Observation Tour 7. Close-Out Meeting	8. Report Writing 9. Audit Submission and Quality Assurance Review 10. Presentation/Delivery of the Completed Audit to the Client

4. Company Profile

The company profile must provide context for the audit by outlining the nature of the employer's work, demographics, geography, facilities, vehicle fleet and offices. Make it specific to the industry codes included in the audit.

5. Executive Summary

The executive summary provides the reader with a brief, concise overview of each section of the report. It should give senior management enough detail to obtain a clear understanding of the key strengths and recommendations and encourage them to continue reading the entire report. The maximum length of the executive summary should be three pages. Parallel bulleted lists and headings can help improve the clarity of the executive summary.

The executive summary should include:

- An attention-getting statement, including the audit score
- The purpose of the audit
- The scope of the audit
- The employer's name, locations audited and the audit time frame
- Key strengths that are company specific and applicable to the audit content
- key high-priority areas for improvement that are clear and actionable (i.e., include the deficiency, corrective action, and benefit of implementing the suggested actions)
- Reference to audit activities
- Name/signoff of the auditor

6. Organizational Chart

The eCompliance Audit Tool does not allow the auditor to upload the organizational chart into the tool. Please upload the organizational chart as a separate attachment when submitting your final audit report.

7. **Pre-Audit Letter**

The confirmation letter must include:

- The auditors' acceptance to conduct the audit
- Clear description of the audit objectives and scope
- List of pre-audit meeting attendees
- Suggestion of a date, time, and location for the pre-audit meeting
- Fee schedule, if appropriate
- Auditor's expectations for assistance, such as working space and other equipment needs
- Request for information including documentation, operational records, and an organizational chart
- Proposed schedule of events, from the pre-audit meeting to on-site activities and report writing.

Internal auditors do not have to create or submit a confirmation letter to meet the requirements of the audit quality assurance review. However, it is important that they communicate their intentions and planned activities to their supervisors and management. This communication should confirm the scope of the audit and provide a schedule of audit activities such as documentation review, interviews, and worksite tours of fixed and field locations. Auditors should also confirm which certificates are being maintained if the employer operates in more than one province. Internal auditors should document this communication in a letter or email.

AUDITOR RESOURCES

1. **Outline of Roles and Responsibilities**

It is the responsibility of the auditor to be aware of their responsibilities as defined in the Safety Audits and Certifications Outline of Roles and Responsibilities document.

2. **Auditor Code of Ethics**

Upon completion of the Certified Health and Safety Auditor Course, auditors sign the Auditor Code of Ethics to verify acknowledgement of its contents. It is your duty to remain knowledgeable and in compliance with the code of ethics.

3. **Auditor Performance Management**

As a Certifying Partner, ESC is obliged to ensure its certified auditors maintain high standards of ethical behaviour and professional performance. All auditors should review and understand the content of the [Auditor Performance Management Standard](#).

4. **Information Gathering Tools**

ESC understands that it is not always practical to bring a laptop or other electronic device with access to the auditing software to a work site. As such, the documentation questions are available as a printable document to record handwritten notes. To access please log into your account on the Energy Safety Canada website and click on Auditor Portal. On the main General page scroll down to Conducting the Audit and download the COR Protocol – Gathering Tools for Auditors.

5. **Other Resources**

The ESC website has a video library and COR related forms and templates available to the auditor at EnergySafetyCanada.com under [COR Materials & Resources](#).

	Energy Safety Canada COR Audit Protocol 2023		
	Audit Question	**Scoring Guideline**	**Validation Method / Scoring**
	Element A: Management, Leadership and Organizational Commitment		
	1. Company Health and Safety Policy		
A.1.a	Does the company have a written health and safety policy that contains the following? 1. A reference to the company's goals, aims, responsibilities for and/or commitment to health and safety, 2. a reference to addressing the health and safety (including physical, psychological, and social well-being) of employees, 3. a reference to management (senior and middle levels as applicable) responsibilities, 4. a reference to supervisor responsibilities, 5. a reference to worker responsibilities, 6. the requirement to comply with government legislation, 7. the signature of the current most senior manager for the business units being audited, and 8. the date the policy was signed.	**Verified through Documentation Review** Review the company's written health and safety policy for the specified criteria as listed in the question. Score based on the % positive indicators. The note should identify the number of criteria met. Provide details/example(s).	Doc (0-8)

A.1.b	Are employees made aware of the health and safety policy through some form of distribution of the policy?	**Verified through Interviews** Interview employees to determine if they are aware of how the company makes the health and safety policy available to employees. Points awarded based on the % of positive responses. Provide details/example(s). **Verified through Observations** Use the interview findings to establish where the policy should appear in the workplace. Confirm the policy appears or is made available in these locations. Points are awarded based on the % of locations the policy was available. Provide details/examples.	Int (0-4) Obs (0-15)
	2. Safety Responsibilities		
A.2.a	Have health and safety responsibilities been developed for each applicable employee level within the company (senior management, middle management, supervisors, and workers)?	**Definition: Company Levels** For this audit, levels within a company are defined as senior management, middle management, supervisor, and worker. **Verified through Documentation Review** Review documentation, other than the health and safety policy, to determine that all employee levels have their specific health and safety responsibilities developed. Points are awarded based on the % of positive indicators. Provide details/example(s).	Doc (0-4)

A.2.b	Do employees at all levels understand and have an awareness of their health and safety responsibilities (as outlined in A.2a)?	**Verified through Interviews** Interview employees at all levels to determine if they are aware of and understand their health and safety responsibilities as outlined in the company's health and safety system. Points awarded based on the % of positive responses. Provide details/example(s). **NOTE:** Supervisory personnel need to express their responsibility for the protection/safety of workers as a minimum to justify a positive finding. (Supervisory personnel may include managers under the multi-role function where the company has no designated supervisor positions.)	Int (0-4)
A.2.c	Does the company have an accountability system which verifies that all employees have assigned health and safety goals and/or targets that: • are measurable, • are tracked, and • include feedback/follow-up?	**Verified through Documentation Review** Review policies and procedures to verify if the company has an accountability system, which measures, and tracks assigned health and safety goals and/or targets to verify implementation. The system must provide feedback or follow-up on the implementation. *A discipline policy alone does not meet the intent of this question.* Points are awarded based on 100% positive indicators. Provide details/example(s). **NOTE:** If the company has an accountability system which meets the question criteria, however, does not include all applicable employee levels, provide justification to support which levels were included.	Doc (0, 3)
A.2.d	Has the health and safety accountability system (if verified in A.2.c) been fully implemented for employees at all levels?	**Verified through Documentation Review** Review a sample of records (such as performance appraisals, job safety observations, etc.) from the accountability system identified in A.2.c to verify that these have been fully implemented. Only include employee levels verified in A.2c to have a full accountability system in place. Points awarded based on % positive indicators. Score 0% if no accountability system was verified in A.2c. Provide details/example(s).	Doc (0-3) Int (0-3)

		Verified through Interviews	
		Interview employees at all levels to verify if the company has a health and safety accountability system in place and implemented for individuals.	
		Points are awarded based on % of positive responses.	
		Provide details/example(s).	
A.2.e	Does the company ensure the allocation of health and safety resources to support effective management of occupational health and safety hazards?	**Verified through Interviews** Interview senior and middle management to determine if there is a basic awareness of how health and safety resources are allocated/made available. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-4)
A.2.f	Are there adequate resources provided to all employees to support effective management of occupational health and safety hazards?	**Verified through Interviews** Interview supervisors and workers to determine if they believe the health and safety resources provided are sufficient for their work. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-4)
A.2.g	Does the company provide access to current, applicable health and safety legislation for the jurisdictions in which it operates?	**Verified through Observation** Consider the types of legislation applicable to the company's operations and then determine the availability of that legislation to employees. Points awarded based on % positive indicators. Provide details/example(s).	Obs (0-20)
A.2.h	Do all employees know and understand which legislation is applicable to their work and any work they oversee?	**Verified through Interviews** Interview all employees to determine if they know and understand what legislation is applicable to their work and any work they oversee. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-4)

		3. Management Communications	
A.3.a	Does senior management demonstrate their commitment to improving the company's health and safety culture at least annually?	**Verified through Interviews** Interview employees to verify that they have received some form of communication or demonstration from senior management regarding the company's commitment to health and safety in the past year. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-4)
A.3.b	Does the company have a written directive outlining the requirement for health and safety work site tours, including pre-determined frequencies for: • senior managers, • middle managers, and • frontline supervisors?	**Definition: Frontline Supervisor** A frontline supervisor is a supervisor that oversees workers involved in field or shop operations or dispatched workers (e.g., truck driver, service technician, etc.) from a fixed location. **Definition: Work site tours** A work site tour is a visit to any site where work is conducted to observe employee compliance with health and safety standards and practices, and to conduct two-way communication with employees. **Verified through Documentation** Confirm the presence of policies or procedures outlining the requirement for work site tours, including pre-determined frequencies for senior managers, middle managers, and frontline supervisors (as applicable to the company). **NOTE:** Regular site/equipment Inspections, do not meet the intent of this question. Points awarded based on % positive indicators. Provide the frequencies identified for each applicable employee level.	Doc (0-3)

A.3.c	Does senior management tour work sites to observe work practices and discuss safety issues with workers as per their determined frequencies (A.3b)?	**Verified through Documentation Review**	Doc (0-3) Int (0-3)
		Review the frequency identified in A.3b to create a representative sample of documents verifying senior managers visited work sites. The documents should confirm the work site was observed and safety issues were discussed.	
		Scoring is awarded based on % positive indicators. If A.3.b verified no determined frequency for senior manager work site tours, then score 0% for documentation.	
		Provide details/example(s).	
		Verified through Interviews	
		Interview supervisors and workers to determine if they are aware of senior managers touring work sites and discussing safety issues.	
		Points awarded based on the percentage of positive responses.	
		Provide details/example(s).	
A.3.d	Does middle management tour work sites to observe work practices and discuss safety issues with workers as per their determined frequencies (A.3b)?	**Verified through Documentation Review**	Doc (0-3) Int (0-3)
		Review the frequency identified in A.3b to create a representative sample of documents verifying middle managers visited work sites. The documents should confirm the work site was observed and safety issues were discussed.	
		Points are awarded based on the % positive indicators. If A.3.b verified no determined frequency for middle manager work site tours, then score 0% for documentation.	
		The auditor may apply an n/a if the company has no middle management function.	
		Provide details/example(s).	
		Verified through Interviews	
		Interview supervisors and workers to determine if they are aware of middle managers touring their work site and discussing health and safety issues in the previous twelve months.	
		Points awarded based on the percentage of positive responses.	
		The auditor may apply an n/a if the company has no middle management function.	
		Provide details/example(s).	

A.3.e	Do frontline supervisors tour work sites to observe work practices and discuss safety issues with workers as per their determined frequencies (A.3b)?	**Verified through Documentation Review** Review the frequency identified in A.3b to create a representative sample of documents verifying frontline supervisor visits. The documents should confirm the work site was observed and safety issues were discussed. Communication alone is sufficient in the case of remote sites or dispatch scenarios where frontline supervisors are unable to visit all their sites regularly. Scoring is based on % positive indicators. The auditor may apply an n/a if the audit scope is exclusively office workers engaged in low risk, administrative tasks. Provide details/example(s). **Verified through Interviews** Interview *field and shop workers. Do not include administrative workers*. Workers in field or shop operations should confirm their frontline supervisors regularly tour their work site to observe operations and discuss health and safety issues. Dispatched or remote workers should confirm there is regular contact with a dispatch or field supervisor that includes health and safety items. Points awarded based on the percentage of positive responses. The auditor may apply an n/a if the audit scope is exclusively office workers engaged in low risk, administrative tasks. Provide details/example(s).	Doc (0-3) Int (0-3)

Element B: Hazard Assessment			
	1. Formal Hazard Assessment System		
B.1.a	Is there a written policy or procedure outlining the requirements of formal hazard assessments?	**Definition: Formal Hazard Assessment** For the purposes of this protocol, a formal hazard assessment system uses a written process to identify, assess and prioritize position/discipline task-based hazards. It may be known by several different terms, but it is *not to be confused with a field level or site-specific hazard assessment*. **Verified through Documentation Review** Confirm the presence of policies or procedures, which direct the company to assess position/discipline task-based hazards to identify, assess, and prioritize hazards. Points are awarded based on the presence of a policy or procedure outlining the requirements of a formal hazard assessment system. Provide details/example(s).	Doc (0, 5)
B.1.b	Have all company positions/disciplines been inventoried or included within the formal hazard assessment system?	**Verified through Documentation Review** Documentation review should include a comparison of job inventories (org. chart, job inventory, staff listings, etc.) to the formal hazard assessment documentation (formal hazard assessments, task inventories). **NOTE:** Within formal hazard assessments, individual positions or roles may be grouped under discipline headings such as "administrative staff", "office workers", "shop"/"shop workers", "field staff", etc. Points are awarded based on the % of jobs/disciplines inventories compared to the number identified on the staff listing/org charts. Sampling is not acceptable for this question. Notes must include examples of the job/disciplines identified, and any that were missed.	Doc (0-12)

B.1.c	Do all positions/disciplines captured within the formal hazard assessments have tasks identified?	**Verified through Documentation Review**	Doc (0-15)
		The various tasks associated with each job/discipline must be identified.	
		Points are awarded based on the % of jobs/disciplines identified that have tasks associated. The maximum score allowed for this question will be determined by the total percentage awarded in B.1b. For example, if only 50% was awarded in B.1b, then only a maximum of 50% can be awarded for B.1c.	
		The note must include examples and list any job/positions that did not have tasks associated.	
B.1.d	Have applicable health and safety hazards for each task been identified?	**Definitions:**	Doc (0-15)
		A **health hazard** is anything that could harm someone's health, either immediately or over time.	
		A **safety hazard** is anything that could cause injury or damage.	
		Verified through Documentation Review	
		Review a sample of formal hazard assessments (FHAs) to determine if applicable health and safety hazards have been identified for each task.	
		Consider the four categories for health and safety hazards, which include:	
		• Physical (e.g., radiological, working at heights, lifting heavy loads, extreme temperatures, violence, ergonomics)	
		• Chemical (e.g., fumes, vapours, gases, waste products)	
		• Biological (e.g., bodily fluids, viruses, bacteria, moulds)	
		• Psychological (e.g., harassment and bullying, stress, fatigue)	
		NOTE: All hazard categories may not be applicable to every task identified on formal hazard assessments.	
		Points are awarded based on the % of tasks for which hazards have been identified. The maximum score allowed for this question will be determined by the % awarded in B.1c. For example, if only 50% was awarded in B.1c, then only 50% can be awarded for B.1d.	
		Notes must include examples of both health and safety hazards identified and their associated task(s).	

B.1.e	Have both health and safety hazards for each task been individually assessed by a combination of any 2 or more of the following: the **frequency** of the activity, the **probability** of incident and loss, and the **severity** of loss, to determine the relative significance of each hazard?	**Verified through Documentation Review** Confirm each hazard identified in B.1d has been individually assessed for risk to determine priority using a consistent approach of at least 2 factors (e.g., severity and probability). Points are awarded based on the % of health and safety hazards that have been individually assessed/prioritized. The maximum % allowed for this question cannot exceed the % awarded in B.1d. Notes must describe the system in use. Provide an example of a task, the associated hazards and the risk ratings/priority assigned.	Doc (0-30)
B.1.f	Does the company have a policy or procedure to create, review and revise formal hazard assessments? 1. when new operations, work processes, equipment, materials, or products are introduced, 2. when operations work-related processes or equipment are modified, 3. when site-specific hazard assessments, inspections, or investigations identify a previously unrecognized hazard, and 4. as per a pre-determined frequency.	**Verified through Documentation Review** Review company policies or procedures to determine if the company has a policy or procedure that requires the creation, review, and revision of the FHAs for the 4 criteria listed in the question. **NOTE:** Indicating a review at regular intervals does not meet the requirement of a pre-determined frequency. Points are awarded based on the number of criteria fully met. Note must provide details/example(s) and state the pre-determined frequency if identified.	Doc (0-8)
B.1.g	Are formal hazard assessments created, reviewed and/or revised? 1. when new operations, work processes, equipment, materials, or products are introduced or modified, and 2. when site-specific hazard assessments, inspections, or investigations identify a previously unrecognized hazard.	**Verified through Interviews** Interview supervisors as well as any workers involved in the development or review of FHAs to determine if they are created, reviewed, or revised based on the criteria in the question. Points awarded based on the % of positive responses. Provide details/example(s). **NOTE:** The auditor should apply "not asked" for employees who were not involved in the development or revision of FHAs.	Int (0-12)

B.1.h	Are formal hazard assessments reviewed as per the pre-determined frequency from B.1f?	**Verified through Documentation Review** Review a sample of FHAs to determine if reviews were completed as verified in B.1.f (e.g., if policy indicates annual review, are all sampled FHAs dated as reviewed within the previous 12 months). Points are awarded based on the number of formal hazard assessments reviewed at the pre-determined frequency. If no frequency for review was identified, score 0%. Provide details/example(s).	Doc (0-12)
B.1.i	Has training been provided for those employees designated to lead the formal hazard assessment process?	**Verified through Documentation Review** Employees who lead the formal hazard assessment process must be trained. Refer to completed formal hazard assessments to determine who the lead employees are. Then refer to the training records to determine if these employees have completed training. Training may be done internally or by a third-party provider. Points are awarded based on the % positive indicators. Provide details/example(s).	Doc (0-12)
B.1.j	Are affected employees participating in the development or review and revision of formal hazard assessments?	**Verified through Interviews** Interview any employees that participated in the development or review and revision of the FHAs. Ask these employees to recall if either (a) the assessments they were involved in dealt with tasks they perform or (b) the assessments included other workers who perform the tasks under consideration. A positive response to either of these is a positive indicator. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-8)
B.1.k	Are senior managers knowledgeable of the highest rated health and safety hazards that apply to the company's operations?	**Verified through Interviews** Interview senior managers. Ask them to recall the most serious health and safety hazards associated with the company's operations. Confirm if they can describe the most serious health or safety hazard that affects the company's operations. Responses should match the FHAs to be deemed positive. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-8)

		2. Site-Specific Hazard Identification and Reporting	
B.2.a	Does the company have a site-specific hazard identification system that requires hazards to be identified and assessed prior to work starting on the day of the job: 1. at temporary or mobile work sites, 2. at work sites not owned by the company, 3. when new conditions, tasks, equipment, processes, construction are introduced, 4. with the inclusion of affected employees at the work site?	**Definition: Site-Specific Hazard Identification System** A site-specific hazard assessment (also referred to as field-level) is performed before work starts at a site and at a site where conditions change when non-routine work is added. This flags hazards identified at the locations (e.g., overhead powerlines, wet surfaces, weather), or introduced by a change at the work site (e.g., new equipment, unfamiliar chemicals). Any hazards identified are to be eliminated or controlled before work begins or continues. **Verified through Documentation Review** Review company policies or procedures to determine their site-specific hazard identification system requirements. If the company uses the Prime Contractors forms, they should have a directive that indicates so. Verify that the system will address the criteria listed, prior to work starting the day of the job. Points are awarded based on the number of criteria met. Provide details/example(s).	Doc (0-12)
B.2.b	Is the company following the requirements of their site-specific hazard identification system?	**Verified through Documentation Review** Review a sample of completed records from the site-specific hazard identification system (identified in B.2.a) to determine compliance with the system. The auditor should also determine where and when site-specific hazard identifications are mandated by the company's policy and treat these as opportunities to demonstrate compliance. If the nature of the company's operation over the previous 12 months did not produce an opportunity for a site-specific hazard identification activity as per their policy (e.g., administrative work only), the auditor may score n/a. If B.2.a scored 0%, then B.2.b must also score 0%. **Verified through Interviews** Interview frontline supervisors, workers, and as applicable, other employers. Verify the company has been completing site-specific hazard identifications as per their System identified in B.2.a with affected workers. Points awarded based on the % of positive responses. Provide details/example(s).	Doc (0-12) Int (0-12)

		If the nature of the company's operation over the previous 12 months did not produce an opportunity for a site-specific hazard identification activity as per their policy (e.g., administrative work only), the auditor may score n/a.	
		Apply "not asked" to all interviews if B.2.a scored 0%	
**3.   Hazard Reporting**

B.3.a	Does the company have a hazard reporting system to deal with unsafe conditions and unsafe work practices encountered in their daily activities?	**Definition: Hazard Reporting System** Hazard reporting is an immediate process that allows employees to report hazardous conditions or practices as they notice them. This allows for prompt reporting and corrective action without waiting for next round of inspections, a field level hazard assessment to be completed, or for a near miss to occur. **Verified through Documentation Review** Review policies or procedures to verify a company has a system for reporting unsafe conditions and work practices. Examples include: • Hazard Concern Reports • Real Time Hazard Reports • STOP cards • Hazard ID form (sometimes combined with Near Miss Reporting) • Document outlining how and who to report hazards to. Points are awarded based on the presence of a hazard reporting system in place. Provide details/example(s).	Doc (0,12)
B.3.b	Is the company following the requirements of their hazard reporting system?	**Verified through Interviews** Interview employees to determine compliance with the company's hazard reporting system identified in B.3.a. Points awarded based on the % of positive responses. Apply "not asked" to all interviews if B.3.a scored 0% Provide details/example(s).	Int (0-10)

		Element C: Hazard Control	
		1. Health and Safety Hazard Control System	
C.1.a	Does the company have a written policy or procedure that outlines how health and safety hazard controls must be identified and developed for the hazards identified within formal hazard assessments: 1. in accordance with the hierarchy of controls, 2. to meet legislative requirements, 3. with high hazard items given priority, 4. with the inclusion of workers affected by the hazards and proposed controls, 5. including assignment of responsibilities for implementation, and 6. with ongoing monitoring and evaluation of controls after implementation?	**Verified through Documentation Review** Verify the company has a written policy or procedure that guides the application of controls for both health and safety hazards for the specified criteria as listed in the question. Points are awarded based on the number of criteria met. Provide details/example(s).	Doc (0-9)
C.1.b	Does the company identify and implement controls for health and safety hazards listed in the site-specific hazard assessments?	**Verified through Documentation Review** Review **completed site-specific hazard assessments** to verify controls have been identified and implemented for health and safety hazards listed. Points are awarded based on the % positive indicators. If B.2a scored 0% then C.1b must also score 0%. Provide details/example(s).	Doc (0-6)
C.1.c	Does the company communicate any changes in the use of hazard controls to affected employees?	**Verified through Interviews** Interview employees to determine if the company communicates any changes in the use of hazard controls. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-6)

C.1.d	Is there evidence that senior and middle management and supervisors enforce the use of hazard controls (including engineering, administrative, and PPE) by employees?	**Verified through Interviews** Interview supervisors and workers to determine if senior and middle management and supervisors enforce the use of the hazard controls. Points awarded based on the % of positive responses. Provide details/example(s). **Verified through Observations** At each site visited, look for opportunities for management/supervisor(s) to enforce use of hazard controls. Score each site visited as follows: • If an opportunity for enforcement exists and was acted upon, score full points for that site (100%) • If there were no opportunities for enforcement at a location, score full points for that site as this shows overall compliance (100%) • If an opportunity for enforcement exists but was not acted upon, withhold all points *for that site* (0%) The final score is based on the average score for all sites visited. Provide details/example(s). **NOTE:** If full points were awarded because no opportunities for correction were presented, auditor must justify in the note.	Int (0-6) Obs (0-15)
		2. Health and Safety Hazard Controls	
C.2.a	Are the hazards identified within the formal hazard assessments controlled with the use of engineering controls whenever feasible or required based on risk or legislation?	**Topic C.2 Instructions:** For Topic C.2, select a sample of health and safety hazards from a variety of completed FHAs that includes activities from all industry codes (classification units) included in the audit scope. The activities sampled must also represent (where applicable): • high risk activities, • activities subject to legislation, and • activities with industry recognized standards. This sample of health and safety hazards should be referenced in subsequent **Documentation** questions in Topic C.2.	Doc (0-5) Obs (0-20)

		Verified through Documentation Review	
		Review completed FHAs to create a sample of health and safety hazards using the above instructions. Assess which of these hazards should have engineering controls identified. At a minimum office design and equipment ergonomics should be taken into consideration.	
		Points are awarded based on the % positive indicators.	
		Provide details/example(s).	
		Verified through Observations	
		Using your documentations sample, verify through observation that they have been implemented.	
		Auditors must include some controls from the highest hazard items in the sample to verify they have been given priority.	
		Points are awarded based on the % of engineering controls samples from the formal hazard assessment that have been observed.	
		Provide details/example(s).	
C.2.b	Are employees using established engineering controls as intended?	**Verified through Interviews**	Int (0-6)
		Interview employees on work sites with engineering controls present to determine if they are being used as intended.	
		Points are awarded based on the % positive indicators.	
		Provide details/example(s).	

| C.2.c | Are the hazards identified within the formal hazard assessments controlled with the use of administrative controls where applicable or where required by legislation? | **Verified through Documentation Review**

Using the sample of health and safety hazards selected in C.2.a, determine which hazards should be managed with the use of administrative controls.

NOTE: Administrative controls could be used in combination with other control measures.

Review the sample to determine how many have appropriate administrative controls listed. Auditors must include some controls for the highest hazard items in the sample to verify they have been given priority.

Points are awarded based on the % positive indicators.

Provide details/example(s).

Verified through Observations

Using your documentations sample, verify through observation that they have been implemented.

Auditors must include some controls from the highest hazard items in the sample to verify they have been given priority.

Points are awarded based on the percentage of administrative controls samples from the formal hazard assessment that have been observed.

Provide details/example(s). | Doc (0-5)
Obs (0-20) |
| C.2.d | Are employees using established administrative controls as intended? | **Verified through Interviews**

Interview employees on work sites with administrative controls to determine if these are being used as intended.

Points are awarded based on the % positive indicators.

Provide details/example(s). | Int (0-6) |

| C.2.e | Are the hazards identified within the formal hazard assessments controlled with the use of Personal Protective Equipment (PPE) where applicable or where required by legislation? | **Verified through Documentation Review**

Using the sample of health and safety hazards selected in C.2.a, determine which hazards should be managed with the use of PPE controls.

NOTE: PPE controls can be used in combination with other control measures.

Review the sample to determine how many have appropriate administrative controls listed. Auditors must include some controls for the highest hazard items in the sample to verify they have been given priority.

Points are awarded based on the % positive indicators.

Provide details/example(s).

Verified through Observations

Using your documentations sample, verify through observation that they have been implemented.

Auditors must include some controls from the highest hazard items in the sample to verify they have been given priority.

Points are awarded based on the percentage of PPE controls samples from the formal hazard assessment that have been observed.

Provide details/example(s). | Doc (0-5)
Obs (0-10) |
| C.2.f | Is PPE that is required by legislation or per company policy made available? | **Verified through Interviews**

Interview supervisors and workers required to use PPE to determine if the company is supplying the required PPE.

Points are awarded based on the % positive indicators. The auditor may n/a if a company's operations do not require OHS legislated PPE or if the company policy demands employees supply their own required PPE.

Provide details/example(s). | Int (0-6) |

C.2.g	Is PPE properly maintained?	**Verified through Observations**	Obs (0-15)
		In advance of site visits, determine if there are any company policies or manufacturers requirements on PPE maintenance that may be observed during site visits.	
		During the work site visits, sample any PPE that falls under the company or manufacturer's maintenance requirements as well as observe a sampling of the general condition of PPE in use on the work site to determine PPE maintenance levels.	
		Points are awarded based on the percentage of PPE controls samples from the formal hazard assessment that have been observed as well maintained.	
		The auditor may n/a if a company's operations do not require OHS legislated PPE or if the company policy demands employees supply their own required PPE.	
		Provide details/example(s).	
C.2.h	Does the company provide training on PPE that includes the care, use, maintenance, and limitations of any required PPE?	**Verified through Interviews**	Int (0-10)
		Interview workers required to use PPE to determine if they have received training that covers the care, use, maintenance, and limitations (as appropriate) for the required PPE.	
		Points are awarded based on the % positive indicators.	
		NOTE: All applicable criteria must be verified by each interviewee to score a positive response.	
		The auditor may n/a if a company's operations do not require OHS legislated PPE or if the company policy demands employees supply their own required PPE.	
		Provide details/example(s).	

		3. Preventive Maintenance	
C.3.a	Is there a preventive maintenance program in place that: • includes an inventory or record of assets requiring preventive maintenance, • includes a schedule of required preventative maintenance, • satisfies legislative requirements, and • satisfies manufacturer's specifications?	**Verified through Documentation Review** Review the company's preventive maintenance program (PM program) to determine if all four criteria are met. Score based on 100% positive indicators. This question may be scored N/A if the company does not own their work sites or any equipment. Provide details/example(s).	Doc (0, 2)
C.3.b	Is the preventive maintenance program being implemented as outlined?	**Verified through Documentation Review** Review a sample of maintenance records of active equipment to determine compliance with the maintenance program schedule and requirements as outlined in C.3.a. This question may be scored n/a if the company does not own their work sites or any equipment. Points awarded based on % positive indicators. Score 0% if the company does not have a maintenance schedule in place to verify compliance with. Provide details/example(s).	Doc (0-4)
C.3.c	Has all equipment requiring preventive maintenance been included within the preventive maintenance program?	**Verified through Observation** **Based on the program and records reviewed in C.3a/b, verify if the equipment observed is consistent with the inventory list.** This question may be scored n/a if the company does not own their work sites or any equipment. Points are awarded based on % positive indicators Provide an example of equipment observed.	Obs (0-10)

		4. Hazardous Materials		
C.4.a	Does the company have a WHMIS 2015 program that meets current legislative requirements for hazardous products that are handled, used, stored, produced, or disposed?	**Verified through Documentation Review** Review company documentation to determine if they have a program that meets current WHMIS 2015 legislation. This includes a process for employee training, labelling, and current safety data sheets (SDS). Points are awarded based on having a program in place that meets the question requirements. The auditor may apply an n/a if a company does not make use of any hazardous products (i.e., WHMIS 2015 not required). Provide details/example(s).	Doc (0, 3)
C.4.b	Have employees received adequate WHMIS 2015 program training?	**Verified through Documentation Review** Sample employee training records or training matrix to establish that WHMIS 2015 training has been conducted. The auditor may apply an n/a if a company does not make use of any hazardous products (i.e., WHMIS 2015 not required). Points are awarded based on % positive indicators. Provide details/example(s). **Verified through Interviews** Interview employees to determine if they have received WHMIS 2015 training appropriate to their tasks. Points awarded based on % positive responses. The auditor may apply an n/a if a company does not make use of any hazardous products (i.e., WHMIS 2015 not required) Provide details/example(s).	Doc (0-3) Int (0-3)

C.4.c	Are all hazardous products identified with a correct WHMIS 2015 label?	**Verified through Observations** Inspect a sample of hazardous products to determine appropriate WHMIS 2015 labelling. (SDS are outside the scope of the question). Points awarded based on % positive indicators The auditor may apply an n/a if a company does not make use of any hazardous products (i.e., WHMIS 2015 not required). Provide details/example(s).	Obs (0-6)
C.4.d	Are SDS's made available to workers?	**Verified through Interviews** Interview supervisors and workers to verify knowledge of, and access to, current SDSs for the hazardous products they work with and around. Points are awarded based on the % positive responses. Provide details/example(s).	Int (0-5)
C.4.e	Does the company have documented plans to manage and control exposure to chemical, biological or radioactive hazards (as applicable) that meet legislative requirements?	**Verified through Documentation Review** Determine which of the hazards are applicable to the company and the corresponding plans to manage those hazards. For example, the company's hazards may require the following types of documented plans, procedures, or practices: • Spill Prevention and Control, First Responder • Handling Hazardous Materials (ammonia, asbestos, etc.) • Exposure to Bio-Hazards (blood, virus, bacteria) • Radioactive Hazards Points awarded if applicable documented plans or procedures are in place. Provide details/example(s). **Verified through interviews** Interview employees to verify they are aware of documented plans to manage and control exposure to chemical, biological or radioactive hazards (as applicable). Points awarded based on % positive responses. Provide details/example(s).	Doc (0, 2) Int (0-3)

		5. Violence and Harassment Prevention		
C.5.a	Does the company have a written Violence Prevention Plan which meets legislated requirements?	*AB Violence and Harassment* *WSBC Violence* *WSBC Harassment* *SK Violence* *SK Harassment* *Federal Requirements* **Verified through Documentation Review** Documentation must confirm the Company has a Violence Prevention Plan in place which meets legislation for the jurisdictions in which it operates. Points are awarded based on 100% positive indicators. **NOTE:** n/a may be applied for SK companies not included in Section 37(2) of the OHS Regulations. Provide details/example(s).	Doc (0, 10)
C.5.b	Does the company have a written Harassment Prevention Plan which meets legislated requirements?	**Verified through Documentation Review** Documentation must confirm the Company has a Harassment Prevention Plan in place which meets legislation for the jurisdictions in which it operates. Points are awarded based on 100% positive indicators. Provide details/example(s).	Doc (0, 10)
C.5.c	Have the Violence and Harassment Plans been reviewed as per legislated requirements?	**Verified through Documentation Review** The Violence and Harassment Prevention Plans must be reviewed as per legislated requirements for the jurisdictions the Company operates. Points are awarded based on 100% positive indicators. Provide details/example(s).	(Doc 0-9)

		Element D: Inspections	
		1. Inspections	
D.1.a	Does the company have a written inspection policy that includes the purpose of inspections?	**Verified through Documentation Review** Review the company's inspection policy and determine if the purpose of inspections is stated. Points are awarded based on 100% positive indicators. Provide the purpose of inspections indicated.	Doc (0, 6)
D.1.b	Does the inspection program outline what is to be inspected, including: 1. work activities, 2. work areas, 3. equipment, 4. materials, and 5. specific hazards?	**Verified through Documentation Review** Review the company's inspection program for evidence within inspection policy, procedures or forms that dictate or encourage inspections that address each of the four criteria (work activities, equipment, materials, and work areas). Evidence can be gathered across the program, an individual type of inspection may only account for one or another of these. Points awarded based on the number of criteria found. Provide details/example(s).	Doc (0-10)
D.1.c	Does the inspection program include a pre-determined frequency for each formal inspection type, including legislated requirements (if applicable)?	**Definition: Formal Inspections** Regularly scheduled examinations of the workplace completed with the aid of a checklist and inspection report. **Verified through Documentation** Review the company's inspection program for evidence within inspection policy, procedures, schedule, or forms that dictate a set frequency or trigger for various types of inspections (daily, weekly, shift change, pre-use, hours of operation, etc.). Where possible and applicable, include inspection types that are mandated by legislation (e.g., elevators, cranes, CVIP). Count any inspection type that has a frequency or trigger assigned and any legislated inspection that meets legislated requirements as a positive indicator. Points awarded based on % positive indicators Provide details/example(s).	Doc (0-6)

D.1.d	Are formal inspections assigned to the following employee levels as appropriate (and as required by legislation): • senior managers, • middle managers, • supervisors, and • workers?	**Verified through Documentation Review** Review the company's inspection program for evidence within inspection policy, procedures, schedule, or forms to determine if formal inspections have been assigned to each applicable employee level. *Note: not all inspection types require all levels of involvement, however all levels must participate in formal inspections.* Points awarded based on % positive indicators Provide details/example(s).	Doc (0-4)
D.1.e	Do inspectors receive appropriate written instructions, templates, or checklists to evaluate: 1. work activities, 2. work areas, 3. equipment, 4. materials, and 5. specific hazards?	**Verified through Documentation Review** Verify all five criteria listed are captured within the inspection program by reviewing the following sorts of documents: • Inspection instructions • Inspection forms or checklists • Behaviour-Based observation forms (may cover inspections on work activities) Points awarded based on the number of criteria found. Provide details/example(s).	Doc (0-10)
D.1.f	Have inspections been completed as required by the inspection policy?	**Verified through Documentation Review** Review the evidence gathered in D.1c, D.1d & D.1e to create a representative sample of completed inspection records for a variety of inspection types. Verify if the inspection records confirm they were completed as per the documented inspection requirements (by assigned personnel, by frequency and using the correct template). Points awarded based on % positive indicators. Provide details/example(s).	Doc (0-10)

| D.1.g | Are deficiencies identified through the inspection program corrected in a timely manner? | **Definition: Timely Manner**

A test of reasonableness must be applied when judging the length of time it takes a company to address a deficiency. For example, a complex issue requiring major resources will require more time be addressed than a relatively simple matter. The level of risk presented by the deficiency should also be considered—higher risk deficiencies require more immediate action than lower risk deficiencies.

Verified through Documentation Review

Establish what type(s) of record(s) capture correction of deficiencies identified during inspections (for example, inspection records or forms, safety meeting or toolbox meeting minutes, joint health and safety meeting minutes, etc.). Review a sample of these records to determine if deficiencies identified during inspections have been subsequently documented as corrected in a timely manner. Records must include dates.

NOTE: Records without deficiencies should not be included in the sample.

Points awarded based on % positive indicators.

If 100% is scored based on completed inspection showing no deficiencies, this must be justified in the notes regarding the nature of the company's operation that would create this possibility.

Provide details/example(s).

Verified through Interviews

Interview employees to determine if deficiencies identified in the inspection program are corrected in a timely manner.

Points awarded based on % positive responses.

Provide details/example(s).

Verified through Observations

Create a sample of deficiencies from the inspection reports applicable to the work site(s) to be visited. Verify through observation if corrective action(s) has been completed on the reported deficiencies.

Points awarded based on the % of observed opportunities.

If there are no available opportunities apply n/a

Provide details/example(s). | Doc (0-10)
Int (0-25)
Obs (0-15) |

D.1.h	Have those employees who have conducted inspections within the past 12 months received training that is appropriate to what is being inspected?	**Verified through Documentation Review**	Doc (0-8)
		Review inspection records or other applicable documents to determine a sample of employees who have conducted inspections in the past 12 months.	Int (0-25)
		Using the list, review any training documents that verify that your sample of employees conducting inspections have received appropriate training for the inspections they have been assigned.	
		Points awarded based on % positive indicators.	
		Provide details/example(s).	
		Verified through Interviews	
		Interview only employees confirmed through documentation review to have completed inspections. Ask them to confirm if they have received appropriate training for the inspection(s) they have conducted.	
		Points awarded based on % positive indicators.	
		Provide details/example(s).	

Element E: Qualifications, Orientation and Training

1. Health and Safety Orientation

E.1.a	Does the company have a comprehensive orientation for all new and transferred employees that includes:	**Verified through Documentation Review**	Doc (0-11)
		Review the company's orientation policy and/or orientation package to determine if their orientation program meets the eleven criteria.	
	1. health and safety policies and procedures,	Points awarded based on how many of the criteria are met.	
	2. health and safety responsibilities,	Provide details/ example(s).	
	3. workers rights (right to refuse, right to know, right to participate)		
	4. task specific hazards and controls,		
	5. WHMIS 2015 information,		
	6. applicable regulatory requirements (e.g., OHS legislation, WCB, NSC, etc.),		

	7. discipline/enforcement policies, 8. emergency response procedures (including alert/alarm systems), 9. hazard reporting 10. incident and near miss reporting, and 11. sign off by the employee and person conducting the orientation?		
E.1.b	Do supervisory personnel ensure orientations were conducted prior to the employees starting their regular duties?	**Verified through Interviews** Interview supervisory personnel to verify the process they use to ensure workers under their responsibility have received an orientation. **Supervisory personnel may include managers where the company has no designated supervisor positions.** Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-8)
E.1.c	Are employee orientations carried out within an appropriate timeframe?	**Verified through Documentation Review** Determine the company's timeframe for new or transferred hire orientations, an "appropriate timeframe" may allow certain orientation elements to be addressed over several days Critical criteria such as emergency procedures and hazard reporting should be communicated on the first day of work. Review a sampling of orientation records from within the past 12 months to verify compliance with the timeframes identified. **NOTE:** This does not include site-specific orientations. Points awarded based on % positive indications The auditor may apply n/a if no employees were hired or transferred within the past 12 months. Provide details/example(s).	Doc (0-8)

E.1.d	Are orientations given to all newly hired employees and transferred employees?	**Verified through Interviews**	Int (0-8)
		Interview employees **hired or transferred in the previous 12 months**.	
		Determine if they received orientations as per the company's orientation policy.	
		Points awarded based on the % of positive responses.	
		The auditor may apply an n/a if no employees were hired or transferred within the past 12 months.	
		Provide details/example(s).	
E.1.e	Are employee orientations appropriate for the company's operational processes, hazards, and controls?	**Verified through Interviews**	Int (0-10)
		Interview employees hired or transferred in the previous twelve months.	
		Determine if orientations received were appropriate and relevant to the operations that the employees are engaged in including hazards and controls related to operations and the work site(s).	
		The auditor may apply an n/a if no employees were hired or transferred within the past 12 months.	
		Points awarded based on the % of positive responses.	
		Provide details/example(s).	
E.1.f	Are employees made aware of their OHS rights during employee orientations?	**Verified through Interviews**	Int (0-6)
		Interview employees hired or transferred in the previous twelve months.	
		Determine if they were made aware of their OHS rights (right to participate, right to know, and the right to refuse dangerous work) during orientations.	
		Points awarded based on the % positive responses able to verify knowledge of all three OHS rights.	
		The auditor may apply an n/a if no employees were hired or transferred within the past 12 months.	
		Provide details/example(s).	

E.1.g	Is there a process to ensure site-specific orientations include critical safety information including: • emergency response procedures (including alarm systems) • hazard reporting, and • applicable health and safety policies and procedures?	**Verified through Documentation Review** Review the site-specific orientation policy and/or materials for the specific criteria as listed in the question. Points are awarded based on 100% positive indicators. Provide details/example(s).	Doc (0, 6)
E.1.h	Is there a process to ensure site-specific orientations are completed for employees when arriving at a work site for the first time?	**Verified through Documentation Review** Review the site-specific orientation policy and/or records to determine if there is a process for ensuring or confirming site-specific orientations are conducted. Points awarded based on verification of a process to ensure site-specific orientations are completed when arriving at a work site for the first time. Apply n/a where the nature of the company's work does not include additional work sites where workers would go to conduct work. Provide details/example(s).	Doc (0, 2)
E.1.i	Are site-specific orientations provided prior to starting work on a new site?	**Verified through Interviews** Interview employees responsible for conducting site-specific orientations and Workers who move between sites or have started work on a new site Determine if site-specific orientations were provided for workers unfamiliar with a work site prior to starting work at that site. Auditor may apply n/a if the company operations have not included any new sites or new employees within the previous 12 months. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-3)

		2. Job Specific Training	
E.2.a	Has the company defined the required qualifications for health and safety sensitive positions/disciplines where appropriate?	**Definition: Qualifications** Qualifications are skills or attributes a person must have **before** they are hired by the company to do the job. **The audit is concerned with qualifications that are essential or required by law for a new hire to do their job safely.** **Definition: Health and Safety Sensitive Positions** A health and safety sensitive position is a position in which an individual has a primary role, including non-routine or emergency duties in an activity where impaired performance could result in a serious incident, or an improper or inadequate response to a potentially serious incident. **Verified through Documentation Review** **A process must exist that requires a check for qualifications required for the job/tasks (e.g., degrees, diplomas, certificates, driver's licences, apprentice program, etc.)** Score based on the % of positive indicators The auditor may apply n/a only in the case of **exclusively low risk administrative work sites** where qualifications for health and safety sensitive positions/disciplines are not required. Provide details/example(s).	Doc (0-9)
E.2.b	Does the company confirm appropriate qualifications are met before employees can perform their job?	**Verified through Documentation Review** From the documentation reviewed in E.2.a, select a sample of employees where formal qualifications were required. Points awarded based on the % positive indicators that support employees had the appropriate qualifications prior to performing their job. Score 0% if no points were awarded in E.2.a. The auditor may apply n/a only in the case of **exclusively low risk administrative work sites** where qualifications for health and safety sensitive positions/disciplines are not required. Provide details/example(s).	Doc (0-8)

E.2.c	Is there a formal process for ensuring job-specific training that includes: • job-specific hazards and controls, • any applicable work procedures or practices, and • a practical demonstration by the trainee(s) to confirm they have acquired the knowledge or skill related to the subject matter?	**Verified through Documentation Review** Review policies or procedures to confirm job-specific training ensures hazards controls, and required work procedures are covered, and a practical demonstration to confirm the trainee(s) have acquired the knowledge or skill related to the subject matter. Points awarded based on having a formal process for ensuring job-specific training includes all required criteria. Provide details/example(s).	Doc (0,9)
E.2.d	Is the appropriate job-specific training provided?	**Verified through Interviews** Interview employees, including newly hired or those who have been assigned new tasks or operations in the previous twelve months. Determine if they received adequate job-specific training, including when first hired, when new tasks were assigned, or when operations or positions changed. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-8)
E.2.e	Is refresher training provided as appropriate?	**Verified through Documentation Review** Review a sample of training records with refresher requirements. Verify the training records indicate this training was refreshed or renewed: • before it expires (where an expiry date is established), • periodically (where there are no expiry dates), or • when changes are made to jobs, tasks, materials, or equipment used. Score based on the % positive indicators. Provide details/example(s). **Verified through Interviews** Interview employees to determine if they should have received refresher training in the previous 12 months and confirm if they did receive the training. The auditor may apply an n/a to the interview validation if none of the supervisors or workers were due to receive refresher training in the previous 12 months. Points awarded based on the % of positive responses.	Doc (0-6) Int (0-6)

		Provide details/example(s).	
E.2.f	Is there a documented supervisory-specific training program that includes the following topics: 1. job responsibilities, 2. regulations and legislative requirements, 3. policies and procedures, 4. supervisory skills (e.g., coaching, evaluative skills, mentorship, conflict management, etc.), and 5. emergency procedures?	**Verified through Documentation Review** Review the company's orientation and/or training program, specific to any supervisory role for the 5 listed criteria Supervisory-specific training would be applicable to anyone assigned responsibility to oversee workers whether they hold the supervisor designation or not. Points awarded based on the % positive indicators. Provide details/example(s).	Doc (0-5)
E.2.g	Have all supervisory roles received the training identified in E.2.f?	**Verified through Documentation Review** Review a sample of employee records with supervisory roles to determine if they have received the required supervisory-specific training. Points awarded based on the % positive indicators. Provide details/example(s). **NOTE:** The score is **not** cascading. Score 0% here if E.2.f. has scored 0 **Verified through Interviews** *Do not ask this question if E.2f scored 0%.* Interview those employees with a supervisory role to determine if they have received the required supervisory-specific training. **Use the multi-role function when interviewing employees who would be considered a "supervisor" in the absence of a designated supervisor position.** Points awarded based on % positive responses. Provide details/example(s).	Doc (0-5) Int (0-5)

E.2.h	Has the company defined competencies for each position?	**Definition: Competency** Competency is the combined knowledge, skills, and sufficient experience required to successfully perform a work task with little or no supervision. A given discipline or position may require multiple competencies. **NOTE:** Competencies are not the same as qualifications or general training. The company should have a system in place for supervisors/managers to observe workers completing specific job tasks and sign off when they have been deemed "competent". **Verified through Documentation Review** Review documentation such as job descriptions, job task inventory or industry standards where competencies may be listed. Verify if competency requirements have been identified for each position/discipline Score based on the % positive indicators. Provide details/example(s).	Doc (0-8)
E.2.i	Is there a process to assess competency of new and re-assigned workers?	**Verified through Interviews** Interview senior managers, middle managers, and supervisors to verify there is a process to assess the competency of new and re-assigned workers. They must be able to describe how they determine the competency of their workers Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-8)
E.2.j	Are all employees deemed competent for the tasks they are completing?	**Definition: Deemed competent** Any person deemed to be adequately qualified and suitably trained, and to have sufficient experience to complete assigned tasks without direct supervision. **Verified through Documentation Review** Review records for documenting competency verification. Verify how many of the sampled positions or disciplines from your sample in E.2h have documented evidence that a competency assessment or verification took place. Points awarded based on the % positive indicators. If E.2.h scored zero, then score 0% Provide details/example(s).	Doc (0-8)

		Element F: Emergency Response	
		3. **Emergency Response Plans**	
F.1.a	Do employees who have been assigned emergency system duties, know of an ongoing process or system in place to identify the potential emergency scenarios applicable to the company's operations?	**Verified through Interviews** Interview senior management, middle management, supervisors, and anyone assigned emergency system duties. Determine if they know the process used to identify or develop emergency scenarios for the ERP and/or how these scenarios are subsequently revised. Select "not asked" for employees who were not assigned emergency system duties. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-6)
F.1.b	Does the Emergency Response Plan sufficiently identify the potential emergency scenarios applicable to the company's operations and legislative requirements?	**Verified through Documentation Review** Create a list of potential emergency scenarios based on the company's operations, activities, and legislative requirements. Take the list of potential scenarios generated and compare it against the company's Emergency Response Plan (ERP) to determine how many are covered by the ERP. At a minimum, documentation of ERPs should be reviewed and scored for each fixed location visited. Score based on the % positive indicators. Provide details/example(s). **Verified through Observations** In advance of site visits, identify emergency scenarios in the company's ERP that are applicable to the work sites to be visited. During the visit, determine if the ERP covers sufficient emergency scenarios for that work site. Determine if any scenarios covered by legislation were missed. Points are awarded based on the % of locations the with sufficient ERP scenarios identified. Provide details/example(s).	Doc (0-6) Obs (0-10)

F.1.c	1. Does the Emergency Response Plan outline the following for each scenario identified in F.1b?communication procedures, 2. emergency contacts, 3. evacuation plans, and 4. rescue plans?	**Verified through Documentation Review** Review the company's ERP to determine if the four criteria have been outlined for each scenario identified in F.1.b. Points awarded based on the number of scenarios in F.1b that have all 4 criteria met. Provide details/example(s).	Doc (0-4)
F.1.d	Are equipment and supplies for *non-medical* emergencies: • identified, • available, and • do they meet regulatory requirements?	**Verified through Documentation Review** Review the ERP or related emergency planning processes. Determine if appropriate equipment and supplies have been identified for non-medical emergencies. Supply lists must meet requirements for the company's operations and regulations (e.g., fire extinguishers, spill kit, supplied air or self-contained breathing apparatuses (SABA/SCBA)). Points are awarded based on 100% positive indicators. Provide details/example(s). **Verified through Observations** Review emergency equipment listed in the ERP that is applicable to work site(s) to be visited. During the site visit, confirm equipment listed in the ERP is available and in working condition. Where the ERP fails to provide a list of appropriate non-medical supplies or equipment, the auditor may measure the company's equipment and supplies against regulatory requirements. Points are awarded based on the % of locations with non-medical equipment and supplies available. Provide details/example(s).	Doc (0,3) Obs (0-10)
**4. Medical Emergencies**		
F.2.a	Does the company have plans or procedures to address: 1. medical emergencies, 2. rendering first aid, and 3. reporting first aid incidents?	**Verified through Documentation Review** Review the ERP or other system documents that address first aid to determine if all 3 criteria are addressed. Points awarded based on the % positive indicators. Provide details/example(s).	Doc (0-3)

F.2.b	Are the correct number of employees trained in first aid as required by occupational health and safety legislation?	**Verified through Documentation Review** Review applicable occupational health and safety (OHS) regulations for: • the type of first aid training required, and • the number of first aiders required. Review the company's list of first aiders for a sampling of the company's work sites. Verify this meets minimum applicable OHS requirements. Points awarded if the minimum applicable OHS requirements for first aiders are met for all work sites sampled. Provide details/example(s).	Doc (0,4)
F.2.c	Are appropriate first aid equipment and supplies available in accordance with occupational health and safety legislation?	**Verified through Observations** Review provincial occupational health and safety (OHS) regulations for first aid equipment and supplies required for the work sites to be visited. Observe first aid equipment and supplies during work site visits. Points awarded if minimum provincial OHS regulations for first aid equipment and supplies are met for all work sites sampled. Provide details/example(s).	Obs (0,10)
	5. Responsibilities and Training		
F.3.a	Do the Emergency Response Plans (ERPs) outline responsibilities?	**Verified through Documentation Review** Review the ERP and confirm responsibilities have been assigned as appropriate to positions, levels, or individuals. Responsibilities could be outlined within specific scenarios or within the ERP generally. Points awarded if the ERP confirms responsibilities have been assigned as appropriate, to positions, levels, or individuals. Provide details/example(s).	Doc (0,4)

F.3.b	Have responsibilities outlined in the Emergency Response Plan been communicated?	**Verified through Interviews** **Do not ask this question if F.3a had no responsibilities listed. This question will score 0%.** Interview employees to confirm awareness of their responsibilities within the ERP. Responses must be consistent with written responsibilities (F.3.a) to be considered a positive finding. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-10)
F.3.c	Has training been provided to the employees given specific responsibilities within the Emergency Response Plan?	**Verified through Interviews** Interview any employees assigned specific responsibilities in the ERP to verify they have received an appropriate level of training for the task assigned (e.g., fire warden, incident commander, first responder). If no responsibilities were identified in F.3a, then this interview question should not be asked. Points awarded based on % positive responses. Provide details/example(s).	Int (0-10)
F.3.d	Has the competency of the employees given specific responsibilities in the Emergency Response Plan been assessed?	**Verified through Documentation Review** If no responsibilities were identified in F.3a, then this question should score 0%. Review records to determine if the company has assessed the competency of emergency responders Score based on the % positive indicators. Provide details/example(s).	Doc (0-8)
	6. Drills and Evaluations		
F.4.a	Is there a process to evaluate the Emergency Response Plan for effectiveness including: 　1. testing at least annually, 　2. a means of identifying deficiencies, and 　3. a means of correcting deficiencies?	**Verified through Documentation Review** Review policies or procedures to establish if the company has a process and schedule for testing the ERP that meets all three required criteria. Points awarded based on the % positive indicators. Provide details/example(s).	Doc (0-9)

| F.4.b | Is the process and schedule for testing the ERP being met? | **Verified through Documentation Review**

If no process or schedule were identified in F.4a, score 0% for documentation.

Review a sample of records to verify the company is meeting its own standard on ERP testing and drills. Live or tabletop exercises are acceptable.

NOTE: The company is not required to test every ERP scenario annually. However, if the company's policy states that it will do so, it must then be evaluated on that basis.

Points awarded based on the % positive indicators.

Provide details/example(s).

Verified through Interviews

Interview employees to determine if they have participated in an ERP exercise or drill in the previous twelve months. Points awarded based on the % of positive responses.

Provide details/example(s). | Doc (0-10)
Int (0-15) |
| F.4.c | Are deficiencies identified during emergency response drills corrected for improvements? | **Verified through Documentation Review**

Review records related to ERP testing or drills. Draw a sample of identified deficiencies. Determine how many of these were corrected.

If testing or drills occurred and were evaluated with no deficiencies identified this is a positive indicator.

Score based on the % positive indicators.

Provide details/example(s) of the drill and evaluations. | Doc (0-10) |

	Element G: Incident Reporting and Investigation		
	1. Incident Reporting		

G.1.a	Does the company have written requirements for reporting incidents that include:
	
	  1. a requirement to report workplace incidents immediately, including injuries, occupational illnesses, near misses and work refusals,
	
	  2. the protection of evidence as required by legislation, and
	
	  3. an outline of the types of incidents that must be reported to the applicable governing authority?
		Verified through Documentation Review
		
		Review policies or procedures on incident reporting. Determine if the three criteria are met.
		
		Points awarded based on the number of criteria met.
		
		Provide details/example(s).
			Doc (0-6)

G.1.b	Do employees understand incident-reporting requirements?	**Verified through Interviews** Interview all employees to determine if they understand the requirements and process for incident reporting as per company requirements. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-6)
G.1.c	Are incidents being reported as required by the policy?	**Verified through Interviews** Interview supervisors and workers to verify that incidents are reported as required by policy or procedures. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-6)

		2. Incident Investigation Standards		

G.2.a	Does the company have written requirements for investigating incidents that include:
	
	  1. the intent/purpose of investigating incidents,
	
	  2. a definition of roles and responsibilities in the investigation process,
	
	  3. the requirement to include an employee competent in the task related to the incident,
	
	  4. the requirement to initiate investigations immediately,
	
	  5. an outline of the types of incidents that need to be investigated, including work refusals,
	
	  6. identification of contributing and underlying factors,
	
	  7. an analysis of investigation findings,
	
	  8. follow-up on corrective actions, and
	
	  9. senior management review and sign-off?
		Verified through Documentation Review
		
		Review policies or procedures to determine if the 9 criteria listed are documented. Incidents that need to be investigated include injuries, occupational illnesses, near misses and work refusals.
		
		The note should identify the number of criteria met.
		
		Points awarded based on % positive indicators
		
		Provide details/example(s).
			Doc (0-9)

G.2.b	Are senior managers, middle managers, and supervisors aware of their assigned responsibilities in the initiation, coordination and/or monitoring of incident investigations and/or the investigation procedures?	**Verified through Interviews** Review company policy on incident investigations and procedures and note specific responsibilities assigned to senior managers, middle managers, and supervisors. Interview senior managers, middle managers and supervisors to determine if they are aware of their personal responsibilities to initiate, coordinate, and/or monitor accident investigations (if they carry specific assigned duties). Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-6)

G.2.c	Has investigation training been provided to individuals assigned the task of investigation?	**Verified through Documentation** Review policies or procedures to determine the individuals assigned incident investigation duties. Review training records to verify appropriate training has been provided (e.g., on-the-job, formal third party). The note should include the percentage of positive indicators Provide details/example(s). **Verified through Interviews** Interview individuals assigned the task of investigating incidents to verify they have received some form of training on incident investigation. Points awarded based on the % of positive responses. Provide details/example(s).	Doc (0-6) Int (0-6)
G.2.d	Is there a process for documenting and implementing investigator recommendations?	**Verified through Documentation** Review the investigation system or any records that track corrective actions arising from investigation recommendations. Verify there is a process or template provided that ensures these corrective actions are documented and some form of tracking or management is applied to ensure completion (e.g., assigned to an individual or group, date of completion captured). Points are awarded based on the presence of a system as described. Provide details/example(s).	Doc (0,6)

3. Conducting Incident Investigations			
G.3.a	Are all investigations started within a prompt, reasonably practicable timeline appropriate to the nature of the investigation?	**Definition: Reasonably Practicable** The test of "reasonably practicable" is applied to the timing of the start of the investigation to allow for a variety of factors that affect that timing. For example, if evidence could be lost or a significant risk to workers is present, an investigation should start immediately. In other scenarios, logistics or circumstances may delay an investigation from starting immediately. The auditor may rely on company policy and their judgment when determining a company's diligence in beginning an investigation as soon as "reasonably practicable". **NOTE**: The auditor may apply an n/a only in the case of **exclusively low risk administrative work sites** where there were no incidents or near misses. If n/a is applied, the auditor must still justify the not applicable finding in their note. In such instances, the auditor must show diligence in confirming there were no incidents and justify the work site as exclusively low risk and administrative in its operations. **Verified through Documentation Review** Review a sample of completed incident investigation records for the previous twelve months. Verify investigations were started within a reasonably practicable time. Investigations can include near misses. Points are awarded based on 80% positive indicators, otherwise award 0%. Provide details/example(s). **Verified through Interviews** Interview senior managers, middle managers, supervisors, and any workers who have been on a work site where an incident or significant near miss has occurred and ask when investigations were initiated to determine if they were started as soon as reasonably practicable. Points awarded based on at least 80% positive responses. Provide details/example(s).	Doc (0,6) Int (0,6)

G.3.b	Are incident investigations completed with the involvement of workers who conduct the type of work associated with the incident?	**Verified through Interviews** Review a sample of completed investigation reports to gather names of workers who were involved in the investigation process. Use these names to select interviewees in addition to senior and middle managers, and supervisors who are assigned the task of investigations. Interview senior managers, middle managers, supervisors, and any workers who have been involved in an incident investigation in the past 12 months. Confirm that the investigations included workers who conduct the type of work associated with the incident. Points awarded based on at least 80% positive responses. **NOTE:** The auditor may apply an n/a only in the case of **exclusively low risk administrative work sites** where there were no incidents or near misses. In such instances, the auditor must show diligence in confirming there were no incidents and justify the work site as exclusively low risk and administrative in its operations. Provide details/example(s).	Int (0,6)
G.3.c	Have completed incident investigations identified contributing and underlying factors?	**Verified through Documentation Review** Review a sample of completed incident investigation records. The investigations can also include near misses. Verify that contributing and underlying factors (e.g., root cause(s)) were identified. Points awarded based on the % of positive indicators. **NOTE:** The auditor may apply an n/a only in the case of **exclusively low risk administrative work sites** where there were no incidents or near misses. In such instances, the auditor must show diligence in confirming there were no incidents and justify the work site as exclusively low risk and administrative in its operations. Provide details/example(s).	Doc (0-6)

G.3.d	Does a senior manager review incident investigation reports?	**Verified through Documentation Review**	Doc (0-6) Int (0-6)
		Verify at least one senior manager reviewed completed investigations. This may be done by physical or electronic sign-off, documentation of date read, or some other fashion.	
		Points awarded based on the % of positive indicators.	
		Provide details/example(s).	
		NOTE: The auditor may apply an n/a only in the case of **exclusively low risk administrative work sites** where there were no incidents or near misses. In such instances, the auditor must show diligence in confirming there were no incidents and justify the work site as exclusively low risk and administrative in its operations.	
		Verified through Interviews	
		Use the documentation evidence to establish which senior managers should have reviewed incident investigations.	
		Interview these senior managers (or a sample of these senior managers) to determine if they have fulfilled their responsibility to review the investigations within their scope of operations in the previous 12 months.	
		Points awarded based on the % of positive responses.	
		Provide details/example(s).	
G.3.e	Have corrective actions resulting from incident investigations been assigned?	**Verified through Documentation Review**	Doc (0-6)
		Draw a sample of corrective actions arising from incident investigations from the past 12 months.	
		Exclude any corrective actions with a targeted completion date that is still in the future. Use this same sample for G.3.e, G.3.f, and G.3.g.	
		For this audit question (G.3.e), verify these corrective actions have been assigned to an individual or position for completion.	
		Points awarded based on the % of positive indicators.	
		Score 0% if no investigations were completed.	
		NOTE: The auditor may apply an n/a only in the case of **exclusively low risk administrative work sites** where there were no incidents or near misses. In such instances, the auditor must show diligence in confirming there were no incidents and justify the work site as exclusively low risk and administrative in its operations.	
		Provide details/example(s).	

| G.3.f | Were the assigned corrective actions implemented as required? | **Verified through Documentation Review** Review the sample of assigned corrective actions created for G.3.e. Verify these assigned corrective actions have been documented as completed. Points awarded based on the % of positive indicators. **NOTE:** The auditor may apply an n/a only in the case of **exclusively low risk administrative work sites** where there were no incidents or near misses. In such instances, the auditor must show diligence in confirming there were no incidents and justify the work site as exclusively low risk and administrative in its operations. Provide details/example(s). **Verified through Observation** Create a list of documented corrective actions for incident investigations conducted on work sites to be toured. During the observation tours, determine if corrective actions have been implemented. Points awarded based on the % of positive indicators. Provide details/example(s). The auditor may only apply an n/a in these circumstances:
• If corrective actions for investigations from the work sites visited are not observable at the work site.
• If there were no investigations **for the work sites covered by this audit**.
• If the company only has **exclusively low risk administrative work sites** where there were no incidents or near misses.
Otherwise, score 0% if no investigations were completed. Provide details/example(s). | Doc (0-6) Obs (0-20) |

G.3.g	Were the assigned corrective actions completed in a timely manner?	**Verified through Documentation Review**	Doc (0-6) Int (0-6)
		Review the sample of assigned corrective actions from investigations created for G.3.e. Verify the completed corrective actions were completed **in a timely manner**.	
		If a target date for implementation was documented, this should be taken as the measure for "timely" implementation. Otherwise, auditor judgment may be applied.	
		Points awarded based on the % of positive indicators.	
		NOTE: The auditor may apply an n/a only in the case of **exclusively low risk administrative work sites** where there were no incidents or near misses. In such instances, the auditor must show diligence in confirming there were no incidents and justify the work site as exclusively low risk and administrative in its operations.	
		Provide details/example(s).	
		Verified through Interviews	
		Interview employees who were on a work site where an incident occurred. Confirm that corrective actions following the investigation were completed in a timely manner, as judged by the interviewees.	
		Points awarded based on the % of positive responses.	
		The auditor may only apply an n/a in these circumstances:	
		• If the sample of supervisors or workers interviewed does not include any supervisor's and workers **from work sites that had an incident investigation**. • If the company only has **exclusively low risk administrative work sites** where there were no incidents or near misses.	
		Provide details/example(s).	

G.3.h	Are incident investigation findings communicated to employees?	**Verified through Documentation Review**	Doc (0-4)
		Draw a sample of completed investigations to determine if there is any evidence that findings were communicated. Examples of documents that may provide verification include meeting minutes, bulletins, e-mails, posters, etc.	Int (0-4)
		Points awarded based on the % of positive indicators.	
		NOTE: The auditor may apply an n/a only in the case of **exclusively low risk administrative work sites** where there were no incidents or near misses. In such instances, the auditor must show diligence in confirming there were no incidents and justify the work site as exclusively low risk and administrative in its operations.	
		Provide details/example(s).	
		Verified through Interviews	
		Interview employees who were on a work site where an incident occurred. Determine if they were made aware of investigation findings.	
		Points awarded based on the % of positive responses	
		The auditor may only apply an n/a in these circumstances:	
		• If the sample of workers interviewed does not include any workers **from work sites that had an incident investigation**. • If the company only has **exclusively low risk administrative work sites** where there were no incidents or near misses.	
		Provide details/example(s).	
	4. Statistical Analysis		
G.4.a	Are statistics relating to health and safety collected at least annually?	**Verified through Documentation Review**	Doc (0,5)
		Review any documents that demonstrate health and safety statistics were gathered.	
		Small companies with low risk or primarily administrative tasks may not produce statistically significant results. However, some form of health and safety data collection for reporting purposes should be present.	
		Points awarded based on 100 % positive indicators.	
		Provide details/example(s).	

G.4.b	Are health and safety statistics analyzed to identify trends?	**Verified through Documentation Review** Review any documents that verify health and safety statistics were analyzed to identify trends. Trends can be based on the type of statistics collected in G.4.a. Points awarded based on evidence of the company analyzing health and safety statistics. Score 0% if no points were awarded in G.4.a. Auditor may apply n/a for small companies with low risk or primarily administrative tasks that fail to produce statistically significant results. Provide details/example(s). **Verified through Interviews** Interview senior managers, middle managers, supervisors, and members of health and safety committees to verify their familiarity with trends or the process to identify trends. Points awarded based on the % of positive responses able to describe trends or the process to identify trends as outlined in the documentation review. Auditor may apply n/a for small companies with low risk or primarily administrative tasks that fail to produce statistically significant results. Provide details/example(s).	Doc (0,5) Int (0-5)
	**Element H: System Administration**		
	1. Safety Communication		
H.1.a	Does the company mandate two-way communication, on current health and safety issues that includes: • scheduled frequency, and • all employee levels?	**Verified through Documentation Review** Review policies or procedures to establish if the company mandates frequencies for regular two-way communication regarding health and safety issues. All employee levels must be included. Points are awarded based on having an established frequency for two-way communications involving all employees. Provide details/example(s).	Doc (0,5)

H.1.b	Are two-way communications being conducted as required?	**Verified through Documentation** Review a sample of two-way safety communication records. Verify they follow the established frequency established in H.1.a. Points awarded based on % positive indicators If H.1a did not identify a frequency, then score 0% Provide details/example(s). **Verified through Interviews** Interview all employees to confirm their participation in regular two-way safety communication. Points awarded based on % positive responses. Provide details/example(s).	Doc (0-10) Int (0-10)
H.1.c	Are health and safety concerns identified through the two-way communications corrected in a timely manner?	**Verified through Documentation Review** Review two-way communications to create a sample of health and safety concerns that were raised. Examples may be drawn from safety meetings, toolbox talks, site-specific hazard assessments, etc. Review documentation that tracks these health and safety concerns. Verify that any corrective actions based on these concerns are addressed in a "timely manner". Points awarded based on % positive indicators. Provide details/example(s). **Verified through Interviews** Interview supervisors and workers to verify significant safety issues raised in two-way safety communication are corrected in a timely manner. This may include issues raised that are not formally tracked but are corrected. Points awarded based on % positive responses. Provide details/example(s). **Verified through Observations** Create a sample of corrective actions arising from health and safety concerns raised during two-way communication that can be verified on the sites to be visited. Verify these have been completed during the work site visit. Points awarded based on % positive indicators	Doc (0-4) Int (0-6) Obs(0-10)

		Auditor may apply an n/a to the observation validation if available corrective actions are not observable at the work site visited.	
		Provide details/example(s).	
	2. Safety Records		
H.2.a	Are the following records retained for at least a complete audit cycle (three years, or from start of the health and safety system if less than three years)? 1. Training records 2. Inspections 3. First aid records 4. Incident reports 5. Incident investigations 6. Safety meeting minutes	**Verified through Documentation Review** Review the types of records listed in the question. Verify they are each being maintained for at least one full audit cycle (three years, or from start of the health and safety system if less than three years). Retention can be electronic or hard copies. If a specific site included in the audit is less than three years old, points may be awarded if these record types have been retained as appropriate. Points awarded based on % of criteria met. Provide details/example(s).	Doc (0-6)
H.2.b	Is health and safety information readily available to all employees?	**Verified through Observations** Through work site observation verify that health and safety information such as hazard assessments, inspections and procedures are readily available to employees. Points awarded based on the % of locations with health and safety information readily available. Provide details/example(s).	Obs (0,5)
	3. Health and Safety Management System Evaluation		
H.3.a	Does the company mandate continuous improvement of the Occupational Health and Safety Management System?	**Verified through Documentation Review** Review directive documents to establish if the company mandates continuous improvement of the Occupational Health and Safety Management System (OHSMS). This could include regular COR audits, or audit options such as Action Plans. Point awarded based on 100% positive indicators. **NOTE:** Seeing/knowing the company does annual audits does not count towards this question unless it is stated as a requirement in their safety program. Provide details/example(s).	Doc (0,2)

H.3.b	Is senior management accountable for the implementation of the health and safety system?	**Verified through Interviews**	Int (0-4)
		Interview senior managers to determine their involvement in improving the performance of the health and safety system (e.g., develop a health and safety plan for the upcoming year, provide resources for health and safety initiative, etc.) and how they are held accountable.	
		Points awarded based on % positive responses.	
		Provide details/example(s).	
H.3.c	Do senior managers review the results of the previous year's audit to initiate improvements where applicable and to set the strategic direction?	**Definition: Strategic Direction**	Doc (0,4) Int (0-4)
		Strategic direction is the allocation of company resources to pursue implementation of goals and objectives. The goals and objective have been determined during strategic planning.	
		OHS objectives and targets must be specific, measurable, achievable, realistic and time bound. They must be consistent with the health and safety policy. They shall be based on past reviews, including past performance measures and any OHS hazards, risk management system deficiencies and underlying causes, and opportunities for improvement that have been identified. They should include both leading and lagging performance indicators.	
		Verified through Documentation Review	
		Review records that verify senior management reviews audit results to initiate improvements (where applicable) and to set strategic directives (e.g., meeting minutes, emails, management reports)	
		Points awarded based on documented evidence of senior management review of audit results with initiation improvements (where applicable) and setting of strategic directives.	
		The auditor may apply an n/a if the company did not perform a COR or SECOR audit or maintenance option the previous year.	
		Provide details/example(s).	
		Verified through Interviews	
		Interview senior managers to determine if they completed a review of the previous audit results and initiated improvements (where applicable) and set of strategic directives.	
		Points awarded based on % positive responses.	
		Provide details/example(s).	

H.3.d	Has an action plan been developed to address the recommendations from the previous COR (including maintenance options) or SECOR audit?	**Verified through Documentation Review** Determine if a corrective action plan was developed, based on the previous year COR or SECOR audit. Maintenance options with the COR program such as Action Plans also produce corrective action plans that should be evaluated here. These corrective action plans must show some correlation to the audit or maintenance option on which they are based. Points awarded based on 100% positive indicators The auditor may apply an n/a if the company did not perform a COR or SECOR audit or maintenance option the previous year. Provide details/example(s). **Verified through Interviews** Interview senior managers and middle managers to determine if they are aware of a corrective action plan developed from the previous year's SECOR/COR audit or maintenance options. Points awarded based on % positive responses. The auditor may apply an n/a if the company did not perform a COR or SECOR audit or maintenance option the previous year. Provide details/example(s).	Doc (0,8) Int (0-10)
H.3.e	Have the action items identified from the previous COR (including maintenance options) or SECOR audit been implemented or initiated?	**Verified through Documentation Review** Review the corrective action plan(s) from the previous year's COR (or SECOR) audit or maintenance option and draw a sample of action items arising from that plan. Verify that these action items are initiated or completed based on the target dates. Points awarded based on % positive indicators. Score 0% if H.3.d scored 0. The auditor may apply an n/a to this question if the company did not perform a COR or SECOR audit or maintenance option the previous year. Provide details/example(s).	Doc (0-8)

H.3.f	Have the results of the previous COR (including maintenance option) or SECOR audit been communicated to employees?	**Verified through Interviews** Interview all employees to determine if the general results of the previous SECOR/COR audit or maintenance option was communicated. Points awarded based on % positive responses. The auditor may apply an n/a to this question if the company did not perform a COR or SECOR audit or maintenance option the previous year. Provide details/example(s).	Int (0-8)
	Element I: Other Affected Parties		
	1. Other Affected Parties		
I.1.a	Are specific health and safety responsibilities written for other employers and visitors?	**Verified through Documentation Review** Review policies or other documents that may contain health and safety responsibilities for other employers and visitors. Responsibilities must include reporting and investigating incidents and reporting unsafe conditions. Award 50% for having health and safety responsibilities **for either** other employers or visitors. Award 100% for having health and safety responsibilities **for both** other employers and visitors. Provide details/example(s).	Doc (0-14)
I.1.b	Is there a policy or procedure to address the protection of anyone not employed by the company to ensure their health and safety while on or near the work site(s)?	**Verified through Documentation Review** Review policies/procedures, etc. to verify the company has a written directive in place to address the protection of other workers not under the employer's direction, visitors, and other persons (e.g., the general public, mail carriers) in the vicinity of work that is being carried out. Points awarded based on having a statement within the company's policies and procedures addressing the requirements. Provide details/example(s).	Doc (0,12)

I.1.c	Have criteria been established for selecting, monitoring, and evaluating other employers that includes: 1. OH&S selection criteria for contracted employers, 2. A contract that includes identification of health and safety responsibilities for the contracted employers, 3. A process to monitor health and safety performance for contracted employers during the period of contracted services to correct identified deficiencies and, 4. A process to address non-compliance and evaluate any improvement opportunities for future contracts?	**Verified through Documentation Review** Review documentation to verify criteria has been established for selecting, monitoring, and evaluating other employers, which meet the question criteria. All employers are required to meet the responsibilities of the health and safety legislation. The nature of the contracted work may provide different levels of risk, which may result in not all the criteria listed being required. Auditor may apply an n/a if other employers are not used. Points awarded based on the number of criteria required and met. Provide details/example(s).	Doc (0-12)
I.1.d	Is there a process to ensure site-specific orientations are completed for: • visitors, and • other employers?	**Verified through Documentation Review** Review the orientation policy and/or records to determine if there is a process for ensuring or confirming site-specific orientations are conducted for visitors and other employers (the process on how the company confirms this, or documented orientations). If a process to ensure site-specific orientation exists, confirm this occurs when other employers and visitors arrive at a work site for the first time and is completed prior to commencing any work activities. Award 50% for having site-specific orientations **only identified for one of either** other employers or visitors. Award 100% for having site-specific orientations **for both** visitors and other employers. **NOTE:** If the auditor can confirm the company does not use other employers, the auditor should score based on visitors only. Provide details/example(s).	Doc (0-14)

I.1.e	Is there a process to ensure hazards and controls are communicated to visitors and external work site parties (e.g., other employers, suppliers, prime contractors, etc.) conducting activities at a work site or receiving products?	**Verified through Interviews** Interview employees responsible for managing visitors and external work site parties or those responsible for safety communication. Interview visitors or other employers, if available. Determine if visitors and external work site parties are included in some form of two-way safety communication which addresses site hazards and controls. Auditor may apply an n/a if visitors and external work site parties are not typically present on company work sites. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-25)
I.1.f	Is there a system to ensure other employers are advised when operational changes are made that may affect their health and safety?	**Verified through Interviews** Interview employees responsible for managing other employers or those responsible for safety communication. Interview other employers, if available. Determine if other employers are advised when operational changes are made that may affect their health or safety at the work site. Auditor may apply an n/a where other employers are not typically present on company work sites. Points awarded based on the % of positive responses. Provide details/example(s).	Int (0-25)
I.1.g	Is health and safety information readily available to all affected work site parties (other employers, suppliers, prime contractors, etc.)?	**Verified through Observations** Verify that health and safety information such as hazard assessments, inspections, and procedures are readily available to all affected work site parties at all sampled work sites. Points awarded if health and safety information was readily available to all affected work site parties **at all work sites sampled**. Auditor may apply n/a if other employers are not typically present on company work sites. Provide details/example(s).	Obs(0,10)

		Element J: Joint Health and Safety Committee and Representative	
**NOTE:** If the company has 1-4 employees and has not otherwise been ordered to establish representation or a committee, N/A may be applied to this entire Element.
1. **Design of the Health and Safety Committee**
J.1.a	Does the health and safety committee have terms of reference in place which meets legislated requirements?	**Verified through Documentation Review** Review the health and safety committee (HSC) terms of reference. Determine if the terms of reference meet the legislated requirements for the jurisdictions in which it operates. Points awarded based on 100% positive indicators. Apply n/a where the company has not met the requirements to have an HSC in place. Provide details/example(s).	Doc (0, 6)
J.1.b	Does the company have health and safety representation as required by legislation?	**Verified through Documentation Review** Review the HSC terms of reference or HS Representative Guiding Policy/Procedure and meeting minutes to establish the company has health and safety representation appropriate for the size of its workforce, and as per legislated requirements. Points awarded based on 100% positive indicators. Provide details/example(s).	Doc (0, 6)
J.1.c	Are the names and contact information of the health and safety committee members or representative readily available?	**Verified through Observation** Verify through observation that the names and contact information for the health and safety committee members or representative are made readily available at each represented work site. Points are awarded based on the % of work sites that have contacts readily available. Provide details/example(s).	Obs (0-6)
J.1.d	Does the company have a policy or procedure in place for the receipt, consideration, and disposition of concerns and complaints regarding the health and safety of workers?	**Verified through Documentation Review** Verify if the company has a written policy or procedure in place for the HSC or HS representative(s) to address employee concerns and complaints related to the health and safety system. Points awarded based on 100% positive indicators. Provide details/example(s).	Doc (0, 5)

		2. Implementation of the Health and Safety Committee	
J.2.a	How are employees able to bring forward concerns regarding health and safety concerns and complaints?	**Verified through Interviews** Interview all employees to verify how they can bring forward concerns regarding health and safety concerns and complaints to the HSC or HS representative(s). Points awarded based on % positive responses. Provide details/example(s).	Int (0-5)
J.2.b	Have duties been written for the HSC and/or HS representative(s) which meet legislated requirements?	**Verified through Documentation** Verify if the company has written duties for the HSC and/or HS representative(s) which includes all the required criteria outlined in the legislation for the jurisdictions in which they are operating. Points awarded based on 100% positive indicators. Provide details/example(s).	Doc (0, 3)
J.2.c	Have the current health and safety committee members or representative been trained to carry out their duties per legislative requirements?	**Verified through Documentation Review** Review training records to verify that the current health and safety co-chairs and/or representative(s) have received required third party training for their role per legislative requirements based on the jurisdiction in which they operate. Points awarded based on 100% positive indicators. Provide details/example(s). **Verified through Interviews** Interview HSC members(s) or HS representative(s) to verify they have received required third party training for their role per legislative requirements based on the jurisdiction in which they operate. Points awarded based on % positive responses. Provide details/example(s).	Doc (0, 4) Int (0-6)

J.2.d	Do the HSC members and/or the HS representative understand their duties and responsibilities?	**Verified through Interviews**	Int (0-5)
		Interview HSC members or HS representative(s) to verify they understand their duties and responsibilities as a member or representative.	
		Points awarded based on % positive responses.	
		Provide details/example(s).	
J.2.e	Are health and safety meeting minutes maintained for all health and safety committee (HSC) meetings as required by legislation?	**Verified through Documentation Review**	Doc (0-5)
		Determine the number of health and safety committee (HSC) meetings held in the previous twelve months. Verify meeting minutes exist for all scheduled meetings.	
		Points awarded based on % positive indicators.	
		NOTE: n/a may be applied if no HSC is required.	
		Provide details/example(s).	
J.2.f	Are HSC meeting minutes communicated/made readily available to all employees?	**Verified through Interviews**	Int (0-10)
		Interview all employees to verify their awareness of the HSC meetings and/or activities.	
		Points awarded based on % positive responses.	
		NOTE: n/a may be applied if no HSC is required.	
		Provide details/example(s).	

| J.2.g | Is there tracking and timely follow up of corrective actions, including concerns or complaints generated by the HSC meetings? | **Verified through Documentation Review**

Review committee meeting minutes for any identified deficiencies, concerns or complaints and the recommended corrective action(s). Determine if these are tracked or moved into another system used to track the corrective actions. Draw a sample of corrective actions identified in meeting minutes, concerns or complaints documents and determine if these have been tracked in some set process or system.

Points awarded based on % positive indicators.

Auditor may apply n/a on all methods if no deficiencies were documented in the previous twelve months of committee meeting minutes, or if no HSC is required.

Provide details/example(s).

Verified through Interviews

Interview HSC members. Verify that issues, complaints, or concerns raised in committee meetings are addressed with corrective actions and there is timely follow up to ensure their completion or implementation.

Points awarded based on % positive responses.

Auditor may apply n/a on all methods if no deficiencies, complaints or concerns were documented in the previous twelve months of committee meeting minutes.

Provide details/example(s).

Verified through Observation

Select a sample of action items arising from HSC meetings that can be verified on sites to be visited. Verify during work site visits that these have been completed.

Points awarded based on % positive indicators.

Auditor may apply n/a on observations scoring for three reasons:

• If no deficiencies with action items were documented in the previous twelve months of committee meeting minutes.
• If action items documented were not observable at the work sites visited.
• If no HSC is required.

Provide details/example(s). | Doc (0-5)
Int (0-10)
Obs (0-20) |

		3. Health and Safety Committee Involvement		
J.3.a	Do HSC members and/or the HS representative participate in health and safety activities?	**Verified through Interviews** Interview committee members or the health and safety representative to confirm their involvement in health and safety activities. Points are awarded based on % positive responses. Provide details/example(s).	Int (0-10)
J.3.b	Is there a process in place for the HSC or HS representative(s) to make health and safety recommendations to senior and middle management?	**Verified through Interviews** Interview senior managers and middle managers to verify if they can explain how they receive recommendations from the HSC and/or HS representative(s) regarding the health and safety of employees. Points awarded based on % positive responses. Provide details/example(s).	Int (0-10)