

ENERGY SAFETY CANADA

Certificate of Recognition Program

Audit Protocol 2018 v.3.1 (November 2020)

Endorsed by:



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INTRODUCTION

1. Purpose

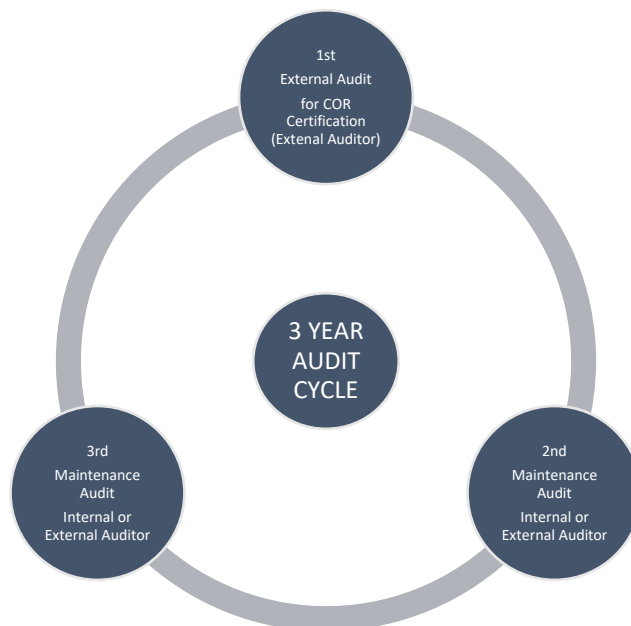
A Health and Safety System Audit is a comprehensive and objective review of the design and effectiveness of your health and safety system. Evaluating your health and safety system allows you to:

- Obtain valuable input from employees and others at your work site on the usability and practicality of your health and safety system.
- Review each individual component of your operation to determine how well your system is being implemented.

2. Frequency of Audits

A 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.
 - The 1st year, and 2nd year maintenance audits should be completed by anniversary date, however if the busy season changes, all onsite 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 prior to the expiration date of the COR. The passing mark is 80% overall and at least 50% in each element.

INSTRUCTIONS

1. Maintaining Confidentiality

When people are interviewed, auditors will keep their names confidential. It is important to protect the rights of individuals, so they can express their opinions freely without experiencing negative consequences.

Auditors should not include the names of sources in any notes they make 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 has been 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 .5 to .9 round up to the nearest whole number. For example, 6.37 would be rounded down to 6, and 5.67 would be 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 percentage 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 & Quality Assurance Review 10. Presentation/Delivery of the Completed Audit to the Client

4. Company Profile

The company profile must provide a 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 it should 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 which are company specific and applicable to the audit content.
- key high-priority areas for improvement which are clear, actionable (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 Software 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
- a clear description of the audit objectives and scope
- a list of pre-audit meeting attendees
- suggestion of a date, time and location for the pre-audit meeting
- a fee schedule, if appropriate
- the auditor's expectations for assistance, such as working space and other equipment needs
- a request for information including documentation, operational records and an organizational chart
- a 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 in order 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 all appropriate 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 ensure they are aware of their responsibilities outlined in the Safety Audits and Certification: Outline of Roles and Responsibilities document.

2. Auditor Code of Ethics

Upon completion of the Certified Health and Safety Auditor Course the Auditor Code of Ethics was signed to verify your acknowledgement of its contents. It is your duty to remain knowledgeable and in compliance with its contents.

3. Auditor Performance Management

As a Certifying Partner, Energy Safety Canada is obliged to ensure its certified auditors maintain a high standard in terms of ethical behaviour and professional performance in their auditing role. All Auditors should review and understand the content of the Auditor Performance Management Standard.

4. Information Gathering Tools

Energy Safety Canada understands that sometimes it is not practical to carry a laptop or other electronic device with access to the auditing software to all work sites. The documentation questions have been separated into a printable document for notes to be recorded. Each employee level including Multi-Role interviews, have been separated into printable questionnaires with spots to record examples and the number of interviewees. All observation questions have been added to a printable document to take while conducting observations and to record your findings.

5. Other Resources

The Energy Safety Canada website has a video library and COR related forms and templates available to the auditor.

Energy Safety Canada COR Audit Protocol 2019

	Audit Question	Scoring Guideline	Validation Method / Scoring
Element A: Management, Leadership and Organizational Commitment			
1. Company Health and Safety Policy			
A.1.a	<p>Does the company have a written health and safety policy that contains the following?</p> <ol style="list-style-type: none"> 1. a reference to the company's goals, aims, responsibilities for and/or commitment to health and safety, 2. a reference to addressing the protection and maintenance of 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. 	<p>DOCUMENTATION</p> <p>Review the company's written health and safety policy for the specified criteria as listed in the question.</p> <p>Scoring:</p> <p>Divide the number of found criteria by the total criteria (8) and multiply by 100.</p> <p>For example, if all the criteria are met except the date of signature, score 88% ($7/8 = .875 \times 100 = 88\%$)</p> <p>Note: for criterion 2, all requirements must be met, no partial points can be awarded.</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 8 criteria were met. • Any criteria not found. • An example of a specific detail from the policy (i.e. the date signed) to support one of the criteria identified. 	Doc (0-8)

A.1.b	Are employees made aware of the health and safety policy through some form of distribution of the policy?	<p>INTERVIEW</p> <p>Interview employees to determine if they are aware of one or more of the methods used by the company to distribute the health and safety policy to employees, for example:</p> <ul style="list-style-type: none"> • Orientation materials • Public posting • Electronic distribution • Copies of safety manuals <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees able to describe policy distribution. • An example comment of at least one distribution method noted by employees or, • An example of a negative comment if applicable. <p>OBSERVATION</p> <p>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.</p> <p>Scoring:</p> <p>Divide the number of locations where the policy appears as expected by total number of locations observed (where it should have appeared).</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of locations where the policy was found. • The number of locations where the policy was expected to be found. • An example of where the policy appeared or should have appeared. 	Int (0-4) Obs (0-15)
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2. Safety Responsibilities

<p>A.2.a</p>	<p>Have health and safety responsibilities been developed for each applicable employee level within the company (senior management, middle management, supervisors and workers)?</p>	<p>Definition: Company Levels</p> <p>For this audit, levels within a company are defined as senior management, middle management, supervisor, and worker.</p> <p>DOCUMENTATION</p> <p>Review policies and procedures to determine that all employee levels have their specific health and safety responsibilities developed. <i>These documented responsibilities must be described above and beyond the health and safety policy.</i></p> <p><i>Note: Not all levels may be applicable to all companies, however, be aware of multi-roles (e.g., where managers may also be supervisors). Confirm applicable levels by checking the company's organization chart.</i></p> <p>Scoring:</p> <p>Divide the number of levels having specific health and safety responsibilities documented by the total applicable levels.</p> <p>For example, if a company has 4 applicable levels and 3 of them have their health and safety responsibilities outlined in the written system, then score 75% (3/4).</p> <p>** Evaluate and score once, at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of levels applicable to the company. • The number of levels that have specific responsibilities developed. • Any levels that did not have responsibilities developed. • Include at least one example of a health and safety responsibility for any applicable level (if identified). 	<p>Doc (0-4)</p>
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A.2.b	<p>Do employees at all levels understand and have an awareness of their health and safety responsibilities (as outlined in A.2a)?</p>	<p>INTERVIEW</p> <p>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.</p> <p><i>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)</i></p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>If the Auditor found in A.2a, that there were responsibilities missing, then all interview responses for those applicable levels should be marked as "Not Asked".</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified awareness of their responsibilities. • An example comment of a responsibility associated with an employee level, or • An example of a negative comment if applicable. 	Int (0-4)
A.2.c	<p>Does the company have an accountability system which verifies that all employees have assigned health and safety goals and/or targets that?</p> <ul style="list-style-type: none"> • are measurable, • are tracked, • and include feedback/follow-up. 	<p>DOCUMENTATION</p> <p>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, for example processes to ensure:</p> <ul style="list-style-type: none"> • Performance appraisals with safety related measures • Documented observations/inspections with follow up • Behaviour-based safety (BBS) observations with feedback • Safety-related participation tracking (e.g., safety meeting attendance, inspections conducted, etc.) • Safety awards, bonus, other incentives based on meeting health and safety goals or targets (could be individual or group) <p><i>Note: A discipline policy alone does not meet the intent of this question.</i></p> <p>Scoring:</p> <p>Score 100% if the company has an accountability system that measures, and tracks assigned health and safety goals and/or targets and provides follow-up or feedback.</p>	Doc (0, 3)

		<p>Score 0% if no such system exists.</p> <p><i>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. Points can be awarded in A.2d based on the levels that were included in A.2c.</i></p> <p>** Evaluate and score once, at the head office location.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percent awarded. • A summary of the accountability system. • An example of a measurable health and safety goal or target, or • An explanation of why 0% was awarded. 	
A.2.d	<p>Has the health and safety accountability system (if verified in A.2.c) been fully implemented for employees at all levels?</p>	<p>DOCUMENTATION</p> <p>Review a sample of records from the accountability system identified in A.2.c to verify that these have been fully implemented. <i>The sample must be drawn from each employee level verified to have a system in place in A.2c.</i></p> <p><u>Scoring:</u></p> <p>Divide the number of records that verify implementation of the accountability system by the total number of records reviewed.</p> <p><i>Note: Points can be awarded in A.2d based on the levels that were included in A.2c.</i></p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of records that verified implementation of the accountability system. • The number of records in your sample. • An example of how an individual level has or has not been held accountable to a measurable health and safety goal or target. <p>INTERVIEW</p> <p>Interview employees at all levels to verify if the company has a health and safety accountability system in place and implemented for individuals.</p> <p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p>	<p>Doc (0-3) Int (0-3)</p>

		<p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified implementation of the accountability system. • An example comment of how or when the accountability system is or is not implemented. 	
A.2.e	Does the company ensure the allocation of health and safety resources to support effective management of occupational health and safety hazards?	<p>INTERVIEW</p> <p>Interview senior and middle management to determine if there is a basic awareness of how health and safety resources are allocated/made available, for example:</p> <ul style="list-style-type: none"> • Company budgeting or budget planning • Allocation of health and safety personnel • Allocation of health and safety training costs • Dedicated OHS professional • Other health and safety initiatives <p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified adequate resource allocation. • An example comment of how resources are or are not allocated adequately. 	Int (0-4)
A.2.f	Are there adequate resources provided to all employees to support effective management of occupational health and safety hazards?	<p>INTERVIEW</p> <p>Interview supervisors and workers to determine if they believe the health and safety resources provided are sufficient for their work.</p> <p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of workers and supervisors that verified adequate resource allocation. 	Int (0-4)

		<ul style="list-style-type: none"> An example comment of how resources are or are not provided adequately. 	
A.2.g	Does the company provide access to current, applicable health and safety legislation for the jurisdictions in which it operates?	<p>OBSERVATION</p> <p>Consider the types of legislation applicable to the company’s operations and then determine the availability of that legislation to employees. Examples may include:</p> <ul style="list-style-type: none"> Provincial OHS Acts, Regulations, and Codes Federal Legislation (e.g., Canada Labour Code, Part II) Transport safety codes (e.g., TDG, National Safety Code) Nuclear Energy regulations Environmental regulations WHMIS 2015 <p><i>Note: in Alberta access to the current legislation strictly online is not acceptable, however a downloaded pdf version is. Employees must have access to the current legislation in the failure of internet connection.</i></p> <p>Scoring:</p> <p>Divide the number of applicable legislative documents made available by the total number of health and safety related legislative documents that are applicable to the company’s operation.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> The number of relevant legislative documents made available. The number of legislative documents expected to be available. A brief description of how access is or is not provided to one or more of these types of legislation. 	Obs (0-20)
A.2.h	Do all employees know and understand which legislation is applicable to their work and any work they oversee?	<p>INTERVIEW</p> <p>Interview all employees to determine if they know and understand what legislation is applicable to their work and any work they oversee. Examples may include:</p> <ul style="list-style-type: none"> Provincial OHS Acts, Regulations, and Codes Federal Legislation (e.g., Canada Labour Code, Part II) Transport safety codes (e.g., TDG, National Safety Code) Nuclear Energy regulations Environmental regulations WHMIS 2015 <p>Scoring:</p>	Int (0-4)

		<p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified their knowledge and understanding of relevant legislation. • An example comment of legislation they were aware of, or • An example of a negative comment if applicable. 	
3. Management Communications			
A.3.a	Does senior management demonstrate their commitment to improving the company's health and safety culture at least annually?	<p>INTERVIEW</p> <p>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. Examples include:</p> <ul style="list-style-type: none"> • Company newsletters, emails, videos, webinars • Annual general safety meeting • Site visits discussing commitment • Inspections • Using hazard controls (leading by example) <p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees verified senior management demonstrated commitment. • An example comment of how senior management did or did not demonstrate commitment. 	Int (0-4)

A.3.b	<p>Does the company have a written directive outlining the requirement for health and safety work site tours, including pre-determined frequencies for?</p> <ul style="list-style-type: none"> • senior managers, • middle managers, and • frontline supervisors 	<p>Definition: Frontline Supervisor</p> <p>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.</p> <p><i>Note: If the company does not have employees with designated supervisor titles, the auditor should verify and justify which level of management carries out the duties of frontline supervisors.</i></p> <p>Definition: Work site tours</p> <p>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. Tours should act as an outlet for positive reinforcement or behavior changing opportunities. A work site tour is generally human-oriented and is not a substitute for safety audits and routine inspections, which are more technical in nature.</p> <p>DOCUMENTATION</p> <p>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).</p> <p><i>Note: Regular site/equipment Inspections, do not meet the intent of this question.</i></p> <p>Scoring:</p> <p>Divide the number of company levels assigned a specific frequency to conduct work site tours by the total number of applicable levels.</p> <p>For example, if a company does not have middle managers, and only senior managers had a requirement to tour (not front-line supervisors) the auditor would enter 50% (1/2).</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The employee levels that have assigned work site tours with a required frequency. • The employee levels applicable. • The identified frequencies for each applicable level. 	Doc (0-3)
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<p>A.3.c</p>	<p>Does senior management tour work sites to observe work practices and discuss safety issues with workers as per their determined frequencies (A.3b)?</p>	<p>DOCUMENTATION</p> <p>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, for example:</p> <ul style="list-style-type: none"> • Documented observations • Pre- job meetings • Journal entries or log books • Tour sheets <p>Scoring:</p> <p>Divide the number of completed records that meet the company stated requirements by the total sample size reviewed.</p> <p><i>If A.3.b verified no determined frequency for senior manager work site tours, then score 0% for documentation.</i></p> <p>Validation Note:</p> <p>Note should include:</p> <ul style="list-style-type: none"> • The documentation reviewed. • The number of senior managers sampled. • The number of confirmed visits per senior manager. • An example of a safety discussion topic or observed work practice, or • How senior management has not fulfilled their responsibilities. <p>INTERVIEW</p> <p>Interview supervisors and workers to determine if they are aware of senior managers touring work sites and discussing safety issues.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of supervisors and workers that verified site visits by senior management. • An example comment of how or when senior management did or did not fulfill their site visit responsibilities. 	<p>Doc (0-3) Int (0-3)</p>
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<p>A.3.d</p>	<p>Does middle management tour work sites to observe work practices and discuss safety issues with workers as per their determined frequencies (A.3b)?</p>	<p>DOCUMENTATION</p> <p>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, for example:</p> <ul style="list-style-type: none"> • Documented observations • Pre- job meetings • Journal entries or log books • Tour sheets • Text messages, emails, recorded phone calls (for dispatchers) <p>Scoring:</p> <p>Divide the number of completed records that meet the company stated requirements by the total sample size reviewed.</p> <p><i>If A.3.b verified no determined frequency for middle manager work site tours, then score 0% for documentation, or</i></p> <p>The auditor may apply an n/a if the company has no middle management function.</p> <p>Validation Note:</p> <p>Note should include:</p> <ul style="list-style-type: none"> • The documentation reviewed. • The number of middle managers sampled. • The number of confirmed visits per middle manager. • An example of a safety discussion topic or observed work practice, or • How middle management has not fulfilled their responsibilities. <p>*If n/a is applied, auditor must justify n/a in the score.</p> <p>INTERVIEW</p> <p>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.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>The auditor may apply an n/a if the company has is no middle management function.</p> <p>Validation Note:</p>	<p>Doc (0-3) Int (0-3)</p>
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		<p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of supervisors and workers that verified work site tour by middle management. • An example comment of how or when middle management did or did not fulfil their work site tour responsibilities. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
A.3.e	<p>Do frontline supervisors tour work sites to observe work practices and discuss safety issues with workers as per their determined frequencies (A.3b)?</p>	<p>DOCUMENTATION</p> <p>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, for example:</p> <ul style="list-style-type: none"> • Documented observations • Pre- job meetings • Journal entries or log books • Tour sheets • Text messages, emails, recorded phone calls (for dispatchers) <p>Scoring:</p> <p>Divide the number of completed records that meet the company stated requirements by the total sample size reviewed.</p> <p><i>If A.3.b verified no determined frequency for frontline supervisor work site tours, then score 0% for documentation, or</i></p> <p>The auditor may apply an n/a if the audit scope is exclusively office workers engaged in low risk, administrative tasks.</p> <p>Validation Note:</p> <p>The notes must include:</p> <ul style="list-style-type: none"> • The documentation reviewed. • The number of frontline supervisors sampled. • The number of confirmed visits per frontline supervisor. • An example of a safety discussion topic or observed work practice, or • How frontline supervisors have not fulfilled their responsibilities. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p>	<p>Doc (0-3) Int (0-3)</p>

		<p>Interview the following (<i>do not include administrative workers</i>):</p> <ul style="list-style-type: none"> • Field and/or shop workers • Dispatched workers <p>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.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p><i>* The auditor should apply “not asked” to administrative workers,</i></p> <p>The auditor may apply an n/a if the audit scope is exclusively office workers engaged in low risk, administrative tasks.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified regular site visits by supervisor(s). • An example comment of how or when a supervisor did or did not fulfil their site visit or communication responsibilities. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
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	Audit Question	Scoring Guideline	Validation Method / Scoring
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?	<p>Definition: Formal Hazard Assessment</p> <p>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 <i>not to be confused with a field level or site-specific hazard assessment</i>.</p> <p><i>A formal hazard assessment involves a detailed look at an organization's overall operations. It's meant to identify hazards, measure risk (to help prioritize hazards), and develop, implement and monitor related controls. The end goal is to prevent work-related injuries and illnesses. (pg. 7, Hazard Assessment and Control: a handbook for Alberta Employers and Workers)</i></p> <p>DOCUMENTATION</p> <p>Confirm the presence of policies or procedures, which direct the company to assess position/discipline task-based hazards to identify, assess, and prioritize hazards.</p> <p>Scoring:</p> <p>Score 100% if you could confirm a policy or procedure that directs the assessments of position/discipline task-based hazards.</p> <p>Score 0% if no such policies or procedures exist.</p> <p>** Evaluate and score once, at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percent awarded. • A summary of the policy or procedure that directs the assessments of position/discipline task-based hazards. • An explanation of why 0% was awarded if applicable. 	Doc (0, 4)

B.1.b	Have all company positions/disciplines been inventoried or included within the formal hazard assessment system?	<p>DOCUMENTATION</p> <p>Review available documents such as organizational charts or employee lists to determine all possible positions/disciplines within the company. Compare this list of company positions with the positions/disciplines addressed in the formal hazard assessment system.</p> <p>Note that 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.</p> <p>Scoring:</p> <p>Divide the number of positions/disciplines captured in formal hazard assessments by the total number of positions/disciplines evident within the company.</p> <p>For example, if 15 positions/disciplines were listed in formal hazard assessments, but other records indicate another 3 positions/disciplines not listed (for a total of 18), the auditor would score 83% ($15/18 = .83 \times 100 = 83\%$).</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of positions/disciplines captured in the formal hazard assessments sampled. • The number of positions/disciplines the company has. • An example of positions/disciplines evident in other company documentation that is or is not also inventoried for formal hazard assessment purposes. 	Doc (0-10)
B.1.c	Do all positions/disciplines captured within the formal hazard assessments have tasks identified?	<p>DOCUMENTATION</p> <p>Review the company's formal hazard assessments to determine what percentage of positions/disciplines have their job tasks identified or listed. As noted in B.1.b, tasks may be identified by individual positions or by discipline headings such as “administrative staff”, “shop staff”, “field staff”, etc. For large companies with a complex formal hazard assessment system draw a representative sample of positions or disciplines for further review.</p> <p>Note: <i>The auditor is not assessing the quality of tasks identified, but rather that each position/discipline has one or more tasks identified within the formal hazard assessments. Where companies have job descriptions, responsibilities such as “conducting investigations, or completing orientations” are not considered job tasks.</i></p> <p>Scoring:</p> <p>The scoring in this question is affected by the score in B.1.b.</p>	Doc (0-15)

		<p>Divide the number of positions/disciplines with tasks identified by the total number of positions/disciplines or total sample size. This number is then multiplied by the percentage assigned (not the audit points) in B.1.b.</p> <p>For example, if a company listed 8 positions/disciplines in their system but have 10, they would score 80% in B.1.b. If the auditor then discovers only 4 of these 8 positions/disciplines have their tasks identified (or 50%), the auditor would multiply this percentage by the score entered in B.1.b. (80% x 50% = 40% or .8 x .5 = .4). The auditor would enter 40% for B.1.c.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of positions/disciplines that have their tasks identified. • The total number of positions/disciplines the company has. • An example of a position/discipline and an associated task(s) that is or is not identified. 	
B.1.d	Have applicable health and safety hazards for each task been identified?	<p>Definitions:</p> <p>A health hazard is anything that could harm someone’s health, either immediately or over time.</p> <p>A safety hazard is anything that could cause injury or damage.</p> <p>DOCUMENTATION</p> <p>Review a sample of formal hazard assessments (FHAs) to determine if applicable health and safety hazards have been identified for each task.</p> <p>Consider the four categories for health and safety hazards, which include:</p> <ul style="list-style-type: none"> • Physical (e.g. radiological, working at heights, lifting heavy loads, extreme temperatures, violence, ergonomics, etc.) • Chemical (e.g. fumes, vapours, gases, waste products, etc.) • Biological (e.g. bodily fluids, viruses, bacteria, moulds, etc.) • Psychological (e.g. harassment and bullying, stress, fatigue, etc.) <p>Note: All hazard categories may not be applicable to every task identified on formal hazard assessments.</p> <p>Scoring:</p> <p>The scoring in this question is affected by the score in B.1.c.</p> <p>Divide the number of FHAs with hazards properly identified for each task by the total number of formal hazard assessments in the sample. This number is then multiplied by the percentage assigned (not the audit points) in B.1.c.</p> <p>For example, the auditor entered 40% as the final score in B.1.c. If the auditor then sampled 10 FHAs and 8 had appropriate health and safety hazards identified (or 80%), the auditor would</p>	Doc (0-15)

		<p>multiply this percentage by the score entered in B.1.c. (40% x 80% = 32% or .4 x .8 = .32). The auditor would enter 32% for B.1.d</p> <p>Based on this scoring method, the percentage awarded in B.1.d can never exceed the percentage awarded in B.1.c.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of FHAs with hazards identified for each task. • The number of FHAs in your sample. • Examples of both a health and safety hazard and their associated tasks found or absent in your sample. 	
B.1.e	<p>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?</p>	<p>DOCUMENTATION</p> <p>Review a sample of FHAs to verify if some type of system is used to measure risk of each individual hazard. Risk assessment may use any combination of severity (s), frequency (f), probability (p), or similar measurement to be combined to get the overall priority rating of each hazard (e.g. High, Medium, Low).</p> <p>Example: The task of driving included the hazards:</p> <p><u>Wildlife</u> (s) 4, (p) 4, (f) 1 = Med; <u>Weather</u> (s) 2, (p) 4, (f) 1 = Low; <u>Other Drivers</u> (s) 4, (p) 4, (f) 2 = High</p> <ul style="list-style-type: none"> - <i>Incorrect if hazards are assessed as a group, i.e. wildlife, weather, other drivers (s) 4, (p) 2, (f) 2</i> - <i>Incorrect if hazards are assigned a priority level as a group, i.e. wildlife, weather, other Drivers: Medium</i> <p>Scoring:</p> <p>The scoring in this question is affected by the score in B.1.c.</p> <p>Divide the number of FHAs, which have hazards individually risk-assessed and assigned priority for each task identified, by the total number of FHA's sampled. This number is then multiplied by the percentage assigned (not the audit points) in B.1.c.</p> <p>Note: Where an FHA includes multiple tasks, all tasks must have their hazards individually risk ranked to consider it a positive finding.</p> <p>For example, the auditor entered 40% as the final score in B.1.c. If the auditor then sampled 10 formal hazard assessments and 8 had hazards that are individually risk-assessed and assigned priority (or 80%), you would multiply this percentage by the score entered in B.1.c. (40% x 80% = 32% or .4 x .8 = .32). You would enter 32% for B.1.e.</p>	Doc (0-30)

		<p>Based on this scoring method, the percentage awarded in B.1.e can never exceed the percentage awarded in B.1c.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The total number of FHAs with tasks in which their hazards that have been individually risk-assessed and assigned priority. • The number of FHAs in your sample. • The type(s) of risk measurement used. • An example of a risk assessment for a given hazard and the associated task. 	
B.1.f	<p>Does the company have a policy or procedure to create, review and revise formal hazard assessments?</p> <ol style="list-style-type: none"> 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. 	<p>DOCUMENTATION</p> <p>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.</p> <p>Note: <i>indicating a review at regular intervals does not meet the requirement of a pre-determined frequency.</i></p> <p><u>Scoring:</u></p> <p>Divide the number of criteria fulfilled by 4.</p> <p>For example, if a company has a documented requirement for a review of FHAs annually, but not for new or modified equipment or operations, or when other documents identify a previously unrecognized hazard, the auditor would score 25% (1/4).</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 4 criteria are met? • Any criteria not found. • An example of how one of the criteria is or is not addressed within the policy or procedure. 	Doc (0-8)
B.1.g	<p>Are formal hazard assessments created, reviewed and/or revised?</p> <ol style="list-style-type: none"> 1. when new operations, work processes, equipment, materials or products are introduced or modified, and 	<p>INTERVIEW</p> <p>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.</p> <p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p>	Int (0-10)

	2. when site-specific hazard assessments, inspections, or investigations identify a previously unrecognized hazard.	<p><i>* The Auditor should apply “not asked” for employees who were not involved in the development or revision of FHAs.</i></p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of supervisors and workers that verified FHAs are created, reviewed and/or revised per the criteria. • An example comment of how or when an FHA was or was not created, reviewed or revised per the criteria. 	
B.1.h	Are formal hazard assessments reviewed as per the pre-determined frequency from B.1f?	<p>DOCUMENTATION</p> <p>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).</p> <p><u>Scoring:</u></p> <p>Divide the number of formal hazard assessments that have been reviewed as indicated by the frequency outlined in B.1.f. by the total number of formal hazard assessments the company has.</p> <p>Award 0% if the company has not identified a frequency for formal hazard assessment reviews.</p> <p>The auditor may apply n/a only if the company has no scheduled review due within the previous twelve months (i.e. the pre-determined frequency was every 2 years).</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percent awarded. • The number of FHAs in your sample. • At least one example of a FHA that was reviewed as per the company’s pre-determined frequency, or • An explanation of why 0% was awarded. <p>*If n/a is applied, auditor must justify n/a in the note as well as indicate what the companies stated frequency for conducting formal hazard assessments was.</p>	Doc (0-12)
B.1.i	Has training been provided for those employees designated to lead the formal hazard assessment process?	<p>DOCUMENTATION</p> <p>Review document(s) that indicate who was assigned to conduct FHAs (e.g., on the FHAs documentation itself, training matrix, job descriptions, etc.). Use this sample to determine if there is any documented evidence of training. The training must cover how to identify and assess hazards, and may include formal third-party training, in-house or on-the-job training, etc.</p>	Doc (0-12)

		<p>Scoring:</p> <p>Divide the number of employees who show evidence of relevant training to conduct FHAs by the total number of employees in the sample.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of relevant employees who show evidence of training to conduct FHAs. • The number of relevant employees in your sample. • An example of the type or nature of training conducted or required. 	
B.1.j	Are affected employees participating in the development or review and revision of formal hazard assessments?	<p>INTERVIEW</p> <p>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.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified both management level and affected worker participation in the development or review and revision of FHAs. • An example comment of how or when senior and/or middle management and affected workers(s) were or were not involved in the development or review and revision of a particular FHA associated with their position or role. 	Int (0-6)
B.1.k	Are senior managers knowledgeable of the highest rated health and safety hazards that apply to the company's operations?	<p>INTERVIEW</p> <p>Interview senior managers. Ask them to recall the most serious health and safety hazards associated with the company's operations.</p> <p>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.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p>	Int (0-4)

		<p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of senior managers that verified knowledge of the primary health and safety hazards that apply to the company’s operations. • An example comment of a serious health or safety hazard that apply to their operations, or • An example of a negative comment if applicable. 	
2. Site-Specific Hazard Identification and Reporting			
B.2.a	<p>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?</p> <ol style="list-style-type: none"> 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. 	<p>Definition: Site-Specific Hazard Identification System</p> <p>A site-specific hazard identification system is a documented process to identify hazards that may arise in dynamic operations when work locations, processes, conditions, or equipment change, and hazards arise that cannot be anticipated in the formal hazard assessment system. The nature of a company’s operation will dictate what type of site-specific hazard identification system is appropriate for their operations. Employers with static, predictable operations in fixed locations or shops and/or those with comprehensive formal hazard assessment systems may have a minimal site-specific system.</p> <p>Note: A temporary or mobile worksite is where an employee goes to only perform a task of limited duration of for a temporary purpose. At a work site such as a drilling rig, highway paving operation, tree planting operation, etc., employees and equipment function as a mobile work site that deploys to a location, does the work then moves to the next location.</p> <p>DOCUMENTATION</p> <p>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.</p> <p>Verify that the system will address the criteria listed, prior to work starting the day of the job.</p> <p><u>Scoring:</u></p> <p>Divide the total number of criteria met by 4.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percent awarded. • A summary of the system used with some reference to the criteria listed in the question, or 	Doc (0-12)

		<ul style="list-style-type: none"> An explanation of why 0% was awarded. 	
B.2.b	Is the company following the requirements of their site-specific hazard identification system?	<p>DOCUMENTATION</p> <p>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.</p> <p>Site-specific hazard identification may be managed through a variety of possible processes, for example:</p> <ul style="list-style-type: none"> Site hazard assessments or field level risk assessments Pre-job assessments Field level management of change (MOC) processes <p>Scoring:</p> <p>Divide the number of recorded, completed site-specific hazard identification records by the total sample size of opportunities where the auditor determined a site-specific hazard identification activity should have taken place based on the company’s policy.</p> <p>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.</p> <p>If B.2.a scored 0%, the B.2.b must also score 0%.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> The number of records that demonstrated compliance with the company site-specific hazard identification system. The number of records in your sample. An example of where and when a site-specific hazard identification did or should have taken place, or An explanation of why 0% was awarded. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>Interview frontline supervisors, workers, and, as applicable, other employers and/or self-employed persons. Verify the company has been completing site-specific hazard identifications as per their System identified in B.2.a with affected workers.</p> <p>Scoring:</p>	Doc (0-12) Int (0-12)

		<p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>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.</p> <p>Apply “not asked” to all interviews where B.2.a scored 0%</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified site-specific hazard identifications were carried out as specified by the system. • An example comment of how or when a site-specific hazard identification was or was not carried out, or • An explanation of why 0% was awarded. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
<p>3. Hazard Reporting</p>			
B.3.a	<p>Does the company have a hazard reporting system to deal with unsafe conditions and unsafe work practices encountered in their daily activities?</p>	<p>Definition: Hazard Reporting System</p> <p>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.</p> <p>DOCUMENTATION</p> <p>Review policies or procedures to verify a company has a system for reporting unsafe conditions and work practices. Examples include:</p> <ul style="list-style-type: none"> • 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. <p><u>Scoring:</u></p> <p>Score 100% if a system is in place.</p> <p>Score 0% no such system exists.</p> <p>** Evaluate and score once at the head office location.</p>	Doc (0,12)

		<p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percent awarded. • A summary of the system, or • An explanation of why 0% was awarded. 	
B.3.b	Is the company following the requirements of their hazard reporting system?	<p>INTERVIEW</p> <p>Interview employees to determine compliance with the company's hazard reporting system identified in B.3.a.</p> <p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Apply "not asked" to all interviews where B.3.a scored 0%</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified compliance with the hazard reporting system. • An example comment of how or when the hazard reporting system has been used or would be used • An example of a negative comment if applicable, or • An explanation of why 0% was awarded. 	Int (0-10)
B.3.c	Are employees trained in the identification of hazards?	<p>DOCUMENTATION</p> <p>Review training materials, and training records to verify employees were trained in the identification of hazards. Depending on the nature of the operational hazards this may be carried out in a variety of ways, for example:</p> <ul style="list-style-type: none"> • Orientations or on-the-job training • Pre-job meetings or safety meetings • In-house or formal third-party training <p><u>Scoring:</u></p> <p>Determine the number of employees with hazard identification training by the total number of employees in the sample who should have received this training.</p> <p><u>Validation Note:</u></p>	Doc (0-8) Int (0-8)

		<p>The note should include:</p> <ul style="list-style-type: none"> • The number of employees verified to have training. • The number of employees in your sample. • An example of the type or nature of training required and conducted or not conducted. <p>INTERVIEW</p> <p>Interview employees to verify training in the identification or recognition of hazards was appropriate to their tasks.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of the interviewees that verified appropriate training in hazard identification. • An example comment of how hazard identification training did or did not occur. 	
Element C: Hazard Control			
1. Health and Safety Hazard Control System			
C.1.a	<p>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?</p> <ol style="list-style-type: none"> 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 	<p>Definitions:</p> <p>Engineering Controls - Preferred method of hazard control if elimination is not possible; physical controls are implemented at the design installation, or engineering staggers (e.g. guards, auto shutoff, etc.)</p> <p>Administrative Controls - Processes developed by the employer to control hazards not eliminated by engineering controls (e.g. safe work practices, policies, and procedures, job scheduling or rotation, etc.)</p> <p>Personal Protective Equipment (PPE) - Equipment used, or clothing worn by a person for protection from health and safety hazards associates with conditions at a work site (e.g. gloves, safety glasses, fall protection, etc.) Used when engineering or administrative methods cannot fully control the hazard.</p> <p>DOCUMENTATION</p> <p>Verify the company has a policy or procedure that guides the application of controls for both health and safety hazards for formal hazard assessment purposes.</p>	Doc (0-6)

	6. with ongoing monitoring and evaluation of controls after implementation.	<p>Scoring:</p> <p>Divide the number of criteria met by the 6 criteria.</p> <p>Award 0% if no policy or procedure exists.</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 6 criteria were met? • Any criteria not found. • An example of how one of the criteria has been met or not met. 	
C.1.b	Does the company identify and implement controls for health and safety hazards listed in the site-specific hazard assessments?	<p>DOCUMENTATION</p> <p>Review completed site-specific hazard assessments to verify controls have been identified and implemented for health and safety hazards listed.</p> <p>Scoring:</p> <p>Divide the number of assessments with controls identified and implemented by the total number of assessments in the sample.</p> <p>Score 0% if B.2.a scored 0%</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of assessments with controls identified and implemented. • The number of assessments in your sample. • An example of a hazard and its associated control that was or was not identified in an assessment. 	Doc (0-6)
C.1.c	Have work procedures, rules and/or Code of Practice been developed where specifically required by legislation?	<p>DOCUMENTATION</p> <p>Review the company's operations and FHAs to determine if they engage in tasks that require an administrative control based on legislation. For example, do they need written procedures, rules, or Codes of Practice for:</p> <ul style="list-style-type: none"> • Confined space entry • Respiratory equipment • Working alone • WHMIS 2015 • TDG 	Doc (0-6)

		<ul style="list-style-type: none"> • Violence and Harassment Prevention <p>Create a sample of possible opportunities for compliance with legislation and confirm that the appropriate documentation has been created for each opportunity in your sample.</p> <p>Scoring:</p> <p>Divide the number of written procedures, rules or Codes of Practice developed specifically to meet the requirements of legislation by the total number of opportunities in the sample.</p> <p>Auditors may apply n/a if the company does not engage in any legislated tasks.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of work procedures, rules or Codes of Practice verified. • The number of work procedures, rules or Codes of Practice expected. • An example of an activity that does or does not have applicable work procedures, rule, or Code of Practice as required by legislation. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
C.1.d	Does the company communicate any changes in the use of hazard controls to affected employees?	<p>INTERVIEW</p> <p>Interview employees to determine if the company communicates any changes in the use of hazard controls.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified changes in the use of hazard controls are communicated. • An example comment of how or when the company communicates any changes in the use of hazard controls, or • An example of a negative comment if applicable. 	Int (0-6)
C.1.e	Is there evidence that senior and middle management and supervisors enforce the use of hazard controls (including engineering, administrative, and PPE) by employees?	<p>INTERVIEW</p> <p>Interview supervisors and workers to determine if senior and middle management and supervisors enforce the use of the hazard controls.</p>	Int (0-6) Obs (0-15)

		<p>Scoring: The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Validation Note: The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of supervisors and workers that verified use of hazard controls is enforced. • An example comment of how or when the use of hazard controls was or was not enforced. <p>OBSERVATION At each site visited, look for opportunities for management/supervisor(s) to enforce use of hazard controls.</p> <p>Scoring: Score each site visited as follows:</p> <ul style="list-style-type: none"> • 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 <i>for that site</i> (0%) <p>The final score is based on the average score for all sites visited.</p> <p>Validation Note: The note should include:</p> <ul style="list-style-type: none"> • The number of sites that provided positive opportunities, no opportunities or negative opportunities. • An example of an opportunity for correction that was or was not acted upon (if found). <p>*If full points were awarded because no opportunities for correction were presented, auditor must justify in the note.</p>	
2. Health and Safety Hazard Controls			
C.2.a	Are the hazards identified within the formal hazard assessments controlled with the use of	Topic C.2 Instructions:	Doc (0-5) Obs (0-20)

	<p>engineering controls whenever feasible or required based on risk or legislation?</p>	<p>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;</p> <ul style="list-style-type: none"> • high risk activities, • activities subject to legislation, and • activities with industry recognized standards. <p>This sample of health and safety hazards should be referenced in subsequent Documentation questions in Topic C.2.</p> <p>DOCUMENTATION</p> <p>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.</p> <p>Scoring:</p> <p>Divide the number of hazards where engineering controls are identified by the total number of hazards in the sample that should have had an engineering control.</p> <p>For example:</p> <ul style="list-style-type: none"> • There are 40 health and safety hazards listed in the sample of 10 FHAs selected. • Of these, only 30 hazards should be controlled by engineering. • Only 20 of these 30 opportunities had an engineering control identified. <p>The auditor would award 67% positive indicators (20/30 = .667) or 67%</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The total number of FHAs available and the total number of which were sampled. • The number of sampled hazards that included appropriate engineering controls. • The number of hazards in your sample that should have included engineering controls. • An example of a hazard and its associated engineering control that was or was not appropriately identified. <p>OBSERVATIONS</p> <p>Work with the company contact (or Operations), in advance of site visits, to determine what tasks the company anticipates the auditor will have the opportunity to observe. Select a sample of engineering controls from the FHA's for both health and safety hazards where possible.</p> <p>During the site visit, confirm the implementation of engineering controls based on that strategic sample.</p>	
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		<p>The auditor may also consider opportunities for engineering controls observed during site visit(s) themselves. These random samples may include: opportunities where:</p> <ul style="list-style-type: none"> • An engineering control has been applied as required. • An engineering control is clearly required but has not been implemented. <p>These random samples should be added to the strategic samples to determine the total opportunities.</p> <p>Scoring:</p> <p>Divide the opportunities where engineering controls have been implemented by the total number of opportunities (strategic and random) where they should have been implemented.</p> <p>For example, the auditor has selected 6 engineering controls to verify on the work site based on the formal hazard assessments (strategic). The observation tour reveals only 5 are implemented. In addition, the auditor finds a necessary workspace vent fan (positive application of an engineering control) and a machine that clearly needs additional guarding (failed application of an engineering control) (random). This represents 8 opportunities in total and would be scored as 75% (6/8).</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of opportunities where engineering controls are implemented as required. • The number of opportunities where engineering controls were expected to be found. • An example of a hazard and the associated engineering control that was observed or not observed. 	
C.2.b	Are employees using established engineering controls as intended?	<p>INTERVIEW</p> <p>Interview employees on work sites with engineering controls present to determine if they are being used as intended.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified the appropriate use of engineering controls. • An example comment of how or when engineering controls are or are not used as intended. 	Int (0-6)

C.2.c	<p>Are the hazards identified within the formal hazard assessments controlled with the use of administrative controls where applicable or where required by legislation?</p>	<p>DOCUMENTATION</p> <p>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 that this could be in combination with other control measures.</p> <p>Review the sample to determine how many have appropriate administrative controls listed.</p> <p>Examples of administrative controls include:</p> <ul style="list-style-type: none"> • Safe work practices, safe work procedures, or codes of practice • Signage, barrier tape, hazard cones • 2-way radios, beacons, back up alarms • Dangerous gas monitors (e.g., O₂, CO₂, H₂S, LEL) • Training and certification <p>Scoring:</p> <p>Divide the number of hazards with appropriate administrative controls identified, by the total number of sampled hazards that should have included administrative controls.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of sampled hazards that included appropriate administrative controls. • The number of hazards in your sample that should have included administrative controls. • An example of a hazard and its associated administrative control that was or was not identified. <p>OBSERVATIONS</p> <p>Work with the company contact (or operations), in advance of site visits, to determine what tasks the company anticipates the auditor will have the opportunity to observe. Select a sample of administrative controls from the FHA's for both health and safety hazards where possible.</p> <p>During the site visit, confirm the implementation of administrative controls based on that strategic sample.</p> <p>The auditor may also consider opportunities for administrative controls observed during site visit(s) themselves. These random samples may include: opportunities where:</p> <ul style="list-style-type: none"> • An administrative control has been applied as required. • An administrative control is clearly required but has not been implemented. <p>These random samples should be added to the strategic samples to determine the total opportunities.</p>	<p>Doc (0-5) Obs (0-20)</p>
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		<p>Scoring:</p> <p>Divide the opportunities where administrative controls have been implemented by the total number of opportunities (strategic and random) where they should have been implemented.</p> <p>For example, the auditor has selected 10 admin controls to verify on the work site based on the formal hazard assessments (strategic). The observation tour reveals only 8 are implemented. In addition, the auditor notes a forklift with a functioning back-up beeper in use (positive application of an admin control) and a labourer not using a tag line during the lifting of an awkward load in contradiction to the company's procedures (failed application of an admin control) (random). This represents 12 opportunities in total and would be scored as 75% (9/12).</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of opportunities where administrative controls are implemented as required. • The number of opportunities where administrative controls were expected to be found. • An example of a hazard and the associated administrative control that was observed or not observed. 	
C.2.d	Are employees using established administrative controls as intended?	<p>INTERVIEW</p> <p>Interview employees on work sites with administrative controls to determine if these are being used as intended.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified the appropriate use of administrative controls. • An example comment of how or when administrative controls are or are not used as intended. 	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?	<p>DOCUMENTATION</p> <p>Using the sample of health and safety hazards selected in C.2.a, determine which hazards should be managed with the use of PPE where applicable or where indicated by legislation or industry standards. Note that this could be in combination with other control measures.</p>	Doc (0-5) Obs (0-10)

		<p>Review the sample to determine how many have appropriate PPE listed.</p> <p><u>Scoring:</u> Divide the number of hazards with appropriate PPE identified, by the total number of sampled hazards that should have included PPE.</p> <p><u>Validation Note:</u> The note should include:</p> <ul style="list-style-type: none"> • The number of sampled hazards that identified appropriate PPE. • The number of hazards in your sample that should have identified PPE. • An example of a hazard and its associated PPE that was or was not identified. <p>OBSERVATIONS</p> <p>Work with the company contact (or Operations), in advance of site visits, to determine what tasks the company anticipates the auditor will have the opportunity to Observe. Select a sample of PPE from the FHA's for both health and safety hazards where possible.</p> <p>During the site visit, confirm the use of PPE based on that strategic sample.</p> <p>The auditor may also consider opportunities for PPE usage observed during site visit(s) themselves. These random samples may include: opportunities where:</p> <ul style="list-style-type: none"> • PPE is being used as required. • PPE is clearly required but is not in use. <p>These random samples should be added to the strategic samples to determine the total opportunities.</p> <p><u>Scoring:</u> Divide the opportunities where PPE was observed in usage, by the total number of opportunities (strategic and random) where PPE should have been use.</p> <p>For example, the auditor has selected the PPE for 10 different hazards from the Formal Hazard Assessments in order to verify PPE usage (strategic). The observation tour reveals only PPE is only being used in 9 of those opportunities. In addition, the auditor notes a worker wearing Kevlar pants and face shield while using a chainsaw, in addition to basic PPE requirements (positive application of PPE for 2 additional hazards) and a labourer not using safety glasses while using a metal drill in contravention to the SOP (failed application of PPE) (random). These findings represent 13 opportunities in total and would be scored as 85% (11/13).</p> <p><u>Validation Note:</u> The note should include:</p> <ul style="list-style-type: none"> • The number of opportunities where PPE is in use. 	
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		<ul style="list-style-type: none"> • The number of opportunities where PPE should have been in use. • An example of a hazard and the PPE that was observed or not observed. 	
C.2.f	Is PPE that is required by legislation or per company policy made available?	<p>INTERVIEW</p> <p>In advance of the interview, review:</p> <ul style="list-style-type: none"> • The company's operations to determine if there are legislated requirements to supply PPE (e.g., hearing protection) • The company's policies to determine if they have a commitment to supply particular PPE. <p>Interview supervisors and workers required to use PPE to determine if the company is supplying the required PPE.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>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.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified PPE is provided as per legislation or policy. • An example comment of how PPE is or is not made available to employees. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-6)

C.2.g	Is PPE properly maintained?	<p>OBSERVATION</p> <p>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.</p> <p>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.</p> <p>Scoring:</p> <p>Divide the number of PPE observations in the sample that show signs of appropriate maintenance by the total number of PPE observations in the sample.</p> <p>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.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of the observations where appropriate levels of PPE maintenance were applied. • The number of opportunities where PPE maintenance could be assessed. • An example of a type of PPE that did or did not exhibit appropriate maintenance. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Obs (0-15)
C.2.h	Does the company provide training on PPE that includes the care, use, maintenance, and limitations of any required PPE?	<p>INTERVIEW</p> <p>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.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Note all applicable criteria must be verified by each interviewee to score a positive response.</p> <p>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.</p> <p>Validation Note:</p> <p>The note should include:</p>	Int (0-10)

		<ul style="list-style-type: none"> The percentage or tally of interviewees that verified receiving training in PPE for all applicable criteria. An example comment of how or when training was or was not provided. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
3. Preventive Maintenance			
C.3.a	<p>Is there a preventive maintenance program in place that?</p> <ul style="list-style-type: none"> 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. 	<p>DOCUMENTATION</p> <p>Review the company's preventive maintenance program (PM program) to determine if all four criteria are met.</p> <p>Scoring:</p> <p>Enter 100% if the existing program is designed to meet all four criteria in the question. Enter 0% otherwise.</p> <p>This question may be scored N/A if the company does not own their work sites or any equipment.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> The score applied. A description of the PM program that refers to the four criteria to justify the score. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Doc (0, 2)
C.3.b	<p>Is the preventive maintenance program being implemented as outlined?</p>	<p>DOCUMENTATION</p> <p>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.</p> <p>Scoring:</p> <p>Divide the number of records in the sample that show compliance with the PM program by the total number of records in the sample.</p> <p>This question may be scored N/A if the company does not own their work sites or any equipment. Score 0% if the company does not have a maintenance schedule in place to verify compliance with.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> The number of the records that show compliance. 	Doc (0-4)

		<ul style="list-style-type: none"> • The number of records in your sample. • An example of maintenance conducted or not conducted, or • An explanation of why 0% was awarded. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
C.3.c	Has all equipment requiring preventive maintenance been included within the preventive maintenance program?	<p>OBSERVATION</p> <p>If possible, in advance of site visits, generate a list of all equipment in the PM program, equipment inventory lists, or maintenance records for work sites to be visited. During the site visit, the auditor should observe if the equipment within the PM program is consistent with the equipment found on the work site.</p> <p>For larger work sites with more equipment, the auditor may create a sample of equipment observed on the work site that should be subject to preventive maintenance. The auditor can then subsequently check the maintenance program or records to verify the equipment sampled is found there.</p> <p><i>Note that the question is not evaluating the condition of the equipment.</i></p> <p>Scoring:</p> <p>Divide the number of pieces of observed equipment included in the PM System by the total number of pieces of equipment observed.</p> <p>This question may be scored n/a if the company does not own their work sites or any equipment.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of the pieces of equipment that appeared in the company’s PM program. • The number of pieces of equipment that should have appeared. • An example of equipment that did or did not appear in the PM program. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	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?	<p>DOCUMENTATION</p> <p>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).</p> <p>Scoring:</p>	Doc (0, 3)

		<p>Score 100% if the existing program is designed to meet current WHMIS 2015 legislation.</p> <p>Score 0% otherwise.</p> <p>The auditor may apply an n/a if a company does not make use of any hazardous products (i.e., WHMIS 2015 not required).</p> <p>** Evaluate and score once at the head office location.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The score awarded. • Verification that the program meets or fails to meet legislated requirements for a WHMIS 2015 program. • An example of how the program was or was not applied. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
C.4.b	Have employees received adequate WHMIS 2015 program training?	<p>DOCUMENTATION</p> <p>Sample employee training records or training matrix to establish that WHMIS 2015 training has been conducted.</p> <p><u>Scoring:</u></p> <p>Divide the number of records that verify WHMIS 2015 training has been completed, by the total number of employees sampled.</p> <p>The auditor may apply an n/a if a company does not make use of any hazardous products (i.e., WHMIS 2015 not required).</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of employee training records sampled that demonstrate WHMIS 2015 training was conducted. • The number of employees in your sample. • An example of how or when the WHMIS 2015 training was conducted. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>Interview employees to determine if they have received WHMIS 2015 training appropriate to their tasks.</p> <p><u>Scoring:</u></p>	Doc (0-3) Int (0-3)

		<p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>The auditor may apply an n/a if a company does not make use of any hazardous products (i.e., WHMIS 2015 not required)</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified receiving appropriate WHMIS 2015 training. • An example comment of how or when training in the WHMIS 2015 program was or was not provided. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
C.4.c	Are all hazardous products identified with a correct WHMIS 2015 label?	<p>OBSERVATION</p> <p>Inspect a sample of hazardous products to determine appropriate WHMIS 2015 labelling. (SDS are outside the scope of the question).</p> <p><u>Scoring:</u></p> <p>Divide the number of hazardous products with appropriate WHMIS 2015 labelling by the total number of products in the observed sample.</p> <p>The auditor may apply an n/a if a company does not make use of any hazardous products (i.e., WHMIS 2015 not required)</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of the hazardous products sampled that had appropriate labelling. • The number of hazardous products sampled. • An example of a hazardous product observed on the work site that was or was not appropriately labelled. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Obs (0-6)
C.4.d	Are SDS's made available to workers?	<p>INTERVIEW</p> <p>Interview supervisors and workers to verify knowledge of, and access to, current SDS's for the hazardous products they work with and around.</p> <p><u>Scoring:</u></p>	Int (0-5)

		<p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>The auditor may apply an n/a if a company does not make use of any hazardous products (i.e., WHMIS 2015 not required).</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified the availability of current, and appropriate SDS's. • An example comment of the availability or location of SDS's, or • An example of a negative comment if applicable. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
C.4.e	<p>Does the company have documented plans to manage and control exposure to chemical, biological, or radioactive hazards (as applicable) that meet legislative requirements?</p>	<p>DOCUMENTATION</p> <p>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:</p> <ul style="list-style-type: none"> • Spill Prevention and Control, First Responder • Handling Hazardous Materials (ammonia, asbestos, etc.) • Exposure to Bio-Hazards (blood, virus, bacteria) • Radioactive Hazards <p>Where applicable, procedures must meet legislative requirements. Consider provincial OHS requirements (e.g., Code of Practice [AB], Exposure Control Plans [BC], or equivalent program requirements). The auditor may also consider other company policies or procedures to deal with biological hazards, for example, a first aid policy or procedure that addresses managing the hazard presented by blood.</p> <p><u>Scoring:</u></p> <p>Score 100% if applicable documented plans or procedures are in place.</p> <p>Score 0% otherwise.</p> <p>** Evaluate and score once at the head office location.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage awarded. • Applicable plans or procedures that are present or absent, with special reference to meeting or failing to meet legislative requirements, or 	<p>Doc (0, 2) Int (0-3)</p>

		<ul style="list-style-type: none"> • Explain why 0% was awarded. <p>INTERVIEW</p> <p>Interview employees to verify they have received communication or training on the applicable procedures as appropriate or required.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified communication of required plans or procedures. • An example comment of how or when a plan or procedure for a specific hazardous exposure was or was not communicated. 	
5. Violence and Harassment Prevention			
C.5.a	Does the company have a written Violence Prevention Policy which meets legislated requirements?	<p>DOCUMENTATION</p> <p>Review the company's Violence Prevention Policy to verify it meets the legislated requirements for the jurisdictions in which the company operates.</p> <p>https://www.worksafebc.com/en/health-safety/hazards-exposures/violence https://www.worksafebc.com/en/health-safety/hazards-exposures/bullying-harassment https://www.alberta.ca/workplace-harassment-violence.aspx http://www.qp.gov.sk.ca/documents/english/regulations/regulations/o1-1r1.pdf</p> <p>Scoring:</p> <p>Score 100% if there is a Violence Prevention Policy that meets all legislated criteria. Score 0% otherwise.</p> <p>*n/a may be applied for SK companies not included in Section 37(2) of the OHS Regs</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage scored. • A company specific example of how one of the required criteria was met. <p>* if n/a is applied, auditor must justify n/a in the note.</p>	Doc (0, 5)

C.5.b	Does the company have written Violence Prevention Procedures which meets legislated requirements?	<p>DOCUMENTATION</p> <p>Review the company's Violence Prevention Procedures to verify it meets the legislated requirements for the jurisdictions in which the company operates.</p> <p>Scoring:</p> <p>Score 100% if there is a Violence Prevention Procedure that meets all legislated criteria. Score 0% otherwise. Score n/a for SK</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage scored. • A company specific example of how one of the required criteria was met. <p>*if n/a is applied, the auditor must justify n/a in the note.</p>	Doc (0, 5)
C.5.c	Have employees been trained in the requirements of the Violence Prevention Policy and Procedures?	<p>INTERVIEW</p> <p>Interview all employee levels to verify if they have received training on the content of the Violence Prevention Policy and Procedures. Employee must also be able to explain what the Violence Prevention Policy and Procedures included (e.g. how to report violence, how they would obtain immediate assistance, etc.)</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewed employees who confirm they have received appropriate training and can provide an example of the required content.</p> <p>*n/a may be applied for SK companies not included in Section 37(2) of the OHS Regs</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified training. • An example comment of how or when employees were trained in the requirements of the Violence Prevention Policy and Procedures, • An example comment on the content of the training received. <p>*if n/a is applied, the auditor must justify n/a in the note.</p>	Int (0-5)

C.5.d	Does the company have a written Harassment Prevention Policy which meets legislated requirements?	<p>DOCUMENTATION</p> <p>Review the company's Harassment Prevention Policy to verify it meets the legislated requirements for the jurisdictions in which the company operates.</p> <p>Scoring:</p> <p>Score 100% if there is a Harassment Prevention Policy that meets all legislated criteria. Score 0% otherwise.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage scored. • A company specific example of how one of the required criteria was met. 	Doc (0, 5)
C.5.e	Does the company have a written Harassment Prevention Procedure which meets legislated requirements?	<p>DOCUMENTATION</p> <p>Review the company's Harassment Prevention Procedure to verify it meets the legislated requirements for the jurisdictions in which the company operates.</p> <p>Scoring:</p> <p>Score 100% if there is a Harassment Prevention Procedure that meets all legislated criteria. Score 0% otherwise. Score n/a for SK only companies.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage scored. • A company specific example of how one of the required criteria was met. <p>* if n/a is applied, auditor must justify n/a in the note.</p>	Doc (0, 5)
C.5.f	Have employees been trained in the requirements of the Harassment Prevention Policy and Procedures?	<p>INTERVIEW</p> <p>Interview all employee levels to verify if they have received training on the content of the Harassment Prevention Policy and Procedures. Employee must also be able to explain what the Harassment Prevention Policy and Procedures included (e.g. how to report violence, how they would obtain immediate assistance, etc.)</p>	Int (0-5)

		<p>Scoring:</p> <p>The score is based on the percentage of interviewed employees who confirm they have received appropriate training and can provide an example of the required content.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified training. • An example comment of how or when employees were trained in the requirements of the Harassment Prevention Policy and Procedures, • An example comment on the content of the training received. 	
C.5.g	<p>Does the Company have a documented process to ensure the Violence and Harassment Prevention Policies and Procedures are being reviewed and/or revised?</p> <ol style="list-style-type: none"> 1. When an incident occurs related to violence and/or harassment, 2. If the HSC or HS representative recommend a review, and 3. As per legislated requirements. 	<p>DOCUMENTATION</p> <p>Review company policies or procedures to determine if the company has a written requirement for the review and revision of the Violence and Harassment Prevention Policies and Procedures for the 3 criteria listed in the question.</p> <p><i>(Alberta and Saskatchewan require a review at least every 3 years)</i></p> <p>Scoring:</p> <p>Score 100% if all criteria have been met within the Violence and Harassment Prevention Policies and Procedures.</p> <p>Otherwise award 0%.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • State the score awarded. • How many of the 3 criteria are met. • Any criteria not found. • An example of how one of the criteria is or is not addressed within the Violence and Harassment Prevention Policies and Procedures. 	Doc (0,3)
C.5.h	<p>Have the Violence and Harassment Prevention Policies and Procedures been reviewed?</p> <ol style="list-style-type: none"> 1. When an incident occurs related to violence and/or harassment, 2. If the HSC or HS representative recommend a review 	<p>DOCUMENTATION</p> <p>Review a sample of company records that provide evidence of incidents related to violence and/or harassment or documentation to support the HSC or HS representative recommended a review. If any supporting evidence is found, verify that the review dates on the Violence and Harassment Prevention Policies and Procedures correspond to show a review or revision was made in a timely manner. In addition, verify that the Violence and Harassment Prevention Policies and</p>	(Doc 0-6)

	3. As per legislated requirements.	<p>Procedures been reviewed as required by legislated requirements for the jurisdictions in which the company operates.</p> <p>Scoring: Score based on the number of verified opportunities which support the applicable criteria. The auditor may apply an n/a to any of the criteria where there were no opportunities to verify a review was required, or the 3-year review period has not been reached (AB/SK).</p> <p>Validation Note: The note should include:</p> <ul style="list-style-type: none"> • How many of the criteria are applicable, • How many opportunities were identified, • At least one company specific example to support one of the applicable criteria. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
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Element D: Inspections

1. Inspections

D.1.a	Does the company have a written inspection policy that includes the purpose of inspections?	<p>DOCUMENTATION Review the company's inspection policy and determine if the purpose of inspections is stated.</p> <p>Scoring: Score 100% if there is a stated purpose for inspections. Score 0% otherwise. ** Evaluate and score once at the head office location.</p> <p>Validation Note: The note should include:</p> <ul style="list-style-type: none"> • The percentage scored. • What document(s) the purpose was found stated. • An example of a stated purpose. 	Doc (0, 6)
D.1.b	Does the inspection program outline what is to be inspected, including?	DOCUMENTATION	Doc (0-10)

	<ol style="list-style-type: none"> 1. work activities, 2. work areas, 3. equipment, 4. materials, and 5. specific hazards. 	<p>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.</p> <p>Scoring:</p> <p>Divide the number of criteria found within the program by 5.</p> <p>For example, if only equipment is inspected, the auditor would enter 20%.</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 5 criteria were met. • Any criteria not found. • An example of how one of the criteria is or is not addressed in the inspection program. 	
D.1.c	<p>Does the inspection program include a pre-determined frequency for each formal inspection type, including legislated requirements (if applicable)?</p>	<p>Definition: Formal Inspections</p> <p>Regularly scheduled examinations of the workplace completed with the aid of a checklist and inspection report.</p> <p>DOCUMENTATION</p> <p>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, for example elevators, cranes, CVIP, etc.</p> <p>Count any inspection type that has a frequency or trigger assigned and any legislated inspection that meets legislated requirements as a positive indicator.</p> <p>Scoring:</p> <p>Divide the inspection types that have pre-determined frequency or trigger stated (and meet legislated requirements if applicable) by the total sample size of inspection types reviewed.</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of inspection types that met or failed to meet the criteria. • The number of inspection types in your sample. • An example of an inspection type and its frequency. 	Doc (0-6)

		<ul style="list-style-type: none"> • An example of a legislated inspection type and whether the company meets compliance, or • Justify why no legislated inspection types were reviewed (i.e., were not applicable to the company's audited operations). 	
D.1.d	<p>Are formal inspections assigned to the following employee levels as appropriate (and as required by legislation)?</p> <ul style="list-style-type: none"> • senior managers, • middle managers, • supervisors, and • workers 	<p>DOCUMENTATION</p> <p>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.</p> <p><i>Note: not all inspection types require all levels of involvement, however all levels must participate in formal inspections.</i></p> <p>Scoring:</p> <p>Divide the number of company levels assigned inspection duties by the total number of applicable levels.</p> <p>For example, if a company does not have middle managers, and inspections have only been assigned to workers, the auditor would enter 67% (2/3).</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The employee levels that have assigned inspection duties. • The employee levels in your sample. • An example of inspections assigned to one of the employee levels. 	Doc (0-4)
D.1.e	<p>Do inspectors receive appropriate written instructions, templates, or checklists to evaluate?</p> <ol style="list-style-type: none"> 1. work activities, 2. work areas, 3. equipment, 4. materials, and 5. specific hazards. 	<p>DOCUMENTATION</p> <p>Verify all five criteria listed are captured within the inspection program by reviewing the following sorts of documents:</p> <ul style="list-style-type: none"> • Inspection instructions • Inspection forms or checklists • Behaviour-Based observation forms (may cover inspections on work activities) <p>Scoring:</p> <p>Divide the number of criteria that are supported with instructions, templates, or checklists by five.</p> <p>For example, if inspection forms and checklists were only available for "equipment" and "materials" and none for any of the others, the auditor would score 40% (2/5).</p>	Doc (0-10)

		<p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the criteria have appropriate written instructions, templates or checklists. • Any criteria that do not have any of these supporting documents. • An example of an inspection type and the criteria that it addresses. 	
D.1.f	Have inspections been completed as required by the inspection policy?	<p>DOCUMENTATION</p> <p>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).</p> <p>Scoring:</p> <p>Divide the number of completed inspection records that meet the company stated requirements by the total sample size reviewed.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of the inspection records that meet company requirements. • The total number of inspection records/types in your sample. • An example of where a company's inspection requirement was met or not met. 	Doc (0-10)
D.1.g	Are deficiencies identified through the inspection program corrected in a timely manner?	<p>Definition: Timely Manner</p> <p>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.</p> <p>DOCUMENTATION</p> <p>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. Records without deficiencies should not be included in the sample.</p>	Doc (0-10) Int (0-25) Obs (0-15)

	<p><u>Scoring:</u></p> <p>Divide the number of deficiencies that show timely correction by the total number of deficiencies in your sample.</p> <p>If all completed inspections show no deficiencies, a score of 100% may be entered.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of the deficiencies that demonstrated corrective action in a timely manner. • The number of deficiencies in your sample. • An example of a corrective action completed or not completed in a timely manner. <p>*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.</p> <p>INTERVIEW</p> <p>Interview employees to determine if deficiencies identified in the inspection program are corrected in a timely manner.</p> <p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified deficiencies were corrected in a timely manner. • An example comment of a deficiency and its associated corrective action which was or was not completed, and if it was done in a timely manner or not. <p>OBSERVATION</p> <p>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.</p> <p><u>Scoring:</u></p> <p>Divide the number of deficiencies that have been addressed by the total number of deficiencies selected as a sample for the work site visit(s). The auditor should not include any deficiencies that cannot be proven out during the observation tour due to the nature of, or the timing of, the work site visits.</p>	
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		<p>If there are no available opportunities apply n/a</p> <p><u>Verification Notes:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of the deficiencies observed that were corrected. • The total number of deficiencies expected to be corrected. • An example of a deficiency and its associated corrective action that was or was not implemented. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
D.1.h	<p>Have those employees who have conducted inspections within the past 12 months received training that is appropriate to what is being inspected?</p>	<p>DOCUMENTATION</p> <p>Review inspection records or other applicable documents to determine a sample of employees who have conducted inspections in the past 12 months.</p> <p>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. Training may include any of the following:</p> <ul style="list-style-type: none"> • Documented on-the-job training • Orientation training that included training on inspections • Safety meetings that provided instruction on inspections • Third party training or certifications <p><u>Scoring:</u></p> <p>Divide the number of employees in the sample that are trained for their assigned inspection duties with the total sample size.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The documentation reviewed. • The number of employees that have completed applicable training. • The number of employees in your sample. • An example of appropriate training provided or not provided for an associated inspection. <p>INTERVIEW</p> <p>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.</p>	<p>Doc (0-8) Int (0-25)</p>

		<p>Scoring:</p> <p>The score is based on the percentage of interviewed employees who conduct inspections that confirm they have received appropriate training.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified training for their inspection duties was appropriate. • An example comment of how or when appropriate inspection training was or was not provided. 	
Element E: Qualifications, Orientation and Training			
1. Health and Safety Orientation			
E.1.a	<p>Does the company have a comprehensive orientation for all new and transferred employees that includes the following?</p> <ol style="list-style-type: none"> 1. health and safety policies and procedures, 2. health and safety responsibilities, 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), and 9. hazard reporting. 10. incident and near miss reporting. 11. sign off by the employee and person conducting the orientation. 	<p>DOCUMENTATION</p> <p>Review the company's orientation policy and/or orientation package to determine if their orientation program meets the eleven criteria.</p> <p>Scoring:</p> <p>Divide the number of criteria met by 11.</p> <p>For example, if all the criteria were found in the orientation materials except hazard reporting, the auditor would score 91% (10/11).</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 11 criteria are met. • Any criteria not found. • An example of how one of the criteria is or is not addressed by the orientation materials. 	Doc (0-11)

E.1.b	Do supervisory personnel ensure orientations were conducted prior to the employees starting their regular duties?	<p>INTERVIEWS</p> <p>Interview supervisory personnel to verify the process they use to ensure workers under their responsibility have received an orientation. (<i>Supervisory personnel may include managers where the company has no designated supervisor positions</i>)</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewed supervisory personnel who could describe the process used to ensure workers under their responsibility have received an orientation.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified a process for ensuring workers under their responsibility have received an orientation. • An example comment of how verification of orientations was completed. 	Int (0-10)
E.1.c	Are employee orientations carried out within an appropriate time frame?	<p>DOCUMENTATION</p> <p>Determine the company’s time frame for delivering their new or transferred hire orientation program. For the purposes of this question, an “appropriate time frame” may allow certain orientation elements to be addressed over several days (depending on the breadth and depth of the orientation program). Critical criteria such as emergency procedures and hazard reporting for a work site should be communicated on the first day of work.</p> <p>Review a sampling of orientation records from within the past 12 months to verify compliance with the time frames identified.</p> <p>Note: This does not include site-specific orientations.</p> <p>Scoring:</p> <p>Divide the number of orientation records that demonstrate orientations were completed within an appropriate time frame by the total number of records sampled.</p> <p>The auditor may apply an n/a if no employees were hired or transferred within the past 12 months.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of orientation records that were completed within an appropriate time frame. • An example of an orientation completed or not completed in a timely fashion. 	Doc (0-9)

		*If n/a is applied, auditor must justify n/a in the note.	
E.1.d	Are orientations given to all newly hired employees and transferred employees?	<p>INTERVIEW</p> <p>Interview employees <i>hired or transferred in the previous twelve months</i>.</p> <p>Determine if they received orientations as per the company's orientation policy.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>The auditor may apply an n/a if no employees were hired or transferred within the past 12 months.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified receiving an orientation. • An example comment of how or when their orientation occurred or what it included, or • An example of a negative comment if applicable. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-10)
E.1.e	Are employee orientations appropriate for the company's operational processes, hazards and controls?	<p>INTERVIEW</p> <p>Interview employees <i>hired or transferred in the previous twelve months</i>.</p> <p>Determine if the orientations they received were appropriate and relevant given the operations they were expected to be engaged in and the hazards and controls related to those operations and their work site(s).</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>The auditor may apply an n/a if no employees were hired or transferred within the past 12 months.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees hired or transferred in the past 12 months that verified the orientation received was <i>appropriate</i>. • An example comment of the scope or depth of their orientation, or 	Int (0-10)

		<ul style="list-style-type: none"> An example of a negative comment if applicable. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
E.1.f	Are employees made aware of their OHS rights during employee orientations?	<p>INTERVIEW</p> <p>Interview employees <i>hired or transferred in the previous twelve months</i>.</p> <p>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.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>To score a response positive, the interviewee should be able to verify knowledge of all 3 OHS rights.</p> <p>The auditor may apply an n/a if no employees were hired or transferred within the past twelve months.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> The percentage or tally of interviewees hired or transferred in the past 12 months that verified their orientation included OHS rights An example comment confirming that this topic was or was not covered. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-6)
E.1.g	<p>Is there a process to ensure site-specific orientations include critical safety information including?</p> <ul style="list-style-type: none"> emergency response procedures (including alarm systems) hazard reporting, and applicable health and safety policies and procedures. 	<p>DOCUMENTATION</p> <p>Review the site-specific orientation policy and/or materials to determine if site-specific orientations contain the listed criteria. Some examples of applicable policies and procedures may include:</p> <ul style="list-style-type: none"> site rules/smoking restrictions incident and near miss reporting PPE requirements site-specific hazard assessments/permits <p>Scoring:</p> <p>Score 100% if the site-specific orientations meet all required criteria.</p>	Doc (0, 6)

		<p>Score 0% otherwise.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the criteria were verified. • An example of criteria met or not met. 	
E.1.h	<p>Is there a process to ensure site-specific orientations are completed for employees when arriving at a work site for the first time?</p>	<p>DOCUMENTATION</p> <p>Review the orientation policy and/or records to determine if there is a process for ensuring or confirming site-specific orientations are conducted. The company itself or another party on the work site may conduct site-specific orientations.</p> <p>If a process to ensure site-specific orientation exists, confirm:</p> <ul style="list-style-type: none"> • If the nature of the company’s work site(s) requires orientations for employees when arriving at a work site for the first time. • Includes verification that the orientations are being completed prior to commencing any work activities. <p><u>Scoring:</u></p> <p>Score 100% if a process to ensure site-specific orientations are completed for employees when arriving at a work site for the first time was verified.</p> <p>Score 0% if it cannot be verified that the orientations are completed prior to commencing work activities.</p> <p>Apply n/a where the nature of the company’s work does not include additional worksites where workers would go to conduct work.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage awarded. • A summary of the company’s operations that require a site-specific orientation for newly arriving employees, or • An explanation of why 0% or n/a was awarded. 	Doc (0, 2)
E.1.i	<p>Are site-specific orientations provided prior to starting work on a new site?</p>	<p>INTERVIEW</p> <p>Interview the following where applicable:</p> <ul style="list-style-type: none"> • Anyone responsible for conducting site-specific orientations • Workers who move between sites or have started work on a new site 	Int (0-3)

		<p>Determine if site-specific orientations were provided for workers unfamiliar with a given work site or work on a new site prior to starting work on that site.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Auditor may apply an n/a if the company operations have not included any new sites or new employees within the previous twelve months.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified site-specific orientations were provided prior to starting work. • An example comment of how or when a site-specific orientation was or was not provided prior to starting work. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
2. Job Specific Training			
E.2.a	Has the company defined the required qualifications for health and safety sensitive positions/disciplines where appropriate?	<p>Definition: Qualifications</p> <p>Qualifications are skills or attributes a person must have <i>before</i> they are hired by the company to do the job. <i>The audit is concerned with qualifications that are essential or required by law for a new hire to do their job safely.</i></p> <p>DOCUMENTATION</p> <p>Review a sample of HR records such as:</p> <ul style="list-style-type: none"> • Recruitment ads or job postings; or • Job descriptions <p>Determine if applicable qualifications are listed, for example:</p> <ul style="list-style-type: none"> • Journeyman or trade certificates • Driver’s license or specified class of license • Specialized operator training (e.g., forklift, crane) • Work site related training (e.g., TDG, WHMIS 2015, First Aid, H2S Alive) • Any other company requirements (safety related). 	Doc (0-9)

		<p><i>Note: in some cases, qualifications beyond fitness for duty may not be required such as in an exclusively low risk administrative work site. The auditor should justify these exceptions in the auditor note.</i></p> <p><i>Note: Not all positions/disciplines may have qualification requirements that are applicable to safety.</i></p> <p>Scoring:</p> <p>Divide the number of positions/disciplines verified to have defined qualifications by the total number of positions that were expected to have qualifications identified.</p> <p>Score 0% if qualifications have not been defined for any company position/discipline.</p> <p>The auditor may apply an 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.</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of positions/disciplines verified to have defined qualifications. • The total number of positions/disciplines that were expected to have qualifications identified. • An example of a position/discipline with applicable qualification(s) where the available records show or fail to show the company has documented this requirement, or • An explanation of why n/a was applied. 	
E.2.b	Does the company confirm appropriate qualifications are met before employees can perform their job?	<p>DOCUMENTATION</p> <p>Based on the sample reviewed in E.2.a, select a sample of employees in positions where formal qualifications were required. Draw a sample of employee records, training documents, and/or resumes for these employees. Verify they had the appropriate qualifications prior to performing their job.</p> <p>Scoring:</p> <p>Divide the number of employee records that confirmed qualifications were met prior to performing their job, by the total number of employees in the sample.</p> <p>Score 0% if no points were awarded in E.2.a.</p> <p>The auditor may apply an 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.</p> <p>Validation Note:</p>	Doc (0-9)

		<p>The note should include:</p> <ul style="list-style-type: none"> • The number of employee records that confirmed qualifications were verified prior to performing their job. • The number of employee records in your sample. • At least one example of qualifications being confirmed or not confirmed. <p>*if n/a is applied, auditor must justify n/a in the note.</p>	
E.2.c	<p>Is there a formal process for ensuring job-specific training that includes?</p> <ul style="list-style-type: none"> • job-specific hazards and controls, • any applicable work procedures or practices, and • a practical demonstration to confirm workers have acquired the knowledge or skill related to the subject matter. 	<p>DOCUMENTATION</p> <p>Review policies or procedures to confirm job-specific training ensures job-specific hazards and controls, required work procedures are covered, and a practical demonstration to confirm workers have acquired the knowledge or skill related to the subject matter. Job-specific training should be appropriate to the nature of the positions and tasks.</p> <p>Scoring:</p> <p>Score 100% if there a formal process for ensuring job-specific training that includes all required criteria.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage awarded. • How many of the criteria were verified. • A summary of the process used to ensure job-specific training, or • An example of criteria not met. 	Doc (0,9)
E.2.d	<p>Is the appropriate job-specific training provided?</p>	<p>INTERVIEW</p> <p>Interview employees, making sure to include newly hired or who have been assigned new tasks or operations in the previous twelve months.</p> <p>Determine if they received adequate job-specific training, including when first hired, when new tasks were assigned, or when operations or positions changed.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Validation Note:</p>	Int (0-9)

		<p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified receiving adequate job-specific training. • An example comment of how or when the training was or was not provided. 	
E.2.e	Is refresher training provided as appropriate?	<p>DOCUMENTATION</p> <p>Draw a sample of training records that indicate the presence of training with refresher requirements. Verify the training records indicate that this training is refreshed or renewed:</p> <ul style="list-style-type: none"> • 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. <p>Scoring:</p> <p>Divide the number of records in the sample that indicate refresher training is conducted by the total number of records in the sample.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of records that confirm refresher training was provided. • The number of records in your sample. • An example of a type of refresher or renewal training that was or was not verified. <p>INTERVIEW</p> <p>Interview employees to determine if they should have received refresher training in the previous 12 months and then confirm if they did in fact receive the training.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>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 twelve months.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified refresher training was received as required. • An example comment of how or when refresher training was or was not received. 	Doc (0-9) Int (0-9)

		*If n/a is applied, auditor must justify n/a in the note.	
E.2.f	<p>Is there a documented supervisory-specific training program that includes the following topics?</p> <ol style="list-style-type: none"> 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. 	<p>DOCUMENTATION</p> <p>Review the company's orientation and/or training program, specific to any supervisory role, to verify the 5 listed criteria are covered.</p> <p>Note that supervisory-specific training would be applicable to anyone assigned responsibility to oversee workers regardless of whether they hold the supervisor designation.</p> <p>Scoring:</p> <p>Divide the number of criteria met by the company's supervisory training program by a total of 5 criteria.</p> <p>Score 0% if there is no supervisory-specific training; <i>n/a is not an option.</i></p> <p>For example, if the supervisory training program covers all the listed topics except supervisory skills, score 80% (4/5).</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 5 criteria are met? • Any criteria not found. • An example of how one of the criteria is or is not addressed by the training program. 	Doc (0-5)
E.2.g	<p>Have all supervisory roles received the training identified in E.2.f?</p>	<p>DOCUMENTATION</p> <p>Review a sample of employee records with supervisory roles to determine if they have received their required supervisory-specific training.</p> <p>Scoring:</p> <p>Divide the number of employees with supervisory roles in the sample that have completed all their required supervisory-specific training by the total number of employee records for supervisor roles sampled.</p> <p>Note: the score is not cascading. For example, if in E.2.f it was discovered that the company has a supervisory-specific training program that included only 4 of 5 criteria, you will only be evaluating the training records to verify if they have met the 4 criteria.</p> <p>Although not cascading, score 0% here if E.2.f. has scored 0; <i>n/a is not an option.</i></p> <p>Validation Note:</p>	Doc (0-5) Int (0-5)

		<p>The note should include:</p> <ul style="list-style-type: none"> • The number of the sampled of employees with supervisory roles that have completed their required supervisory-specific training. • The number of employees with supervisory roles in the sample. • An example of training completed or not completed or how and when supervisory-specific training was conducted. <p>INTERVIEW</p> <p>Interview those employees with a supervisory role to determine if they have received the required supervisory-specific training.</p> <p><i>Use the multi-role function when interviewing employees who would be considered a “supervisor” in the absence of a designated supervisor position.</i></p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p><i>Do not ask this question if E.2f scored 0%.</i></p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • A percentage or tally of interviewees in the supervisory role that verified receiving the required supervisory-specific training described in E.2.f. • An example comment of how or when the supervisor-specific training was or was not received. 	
E.2.h	Has the company defined competencies for each position?	<p>Definition: Competency</p> <p>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.</p> <p>DOCUMENTATION</p> <p>Review a sample of positions or disciplines to determine if competency requirements have been identified. These may be found in:</p> <ul style="list-style-type: none"> • Job descriptions • Industry standards • Job task inventory 	Doc (0-9)

		<p>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".</p> <p>Scoring:</p> <p>Divide the number of positions or disciplines in the sample that have documented competency requirement for jobs or tasks by the total number of positions or disciplines sampled.</p> <p>Score 0% if competencies have not been defined for any company position.</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of positions or disciplines with competencies defined. • The number of positions or disciplines in your sample. • An example where competencies have or have not been defined for a specific position or discipline. 	
E.2.i	Is there a process to assess competency of new and re-assigned workers?	<p>INTERVIEW</p> <p>Interview senior managers, middle managers and supervisors to verify is there is a process to assess the competency of new and re-assigned workers. Both levels of managers and supervisors must be able to describe how they determine the competency of their workers (e.g. on the job training, task observation, test, etc.) Re-assignment can include a new job, task, or when a worker moves to a new location.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • A percentage or tally of interviewees that could confirm a process to assess competency, • An example of a comment on the process used to assess competency, or not. 	Int (0-9)
E.2.j	Are all employees deemed competent for the tasks they are completing?	<p>Definition: Deemed competent</p> <p>Any person deemed to be adequately qualified and suitably trained, and to have sufficient experience to complete assigned tasks without direct supervision.</p> <p>DOCUMENTATION</p>	Doc (0-9)

		<p>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.</p> <p>Scoring:</p> <p>Divide the number of records in your sample that confirm competencies have been assessed by the total number of positions/disciplines from your sample in E.2.h.</p> <p><i>If E.2.h scored zero, then score 0%</i></p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of instances where competencies have been verified or assessed. • The number of records in you sample. • An example of how or when a competency verification has or has not been carried out. 	
Element F: Emergency Response			
1. 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?	<p>INTERVIEW</p> <p>Interview senior management, middle management, supervisors and anyone assigned emergency system duties. Determine if they know the process that was used to identify or develop emergency scenarios for the ERP and/or how these scenarios are subsequently revised.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Select "not asked" for employees who were not assigned emergency system duties.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified how the company identifies potential emergency scenarios. • An example comment of the process to identify potential emergency scenarios, or • An example of a negative comment if applicable. 	Int (0-9)
F.1.b	Does the Emergency Response Plan sufficiently identify the potential emergency scenarios	DOCUMENTATION	Doc (0-6) Obs (0-10)

	<p>applicable to the company's operations and legislative requirements?</p>	<p>Create a list of potential emergency scenarios based on:</p> <ul style="list-style-type: none"> • the company's operations and activities, and • legislative requirements. <p>Possible sources of information for creating the potential emergency scenarios list include:</p> <ul style="list-style-type: none"> • Hazard assessments (formal and field) • Company profile • Equipment used • Hazardous materials or chemicals handled • Safe work practices or procedures <p>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.</p> <p><u>Scoring:</u></p> <p>Divide the number of emergency scenarios found in the ERP by the total number of potential emergency scenarios created based on the company's operations and legislation.</p> <p>At a minimum, Documentation of ERPs should be reviewed and scored for each fixed location visited.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of potential scenarios found in the ERP. • The number of potential scenario(s) determined by the auditor to be required. • An example of a scenario that has or has not been included in the ERP. <p>OBSERVATION</p> <p>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.</p> <p><u>Scoring:</u></p> <p>Divide the number of emergency scenarios in the ERP for the work site by the total number of emergency scenarios applicable to that work site (those found in the ERP plus any observed to be missing during the work site visit).</p> <p><u>Validation Note:</u></p> <p>The note should provide:</p>	
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		<ul style="list-style-type: none"> • The number of scenarios present in the ERP. • The number of scenarios expected to be present or included in the ERP. • A description of any potential emergency scenarios identified, but not present in the ERP. <p>*An example of a relevant scenario should be noted if all potential scenarios appeared in the ERP.</p>	
F.1.c	<p>Does the Emergency Response Plan outline?</p> <ol style="list-style-type: none"> 1. communication procedures, 2. emergency contacts, 3. evacuation plans, and 4. rescue plans. 	<p>DOCUMENTATION</p> <p>Review the company's ERP to determine if the four criteria have been outlined.</p> <p>Scoring:</p> <p>Divide the number of criteria met by a total of 4 criteria.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 4 criteria are met? • Any criteria not found. • An example of how one of the criteria is or is not addressed in the ERP. 	Doc (0-8)
F.1.d	<p>Are equipment and supplies for <i>non-medical</i> emergencies?</p> <ul style="list-style-type: none"> • identified, • available, and • do these meet regulatory requirements. 	<p>DOCUMENTATION</p> <p>Review the ERP or related emergency planning processes. Determine if appropriate equipment and supplies have been identified for non-medical emergencies.</p> <p>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), etc.).</p> <p>Scoring:</p> <p>Divide the number of equipment and supplies identified in the ERP by the total number of required equipment and supplies that should have been identified.</p> <p>Score 0% if equipment or supplies for non-medical emergencies are not identified.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of documented non-medical equipment and supplies. • The number of required non-medical equipment and supplies that were expected to be identified in the ERP • An example of a documented non-medical equipment or supply, or one that was required if none had been identified. 	Doc (0,5) Obs (0-10)

		<p>OBSERVATION</p> <p>Review any emergency equipment listed in the ERP that is applicable to work site(s) to be visited. During the site visit, confirm the 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.</p> <p>Scoring:</p> <p>Divide the number of pieces of appropriate non-medical emergency equipment observed on the work site by the total number of pieces of equipment expected based on the ERP (or regulatory requirements).</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of locations where non-medical equipment and supplies were observed. • The number of locations where non-medical equipment and supplies were expected. • An example of any non-medical equipment and supplies, required by regulation, found or not found as expected. 	
2. Medical Emergencies			
F.2.a	<p>Does the company have plans or procedures to address?</p> <ol style="list-style-type: none"> 1. medical emergencies, 2. rendering first aid, and 3. reporting first aid incidents. 	<p>DOCUMENTATION</p> <p>Review the ERP or other system documents that address first aid to determine if all 3 criteria are addressed.</p> <p>Scoring:</p> <p>Divide the number of criteria validated by 3.</p> <p>For example, if there is a plan for medical emergencies and rendering first aid but no policy or procedure regarding reporting first aid incidents, score 67% (2/3).</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 3 criteria are met. • Any criteria not found. • An example of how one of the criteria is or is not addressed by a company plan or procedure. 	Doc (0-6)

F.2.b	Are the correct number of employees trained in first aid as required by occupational health and safety legislation?	<p>DOCUMENTATION</p> <p>Review provincial occupational health and safety (OHS) regulations for:</p> <ul style="list-style-type: none"> • the type of first aid training required, and • the number of first aiders required. <p>Review the company's list of first aiders for a sampling of the company's work sites. Verify this meets minimum provincial OHS requirements.</p> <p>Scoring:</p> <p>Score 100%, if minimum provincial OHS requirements for first aiders are met <i>for all work sites sampled</i>.</p> <p>Score 0% <i>if any work sites sampled</i> did not meet OHS first aid personnel requirements.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage awarded. • A list of any work sites sampled that did not meet OHS first aider requirements. • An example of how a company met or failed to meet its legislated first aid requirements for a work site. 	Doc (0, 6)
F.2.c	Are appropriate first aid equipment and supplies available in accordance with occupational health and safety legislation?	<p>OBSERVATION</p> <p>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.</p> <p>Scoring:</p> <p>Score 100%, if minimum provincial OHS regulations for first aid equipment and supplies are met <i>for all work sites sampled</i>.</p> <p>Score 0% <i>if any work sites sampled</i> did not meet OHS first aid equipment and supply requirements.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The score awarded. • The number of locations where first aid equipment and supplies were observed. • The number of locations where first aid equipment and supplies were expected. • An example of any first aid equipment and supplies found or not found as expected. 	Obs (0,10)

3. Responsibilities and Training

3. Responsibilities and Training			
F.3.a	Do the Emergency Response Plans outline responsibilities?	<p>DOCUMENTATION</p> <p>Review the ERP and confirm responsibilities have been assigned as appropriate, to positions, levels or individuals (e.g., evacuate self, conduct roll call, call 911, etc.). Responsibilities could be outlined within individual scenarios or within the ERP generally.</p> <p>Scoring:</p> <p>Score 100%, if the ERP confirms responsibilities have been assigned as appropriate, to positions, levels or individuals.</p> <p>Score 0% <i>if no responsibilities are identified.</i></p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The score awarded. • An example of a responsibility assigned or not assigned. 	Doc (0,8)
F.3.b	Have responsibilities outlined in the Emergency Response Plan been communicated?	<p>INTERVIEW</p> <p>Interview employees to confirm they are aware of their responsibilities within the ERP. Responses must be consistent with written responsibilities (see F.3.a) to be considered a positive finding.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>If no responsibilities were identified in F.3a, then this interview question should not be asked so 0% is awarded.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified their responsibilities within the ERP. • An example comment of how or when responsibilities were or were not communicated. 	Int (0-15)

F.3.c	Has training been provided to the employees given specific responsibilities within the Emergency Response Plan?	<p>INTERVIEW</p> <p>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, etc.).</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>If no responsibilities were identified in F.3a, then this interview question should not be asked.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified training appropriate to their responsibilities in the ERP was provided. • An example comment of how or when training for a specific responsibility was or was not provided. 	Int (0-15)
F.3.d	Has the competency of the employees given specific responsibilities in the Emergency Response Plan been assessed?	<p>DOCUMENTATION</p> <p>Review records to determine if the company has assessed the competency of emergency responders (e.g., fire wardens, first aiders, incident commander, etc.). Activities that may provide documented evidence of competency assessment include:</p> <ul style="list-style-type: none"> • Drills with documented assessments • In-house or third-party training with practical assessments, e.g. first aid, first responder • Group-based assessment may be appropriate as well (e.g., firefighters, rescue team, etc.). <p>Scoring:</p> <p>Divide the number of emergency responders that show evidence of competency assessment by the total number of emergency responders in the sample.</p> <p>If no responsibilities were identified in F.3a, then this question should score 0%.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of emergency responders that have been assessed for competency. • The number of emergency responders in your sample. • An example of an emergency responder role that has or has not been assessed for their ERP responsibilities. 	Doc (0-8)

4. Drills and Evaluations

F.4.a	<p>Is there a process to evaluate the Emergency Response Plan for effectiveness, including?</p> <ol style="list-style-type: none"> 1. testing at least annually, 2. a means of identifying deficiencies, and 3. a means of correcting deficiencies. 	<p>DOCUMENTATION</p> <p>Review policies or procedures to establish if the company has a process and schedule for testing the ERP that meets all 3 required criteria.</p> <p>Scoring:</p> <p>Divide the number of criteria verified by 3.</p> <p>For example, if a company states the requirement for annual drills but has no process to document and correct deficiencies, score 33% (1/3).</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 3 criteria are met. • Any criteria not found. • An example of how one of the criteria is or is not addressed by ERP evaluation process. 	Doc (0-9)
F.4.b	<p>Is the process and schedule for testing the ERP being met?</p>	<p>DOCUMENTATION</p> <p>Review a sample of records to verify that the company is meeting its own standard on ERP testing and drills. Live or tabletop exercises are acceptable.</p> <p><i>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.</i></p> <p>Scoring:</p> <p>Divide the number of drills or tests completed by the total number of drill or tests expected based on company policy.</p> <p>Score 0% if the company has not established a process or schedule for testing the ERP as described in F.4.a, or if no testing or drills were documented.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of ERP tests or drills completed. • The number of ERP tests or drills that were anticipated to be completed per policy or procedure. • An example of how or when a test or drill was or was not completed. 	Doc (0-10) Int (0-15)

		<p>INTERVIEW</p> <p>Interview employees to determine if they have participated in an ERP exercise or drill in the previous twelve months.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified participation in an ERP exercise or drill. • An example comment of the type or timing of an ERP exercise drill they participated in, or • An example of a negative comment if applicable. 	
F.4.c	Are deficiencies identified during emergency response drills corrected for improvements?	<p>DOCUMENTATION</p> <p>Review records of drills, simulations and/or action logs related to ERP testing or drills. Draw a sample of identified deficiencies. Determine how many of these were corrected.</p> <p>Scoring:</p> <p>Divide the number of identified deficiencies corrected by the total number of deficiencies in the sample.</p> <p>Score 100% if testing or drills occurred, and the test or drill was evaluated, and no deficiencies were identified.</p> <p>Score 0% if no drills or tests were documented.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of documented ERP deficiencies corrected. • The number of ERP deficiencies in your sample. • An example of a deficiency and how it was corrected or left uncorrected. <p>*If the drill or test event was held with no deficiencies identified, the auditor must summarize the evidence that a documented evaluation was conducted if 100% is awarded.</p>	Doc (0-10)

Element G: Incident Reporting and Investigation

1. Incident Reporting

G.1.a	<p>Does the company have written requirements for reporting incidents that include?</p> <ol style="list-style-type: none"> 1. a requirement to report workplace incidents immediately, including injuries, 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. 	<p>DOCUMENTATION</p> <p>Review policies or procedures on incident reporting. Determine if the 3 criteria are met.</p> <p>Scoring:</p> <p>Divide the number of criteria met by 3.</p> <p>For example, if the only criterion found is the requirement to report incidents immediately, score 33% (1/3).</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 3 criteria are met. • Any criteria not found. • An example of how one of the criteria is or is not addressed. 	Doc (0-3)
G.1.b	<p>Do employees understand incident-reporting requirements?</p>	<p>INTERVIEW</p> <p>Interview all employees to determine if they understand the requirements and process for incident reporting as per company requirements.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified the requirements for incident reporting. • An example comment of the incident reporting timelines or procedures, or • An example of a negative comment if applicable. 	Int (0-5)

G.1.c	Are incidents being reported as required by the policy?	<p>INTERVIEW</p> <p>Interview supervisors and workers to verify that incidents are reported as required by policy or procedures.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified incidents are reported as required. • An example comment of an incident that was or was not reported. 	Int (0-5)
2. Incident Investigation Standards			
G.2.a	<p>Does the company have written requirements for investigating incidents that include?</p> <ol style="list-style-type: none"> 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. 	<p>DOCUMENTATION</p> <p>Review policies or procedures to determine if the 9 criteria listed are documented.</p> <p>Scoring:</p> <p>Divide the number of criteria met by 9.</p> <p>For example, if all the criteria are met except senior management review, score 89% (8/9).</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 9 criteria are met. • Any criteria not found. • An example of how one of the criteria is or is not addressed. 	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?	<p>INTERVIEW</p> <p>Review company policy on incident investigations and procedures and note specific responsibilities assigned to senior managers, middle managers and supervisors. Interview 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).</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified their investigation responsibilities. • An example comment confirming personal responsibilities to initiate, coordinate, and/or monitor accident investigations, or • An example of a negative comment if applicable. 	Int (0-5)
G.2.c	Has investigation training been provided to individuals assigned the task of investigation?	<p>DOCUMENTATION</p> <p>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, etc.).</p> <p>Scoring:</p> <p>Divide the number of individuals trained for their assigned incident investigation duties by the total number of individuals in the sample.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of individuals with incident investigation duties that have documented training. • The number of individuals in the sample. • An example of the nature of the training that is required and how it was or was not delivered. <p>INTERVIEW</p> <p>Interview individuals assigned the task of investigating incidents to verify they have received some form of training on incident investigation.</p>	Doc (0-5) Int (0-5)

		<p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of investigators that verified training related to incident investigation responsibilities. • An example of a comment on how or when the training was or was not received. 	
G.2.d	Is there a process for documenting and implementing investigator recommendations?	<p>DOCUMENTATION</p> <p>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, etc.).</p> <p><u>Scoring:</u></p> <p>Score 100% if there is a process to verify corrective actions from investigator recommendations are both documented, and their implementation tracked or managed.</p> <p>Score 0% otherwise.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The score awarded. • A summary of the process for documenting and implementing investigator recommendations, or • An explanation of why 0% was awarded. 	Doc (0,4)

3. Conducting Incident Investigations

G.3.a	<p>Are all investigations started within a prompt, reasonably practicable timeline appropriate to the nature of the investigation?</p>	<p>Definition: Reasonably Practicable</p> <p>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".</p> <p>DOCUMENTATION</p> <p>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.</p> <p>Scoring:</p> <p>Divide the number of investigations with an appropriate start time by the total number of investigations sampled and enter this percentage.</p> <p>If 80% or higher is entered, full points will be awarded (automatically by the auditing software).</p> <p>If less than 80% is entered, 0 points will be awarded.</p> <p>Enter 0% if no investigations were completed.</p> <p>The auditor may apply an n/a only in the case of <i>exclusively low risk administrative work sites</i> where there were no incidents or near misses.</p> <p>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.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of investigations that started within an appropriate time. • The number of investigations in your sample. • An example of an investigation that did or did not begin promptly. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	<p>Doc (0,5) Int (0,5)</p>
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		<p>INTERVIEW</p> <p>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.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>The auditing software will award full points if the score is at or above 80% and 0 points if it is below 80%.</p> <p>The auditor may apply an n/a only in the case of <i>exclusively low risk administrative work sites</i> where there were no incidents or near misses.</p> <p>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.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified investigations begin promptly. • An example comment of an investigation and its associated timeline for starting, or • An example of a negative comment if applicable. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
G.3.b	Are incident investigations completed with the involvement of workers who conduct the type of work associated with the incident?	<p>INTERVIEW</p> <p>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.</p> <p>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.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>The auditing software will award full point is the score is at or above 80% and 0 points if it is below 80%.</p>	Int (0, 5)

		<p>The auditor may apply an n/a only in the case of <i>exclusively low risk administrative work sites</i> where there were no incidents or near misses.</p> <p>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.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified investigations included workers who conduct the type of work associated with the incident. • An example comment of the investigation and the inclusion or absence of a worker who conducts the type of work associated with the incident. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
G.3.c	Have completed incident investigations identified contributing and underlying factors?	<p>DOCUMENTATION</p> <p>Review a sample of completed incident investigation records. The investigations can also include near misses. Verify contributing and underlying factors (e.g. root cause(s)) were identified.</p> <p><u>Scoring:</u></p> <p>Divide the number of investigations that include contributing and underlying factors by the total number of investigations in the sample.</p> <p>Score 0% if no investigations were completed.</p> <p>The auditor may apply an n/a only in the case of <i>exclusively low risk administrative work sites</i> where there were no incidents or near misses.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of investigations that identified contributing and underlying factors. • The number of investigations in your sample. • An example of a contributing and underlying factors provided or not provided in an investigation. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Doc (0-5)
G.3.d	Does a senior manager review incident investigation reports?	<p>DOCUMENTATION</p> <p>Sample completed incident investigation records. Verify at least one senior manager (e.g., physical or electronic sign-off, documentation of date read, etc.) reviewed investigations.</p> <p><u>Scoring:</u></p>	Doc (0-5) Int (0-5)

		<p>Divide the number of investigations with documented evidence of senior management review by the total number of investigations sampled.</p> <p>Score 0% if no investigations of incidents or near misses were completed.</p> <p>The auditor may apply an n/a only in the case of <i>exclusively low risk administrative work sites</i> where there were no incidents or near misses.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of investigations that show documented evidence of senior management review. • The number of investigations in your sample. • An example of an investigation that does or does not have senior management review. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>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 twelve months.</p> <p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>The auditor may apply an n/a only in the case of <i>exclusively low risk administrative work sites</i> where there were no incidents or near misses.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified review of incident investigations. • An example comment of how or when incident investigations are or are not being reviewed by senior management. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
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G.3.e	Have corrective actions resulting from incident investigations been assigned?	<p>DOCUMENTATION</p> <p>Draw a sample of corrective actions arising from incident investigations from the past twelve months.</p> <p>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.</p> <p>For this audit question (G.3.e), verify these corrective actions have been assigned to an individual or position for completion.</p> <p>Scoring:</p> <p>Divide the number of corrective actions assigned by the total number of corrective actions in the sample.</p> <p>Score 0% if no investigations were completed.</p> <p>The auditor may apply an n/a only in the case of <i>exclusively low risk administrative work sites</i> where there were no incidents or near misses.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of corrective actions assigned. • The number of corrective actions in your sample. • An example a corrective action and the assigned individual(s), or a corrective action not assigned. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Doc (0-5)
G.3.f	Were the assigned corrective actions implemented as required?	<p>DOCUMENTATION</p> <p>Review the sample of assigned corrective actions created for G.3.e.</p> <p>Verify these assigned corrective actions have been documented as completed.</p> <p>Scoring:</p> <p>Divide the number of assigned corrective actions that were completed by the total number of assigned corrective actions using the sample from G.3.e.</p> <p>Score 0% if no investigations were completed, or no corrective actions were assigned.</p> <p>The auditor may apply an n/a only in the case of <i>exclusively low risk administrative work sites</i> where there were no incidents or near misses.</p> <p>Validation Note:</p>	Doc (0-5) Obs (0-15)

		<p>The note should include:</p> <ul style="list-style-type: none"> • The number of assigned corrective actions completed. • The number of assigned corrective actions in your sample. • An example of an assigned corrective action completed or not completed. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>OBSERVATION</p> <p>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.</p> <p>Scoring:</p> <p>Divide the number of corrective actions implemented by the total number corrective actions anticipated for the work site visit(s).</p> <p>The auditor may only apply an n/a in these circumstances:</p> <ul style="list-style-type: none"> • If corrective actions for investigations from the work sites visited are not observable at the work site. • If there were no investigations <i>for the work sites covered by this audit</i>. • If the company only has <i>exclusively low risk administrative work sites</i>, where there were no incidents or near misses. <p>Otherwise, score 0% if no investigations were completed.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of corrective actions observed as implemented on the work site. • The number of corrective actions anticipated to be observed. • An example of a corrective action that was or was not implemented. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
G.3.g	Were the assigned corrective actions completed in a timely manner?	<p>DOCUMENTATION</p> <p>Review the sample of assigned corrective actions from investigations created for G.3.e. Verify the completed corrective actions were completed <i>in a timely manner</i>.</p> <p>If a target date for implementation was documented, this should be taken as the measure for “timely” implementation. Otherwise, auditor judgment may be applied.</p> <p>Scoring:</p>	Doc (0-5) Int (0-5)

		<p>Divide the number of assigned corrective actions that were completed in a timely manner by the total number of corrective actions in the original sample from G.3.e.</p> <p>Score 0%, if no investigations were completed, or if no corrective actions were assigned.</p> <p>The auditor may apply an n/a only in the case of <i>exclusively low risk administrative work sites</i> where there were no incidents or near misses.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of assigned corrective actions that were completed in a timely manner. • The number of assigned corrective actions in your sample. • An example of a corrective action that demonstrated or failed to demonstrate timely implementation. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>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.</p> <p><u>Scoring:</u></p> <p>The score is based on the percentage of interviewees that verify corrective actions following an incident investigation are completed in a timely manner.</p> <p>The auditor may only apply an n/a in these circumstances:</p> <ul style="list-style-type: none"> • If the sample of supervisors or workers interviewed does not include any supervisor's and workers <i>from work sites that had an incident investigation.</i> • If the company only has <i>exclusively low risk administrative work sites</i>, where there were no incidents or near misses. <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified timely completion of corrective actions resulting from investigations. • An example comment of a corrective action that was or was not addressed in a timely manner. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
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G.3.h	Are incident investigation findings communicated to employees?	<p>DOCUMENTATION</p> <p>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.</p> <p>Scoring:</p> <p>Divide the number of investigations that had findings communicated by the total number of investigations sampled.</p> <p>Score 0% if no investigations were completed.</p> <p>The auditor may apply an n/a only in the case of <i>exclusively low risk administrative work sites</i> where there were no incidents or near misses.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of investigations that had their findings communicated. • The number of investigations in your sample. • An example of how investigation findings or a summary of findings were or were not communicated. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>Interview employees who were on a work site where an incident occurred. Determine if they were made aware of investigation findings.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewees that confirm they were made aware of investigation findings from incident investigations on their work sites.</p> <p>The auditor may only apply an n/a in these circumstances:</p> <ul style="list-style-type: none"> • If the sample of workers interviewed does not include any workers <i>from work sites that had an incident investigation</i>. • If the company only has <i>exclusively low risk administrative work sites</i>, where there were no incidents or near misses. <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified receiving incident investigation findings for incidents on their work sites. 	Doc (0-2) Int (0-2)
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		<ul style="list-style-type: none"> An example comment of how or when investigation findings for a work site was or was not communicated. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
4. Statistical Analysis			
G.4.a	Are statistics relating to health and safety collected at least annually?	<p>DOCUMENTATION</p> <p>Review any documents that demonstrate health and safety statistics were gathered. Examples may include:</p> <ul style="list-style-type: none"> Incident frequency and severity statistics Type and nature of worker injuries Log of incidents and near misses Behaviour based safety observations Training, orientations, safety meetings, inspections conducted <p>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.</p> <p>Scoring</p> <p>Score 100% if health and safety statistics are collected at least annually.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> The score assigned. An example of the type of health and safety statistics that are or should be collected, or The method and frequency used to collect health and safety statistics, or Justify why 0% was awarded. 	Doc (0, 5)
G.4.b	Are health and safety statistics analyzed to identify trends?	<p>DOCUMENTATION</p> <p>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. Examples of trending may include:</p> <ul style="list-style-type: none"> The company has an increased number of slips in the month of December. Completing a certain task leads to the reporting of hand injuries. Safety meetings are increasingly being conducted as required. 	Doc (0, 5) Int (0-5)

		<p><u>Scoring:</u></p> <p>Score 100% if there is evidence of the company analyzing their health and safety statistics.</p> <p>Score 0% if no points were awarded in G.4.a.</p> <p>Auditor may apply n/a for small companies with low risk or primarily administrative tasks that fail to produce statistically significant results.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The score assigned. • An example of the type of analysis applied to the health and safety statistics, or • An example of a trend identified based on that analysis, or • Justify why 0% was awarded <p>*If n/a is applied for documentation, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>Interview senior managers, middle managers, supervisors, and members of health and safety committees (where applicable) to verify their familiarity with trends or the process to identify trends (e.g., common root causes, trends in injury statistics or leading indicators, etc.).</p> <p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Auditor may apply n/a for small companies with low risk or primarily administrative tasks that fail to produce statistically significant results.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified familiarity with their company’s health and safety trends or the process used to identify trends. • An example comment of the trends identified or process used to identify trends, or • An example of a negative comment if applicable. 	
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Element H: System Administration

1. Safety Communication

H.1.a	<p>Does the company mandate two-way communication, on current health and safety issues that includes?</p> <ul style="list-style-type: none"> • Scheduled frequency, and • All employee levels. 	<p>DOCUMENTATION</p> <p>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.</p> <p>Scoring:</p> <p>Score 100% if there is an established frequency for regular two-way communications of health and safety issues that includes all employee levels.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>Note should include:</p> <ul style="list-style-type: none"> • The score applied. • An example of a type and frequency of two-way communication designed for all employees, or • Justify why 0% was awarded. 	Doc (0, 5)
H.1.b	<p>Are two-way communications being conducted as required?</p>	<p>DOCUMENTATION</p> <p>Review a sample of two-way safety communication records. Verify they follow the established frequency established in H.1.a.</p> <p>Scoring:</p> <p>Divide the number of records that demonstrate compliance with the established frequency by the total number of records in the sample.</p> <p>If H.1a did not identify a frequency, then score 0%</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of records that demonstrate compliance with the established frequency. • The number of records that were in the sample. • An example of a form of two-way communication that is or is not being regularly conducted per the established frequency. <p>INTERVIEW</p>	Doc (0-10) Int (0-10)

		<p>Interview all employees to confirm their participation in regular two-way safety communication.</p> <p>Scoring: The score is based on the percentage of employees that can confirm their participation in regular two-way safety communication.</p> <p>Validation Note: The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that confirm their participation in the company’s two-way safety communication process. • An example of a comment related to participation or lack of participation in this communication. 	
H.1.c	<p>Are health and safety concerns identified through the two-way communications corrected in a timely manner?</p>	<p>DOCUMENTATION</p> <p>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”.</p> <p>Scoring: Divide the number of concerns that were addressed by the company in a timely manner by the total number of concerns sampled.</p> <p>Validation Note: The note should include:</p> <ul style="list-style-type: none"> • The number of health and safety concerns that were addressed in a timely manner. • The number of health and safety concerns in your sample. • An example of a health and safety concern that was or was not addressed in a timely manner. <p>INTERVIEW</p> <p>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.</p> <p>Scoring: The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Validation Note:</p>	<p>Doc (0-4) Int (0-6) Obs (0-10)</p>

		<p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that verified issues raised in two-way safety communication were addressed in a timely manner. • An example of a comment regarding timely responses to safety concerns raised, or • An example of a negative comment if applicable. <p>OBSERVATION</p> <p>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.</p> <p><u>Scoring:</u></p> <p>Divide the corrective actions verified as completed during the site visit(s) by the total sample of corrective actions arising from two-way communication.</p> <p>Auditor may apply an n/a to the observation validation if available corrective actions are not observable at the work site visited.</p> <p><u>Verification Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of corrective actions completed. • The number of corrective actions anticipated to have been completed. • An example of a deficiency and associated corrective action that was or was not completed. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
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2. Safety Records

<p>H.2.a</p>	<p>Are the following records retained for at least a complete audit cycle (3yrs, or from start of the health and safety system if less than 3 years)?</p> <ol style="list-style-type: none"> 1. training records, 2. inspections, 3. first aid records, 4. incident reports, 5. incident investigations, and 6. safety meeting minutes. 	<p>DOCUMENTATION</p> <p>Review the types of records listed in the question. Verify they are each being maintained for at least one full audit cycle (3yrs, or from start of the health and safety system if less than 3 years). Retention can be electronic or hard copies.</p> <p>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.</p> <p>Scoring:</p> <p>Divide the types of records maintained for three years or longer by 6.</p> <p>For example, if a company maintains all the listed types of records except incident reports and investigations, you would score 67% (4/6).</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 6 record types have been retained as required. • Any record type(s) that do not meet the standard. • An example of how one of the record types is retained and for how long, or • How the standard has not been met. 	<p>Doc (0-6)</p>
<p>H.2.b</p>	<p>Is health and safety information readily available to all employees?</p>	<p>OBSERVATION</p> <p>Through work site observation verify that health and safety information such as hazard assessments, inspections, and procedures are readily available to employees.</p> <p>Scoring:</p> <p>Score 100%, if health and safety information was readily available to employees <i>for all work sites sampled</i>.</p> <p>Score 0% <i>if any work sites sampled</i> did not have the health and safety information readily available.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The score awarded. • The number of locations where health and safety information was readily available to employees. 	<p>Obs (0, 5)</p>

3. Health and Safety Management System Evaluation

H.3.a	Does the company mandate continuous improvement of the Occupational Health and Safety Management System?	<p>DOCUMENTATION</p> <p>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 PASE or Action Plans.</p> <p>Scoring:</p> <p>Score 100% if there is a mandate for company mandate continuous improvement of the OHSMS Score 0% otherwise.</p> <p><i>Note: seeing/knowing that the company does annual audits does not count towards this question unless it is stated that it is a requirement in their safety program.</i></p> <p>Validation Note:</p> <p>Note should include:</p> <ul style="list-style-type: none"> • The score applied. • A description of the continuous improvement system applied, or • Justify why 0% was awarded. 	Doc (0, 2)
H.3.b	Is senior management accountable for the implementation of the health and safety system?	<p>INTERVIEW</p> <p>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.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that can describe their involvement in improving performance of the health and safety system, and how they are held accountable. • An example of a comment of their involvement and how they are held accountable, or not held accountable. 	Int (0-4)

<p>H.3.c</p>	<p>Do senior managers review the results of the previous year’s audit to initiate improvements where applicable and to set the strategic direction?</p>	<p>Definition: Strategic Direction</p> <p>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.</p> <p>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.</p> <p>DOCUMENTATION:</p> <p>Review records that verify Senior Management reviews audit results to initiate improvements (where applicable) and to set strategic directives, for example:</p> <ul style="list-style-type: none"> • Meeting minutes • Town hall presentations • Emails • Management Reports <p>Scoring:</p> <p>Score 100% if there was documented evidence of senior management review of audit results with initiation improvements (where applicable) and setting of strategic directives.</p> <p>Score 0% if it was not.</p> <p>The auditor may apply an n/a if the company did not perform a COR or SECOR audit or maintenance option the previous year.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The score applied. • At least one example of an improvement initiated or a strategic directive if scoring 100%. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>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.</p> <p>Scoring:</p>	<p>Doc (0,4) Int (0-4)</p>
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		<p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that confirm they completed a review of the previous audit results, initiated improvements (where applicable), and set of strategic directives. • An example of a comment on the initiation or lack of initiation on improvements. • An example of a comment on the setting or lack of setting of strategic initiatives. 	
H.3.d	Has an action plan been developed to address the recommendations from the previous COR (or SECOR) audit?	<p>DOCUMENTATION</p> <p>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.</p> <p><u>Scoring:</u></p> <p>Score 100% if an action plan was developed.</p> <p>Score 0% if it was not.</p> <p>The auditor may apply an n/a if the company did not perform a COR or SECOR audit or maintenance option the previous year.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The score applied. • An example of what was included in the corrective action plan; or • Justify why 0% was awarded. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>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.</p> <p><u>Score:</u></p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p>	Doc (0, 8) Int (0-10)

		<p>The auditor may apply an n/a if the company did not perform a COR or SECOR audit or maintenance option the previous year.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that were aware of a corrective action plan from the previous SECOR/COR audit. • An example of a comment regarding the corrective action plan or lack of knowledge of that plan. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
H.3.e	<p>Have the action items identified from the previous COR (or SECOR) audit been implemented or initiated?</p>	<p>DOCUMENTATION</p> <p>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.</p> <p><u>Scoring:</u></p> <p>Divide the number of action items that were initiated or completed by the total number of action items that were in the sample.</p> <p>Score 0% if H.3.d scored 0.</p> <p>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.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of action items that were initiated or completed from the previous years COR or SECOR audit or maintenance options. • The number of action items in your sample. • An example of an action item completed or not completed. <p>* If n/a is applied, auditor must justify n/a in the note.</p>	Doc (0-8)

H.3.f	Have the results of the previous COR (or SECOR) audit been communicated to employees?	<p>INTERVIEW</p> <p>Interview all employees to determine if the general results of the previous SECOR/COR audit or maintenance option was communicated.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>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.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that confirmed the results of the previous COR or SECOR audit or maintenance option. • An example of a comment on how or when the COR or SECOR results were communicated. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-8)
Element I: Other Affected Parties			
1. Other Affected Parties			
I.1.a	Are other employers and self-employed persons made aware of the health and safety policy through some form of distribution of the policy?	<p>INTERVIEW</p> <p>Interview employees responsible for hiring other employers and self-employed persons to determine if they are aware of one or more of the methods used by the company to distribute the health and safety policy to other employers and/or self-employed persons, for example:</p> <ul style="list-style-type: none"> • Orientation materials • Public posting • Electronic distribution • Copies of safety manuals • Contracts or Pre-qualifications <p>Interview other employers and self-employed persons as well if available.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p>	Int (0-20)

		<p>The auditor may apply an n/a if the company has not hired any new other employers and self-employed persons in the past 12 months.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally of employees able to describe policy distribution. • An example comment of a distribution method that is specific to other employers and self-employed persons, or • An example of a negative comment if applicable. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
I.1.b	<p>Are specific health and safety responsibilities written for other employers and self-employed persons and visitors?</p>	<p>DOCUMENTATION</p> <p>Review policies or other documents that may contain health and safety responsibilities for other employers and self-employed persons and visitors, for example:</p> <ul style="list-style-type: none"> • Safety manuals • Brochures or handouts • Orientation checklists • Presentations before entering workplace <p><u>Scoring:</u></p> <p>Score 50% for having health and safety responsibilities <i>for either</i> other employers and self-employed persons or visitors.</p> <p>Score 100% for having health and safety responsibilities <i>for both</i> other employers and self-employed persons and visitors.</p> <p>Otherwise, score 0%.</p> <p>** Evaluate and score once, at the head office location.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage awarded and justification for doing so. • At least one example of a documented responsibility for other employers and self-employed persons or visitors. 	Doc (0-14)

I.1.c	<p>Does the company have a process in place to addresses the protection of other affected parties not under the employer’s direction?</p>	<p>DOCUMENTATION</p> <p>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 (the general public, mail carriers, etc.) in the vicinity of work that is being carried out.</p> <p>Scoring:</p> <p>Score 100% if a statement within a policy or procedure addressing the requirements is found, Score 0% otherwise.</p> <p>Validation Note:</p> <p>Note should include:</p> <ul style="list-style-type: none"> • The score applied. • A summary of how the process addressed the protection of others at the worksite not directed by the employer. 	Doc (0,12)
I.1.d	<p>Have criteria been established for selecting, monitoring and evaluating other employers and self-employed persons that includes?</p> <ol style="list-style-type: none"> 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; 4. A process to address non-compliance and evaluate any improvement opportunities for future contracts. 	<p>DOCUMENTATION</p> <p>Review documentation to verify if criteria have been established for selecting, monitoring and evaluating other employers and self-employed persons, 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.</p> <p>Scoring:</p> <p>The score is based on the percentage of positive indicators.</p> <p>Auditor may apply an n/a if other employers and/or self-employed persons are not used.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • How many of the 4 criteria are met. • Any criteria not found. • An example of how one of the criteria is or is not addressed. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Doc (0-12)

I.1.e	<p>Is there a process to ensure site-specific orientations are completed for?</p> <ul style="list-style-type: none"> visitors, and other employers and self-employed persons 	<p>DOCUMENTATION</p> <p>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 and self-employed persons. The company itself or another party on the work site may conduct site-specific orientations.</p> <p>If a process to ensure site-specific orientation exists, confirm:</p> <ul style="list-style-type: none"> If the nature of the company’s work site(s) requires orientations for employees when arriving at a work site for the first time, or for newly arriving other employers and self-employed persons, and visitors. Orientations are being completed prior to commencing any work activities (the process on how the company confirms this, or documented orientations) <p>Scoring:</p> <p>Score 50% for having site-specific orientations <i>for only having identified one of either</i> other employers and self-employed persons or visitors.</p> <p>Score 100% for having site-specific orientations <i>for both</i> other employers and self-employed persons and visitors.</p> <p>Otherwise, score 0%.</p> <p>* If the auditor can confirm the company does not use other employers and/or self-employed persons, the auditor should score based on visitors only.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> The percentage awarded and justification for doing so. How site-specific orientations were confirmed. 	Doc (0-14)
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I.1.f	Is there a process to ensure hazards and controls are communicated to visitors and external work site parties (e.g. other employers and self-employed persons, suppliers, prime contractors, etc.) conducting activities at a work site or receiving products?	<p>INTERVIEW</p> <p>Interview employees responsible for managing visitors and external work site parties or those responsible for safety communication. Interview visitors or other employers and/or self-employed persons as well if available.</p> <p>Determine if visitors and external work site parties are included in some form of two-way safety communication which addresses site hazards and controls in place.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Auditor may apply an n/a if visitors and external work site parties are not typically present on company work sites.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that confirm visitors and external work site parties are included in some form of two-way safety communication which addresses hazards and controls. • An example of a comment regarding the communication of hazards and controls with visitors and external work site parties. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-15)
I.1.g	Is there a system to ensure other employers and self-employed persons are advised when operational changes are made that may affect their health and safety?	<p>INTERVIEW</p> <p>Interview employees responsible for managing other employers and self-employed persons or those responsible for safety communication. Interview other employers and self-employed persons as well if available.</p> <p>Determine if other employers and self-employed persons are advised when operational changes are made that may affect their health or safety at the work site.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Auditor may apply an n/a other employers and/or self-employed persons are not typically present on company work sites.</p> <p>Validation Note:</p> <p>The note should include:</p>	Int (0-15)

		<ul style="list-style-type: none"> • The percentage or tally of responses that confirm other employers and/or self-employed persons are advised when operational changes are made that may affect their health and safety. • An example of a comment regarding the communication of operational changes with other employers and/or self-employed persons. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
I.1.h	Is health and safety information readily available to all affected work site parties (other employers and self-employed persons, suppliers, prime contractors, etc.)?	<p>OBSERVATION</p> <p>Through work site observation verify that health and safety information such as hazard assessments, inspections, and procedures are readily available to all affected work site parties.</p> <p>Scoring:</p> <p>Score 100%, if health and safety information was readily available to all affected work site parties <i>for all work sites sampled</i>.</p> <p>Score 0% <i>if any work sites sampled</i> did not have the health and safety information readily available.</p> <p>Auditor may apply an n/a if other employers and/or self-employed persons are not typically present on company work sites.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The score awarded. • The number of locations where health and safety information was readily available to all affected work site parties. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	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 the entire Element.

1. Design of the Health and Safety Committee

J.1.a	Does the company have a health and safety representative policy or procedure in place which includes all legislated requirements for a health and safety representative?	<p>DOCUMENTATION</p> <p>Verify if the company has a written policy or procedure outlining the requirements of the health and safety (HS) representative(s) which includes:</p> <ul style="list-style-type: none"> • Requirement to designate a representative(s) • Reporting to management • Term in office <p>Scoring:</p> <p>Score 100% if the documentation establishes a policy or procedure meeting the legislated requirements.</p> <p>Score 0% otherwise.</p> <p><i>Apply n/a where the company has not met the requirements to have a HS representative in place.</i></p> <p>Validation Note:</p> <p>Note should include:</p> <ul style="list-style-type: none"> • The score applied. • At least one company-specific detail about the HS representative’s duties from the policy or procedure. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Doc (0, 3)
J.1.b	Does the health and safety committee have term of reference in place which meets legislated requirements?	<p>DOCUMENTATION</p> <p>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. Terms of Reference must include:</p> <ul style="list-style-type: none"> • Membership requirements • Meeting frequencies • Meeting quorum • Reporting to management • Term of office <p>Scoring:</p>	Doc (0, 6)

		<p>Score 100% if the company has terms of reference for its HSC that meets the legislated requirements for the jurisdictions in which it operates.</p> <p>Score 0% if no terms of reference were found.</p> <p><i>Apply n/a where the company has not met the requirements to have a HSC in place.</i></p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percent awarded. • A detail from the terms of reference, or • An explanation of why 0% was awarded. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
J.1.c	Does the company have health and safety representation as required by legislation?	<p>DOCUMENTATION</p> <p>Review the health and safety committee terms of reference or meeting minutes to establish the company has health and safety representation appropriate for the size of its workforce.</p> <p><u>Scoring:</u></p> <p>Score 100% if the documentation establishes the proper representation is in place.</p> <p>Score 0% otherwise.</p> <p><u>Validation Note:</u></p> <p>Note should include:</p> <ul style="list-style-type: none"> • The referenced document(s). • A summary of how the company has met its legislated health and safety representation. • The score applied. 	Doc (0, 3)
J.1.d	Have the names and contact information of the health and safety committee members or representative been posted?	<p>OBSERVATION</p> <p>Verify through observation that the names and contact information for the health and safety committee members or representative been conspicuously posted at each represented work site.</p> <p><u>Scoring:</u></p> <p>Divide the number of locations where the contact information appears as expected by total number of locations observed (where it should have appeared).</p> <p><u>Validation Note:</u></p> <p>The note should include:</p>	Obs (0-6)

		<ul style="list-style-type: none"> • The number of locations where the contact information was found. • The number of locations where the contact information was expected to be found. • An example of where the contact information appeared or should have appeared. 	
J.1.e	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?	<p>DOCUMENTATION</p> <p>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.</p> <p>Scoring:</p> <p>Score 100% 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.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>Note should include:</p> <ul style="list-style-type: none"> • The score applied. • A summary of how concerns and complaints are addressed. 	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?	<p>INTERVIEW</p> <p>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).</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that demonstrated awareness of how they can bring forward any concerns. • An example of a comment regarding how they have brought or could bring forward any concerns. 	Int (0-5)

J.2.b	Have duties been written for the HSC and/or HS representative(s) which meet legislated requirements?	<p>DOCUMENTATION</p> <p>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.</p> <p>Scoring:</p> <p>Score 100% if the documentation establishes that duties been written for the HSC and/or HS representative(s) as required.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>Note should include:</p> <ul style="list-style-type: none"> • The score applied. • An example of a duties written for the HSC or HS representative. 	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?	<p>DOCUMENTATION</p> <p>Review training records to verify that the current health and safety co-chairs and/or representative(s) have received required 3rd party training for their role per legislative requirements based on the jurisdiction in which they operate.</p> <p>Scoring:</p> <p>Enter 100% if training records verify appropriate training.</p> <p>Enter 0% otherwise.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The score applied. • A summary description of the training provided or the lack of training to justify the score. <p>INTERVIEW</p> <p>Interview HSC members(s) or HS representative(s) to verify training applicable to their role.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p>	Doc (0, 4) Int (0-6)

		<p><u>Validation Note:</u></p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally that verify receiving training applicable to their role. • At least one typical comment regarding training provided or not provided. 	
J.2.d	Do the HSC members and/or the HS representative understand their duties and responsibilities?	<p>INTERVIEW</p> <p>Interview HSC chairperson(s) or HS representative(s) to verify they understand their duties and responsibilities.</p> <p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that verify understanding of their duties and responsibilities. • At least one typical comment regarding their duties and responsibilities. 	Int (0-5)
J.2.e	Are health and safety meeting minutes maintained for all health and safety committee (HSC) meetings as required by legislation?	<p>DOCUMENTATION</p> <p>Determine the number of health and safety committee (HSC) meetings held in the previous twelve months. Verify meeting minutes exist for all scheduled meetings.</p> <p><u>Scoring:</u></p> <p>Divide the number of meetings with completed minutes available by the total number of meeting held.</p> <p>*n/a may be applied if no HSC is required.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of meetings with properly maintained minutes. • The number of expected meetings in your sample. • An example of a meeting with completed minutes or a company specific detail about the meeting minutes. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Doc (0-5)
J.2.f	Are HSC meeting minutes communicated/made readily available to all employees?	<p>INTERVIEW</p>	Int (0-10)

		<p>Interview all employees to verify their awareness of the HSC meetings and/or activities.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>*n/a may be applied if no HSC is required.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that demonstrated awareness of the HSC meeting and/or activities. • An example of a comment regarding the HSC meetings or activities. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
J.2.g	Is there tracking and timely follow up of corrective actions, including concerns or complaints generated by the HSC meetings?	<p>DOCUMENTATION</p> <p>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.</p> <p>Scoring:</p> <p>Divide the number corrective action that are subject to tracking and timely follow up by the total number of corrective actions sampled.</p> <p>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.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of action items that were tracked and followed up in a timely manner. • The number of action items in your sample. • An example of an action item that was or was not tracked and followed up in a timely manner. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p>	Doc (0-5) Int (0-10) Obs (0-20)

		<p>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.</p> <p><u>Scoring:</u></p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>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.</p> <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that verified health and safety issues, concerns or complaints raised in the meetings are addressed. • An example of a comment regarding timely following up or not following up corrective action items. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>OBSERVATION</p> <p>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.</p> <p><u>Scoring:</u></p> <p>Divide the number of action items implemented by the total number reviewed during the site visit(s).</p> <p>Auditor may apply n/a on observations scoring for three reasons:</p> <ul style="list-style-type: none"> • 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. <p><u>Validation Note:</u></p> <p>The note should include:</p> <ul style="list-style-type: none"> • The number of action items that were implemented. • The number of action items in your sample. • An example of a corrective action that was or was not implemented. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
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3. Health and Safety Committee Involvement

<p>J.3.a</p>	<p>Do HSC members and/or the HS representative participate in health and safety activities?</p>	<p>INTERVIEW</p> <p>Interview committee members or the health and safety representative. Confirm they are participating <i>in one or more</i> of the following activities:</p> <ul style="list-style-type: none"> • responding to workers health and safety concerns and complaints, • conducting inspections, • participation in hazard and control identification, • participation in incident investigations, • developing health and safety policies and procedures, • new hire orientations, • developing and promoting health and safety measures and verifying effectiveness, • making recommendations to improve the health and safety management system, • developing and promoting education and training programs, • review of dangerous occurrences and work refusals, and • maintaining records pertaining to the committee associates with the above duties. <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that confirm their participation in at least one of the listed activities. • An example of a comment regarding participation one or more of the activities listed, or • An example of a negative comment if applicable. 	<p>Int (0-10)</p>
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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?	<p>INTERVIEW</p> <p>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.</p> <p>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p> <p>Validation Note:</p> <p>The note should include:</p> <ul style="list-style-type: none"> • The percentage or tally that demonstrated awareness of how they receive the recommendations. • An example of a comment regarding how they are receiving recommendations. 	Int (0-10)
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Element K: Injury Management (IM) / Return to Work (RTW)

NOTE: ONLY USED FOR BC Companies Currently holding an Injury Management/RTW Certificate - Auditors must have completed the required training to conduct the IM/RTW Audit.

1. Injury Management, RTW

K.1.a	Is there a corporate policy, statement or letter of intent outlining the company's commitment to the Injury Management/RTW Program that details the programs objectives?	<p>DOCUMENTATION</p> <p>Review documentation supporting an Injury Management/RTW Program. If there is a policy or letter of intent award 20 points. This document shall outline both the objectives of the program and include an indication of commitment to the Injury Management/RTW Program for points to be awarded.</p> <p><i>Note: Some employers may include their Injury Management/RTW policy's part of their overall Safety Management Policy.</i></p> <p>OBSERVATION</p> <p>If the document is posted in at least 70% of fixed workplaces (e.g. offices, shops, mobile offices?) award 10 points.</p>	Doc (0, 20) Obs (0,10)
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K.1.b	Is there a written Injury Management/ RTW Program?	<p>DOCUMENTATION</p> <p>Confirm proof of a written Injury Management/RTW Program. Award 20 points if there is a written Injury Management/RTW Program that contains at a minimum:</p> <ul style="list-style-type: none"> • Policy • Responsibilities • Employee Training • Processes for managing injuries/RTW 	Doc (0, 20)
K.1.c	Are outcomes of the Injury Management/ RTW Program tracked?	<p>DOCUMENTATION</p> <p>Review documentation to determine if outcomes are tracked. Award 10 points if outcomes are tracked in at least 70% of the documents reviewed.</p>	Doc (0, 10)
K.1.d	Are outcomes of the Injury Management/ RTW Program analyzed?	<p>DOCUMENTATION</p> <p>Review documentation to determine if outcomes are analyzed. Award 10 points if outcomes are analyzed in at least 70% of the documents reviewed.</p>	Doc (0, 10)
K.1.e	Is the analysis of program outcomes utilized to improve the program?	<p>INTERVIEW</p> <p>Interview management to determine if actions are implemented to address the opportunities identified. If information is reviewed and actions are implemented as evidenced by a minimum of 70% positive responses, award 30 points</p>	Int (0, 30)

2. Resources, Education and Training

K.2.a	Have the duties of an Injury Management/ RTW Coordinator been assigned and does this outline the authority to establish and implement RTW plans?	<p>DOCUMENTATION</p> <p>Review roles and responsibilities document to determine if program coordination duties have been assigned. If duties have been assigned award 10 points.</p> <p>INTERVIEW</p> <p>Interview workers, supervisors and managers to determine if authority to establish RTW plans is known. If authority is known as evidenced by a minimum of 70% positive responses, award 10 points.</p>	Doc (0, 10) Int (0, 10)
K.2.b	Has education been provided to ensure the coordinator understands Injury Management/ RTW Program's?	<p>DOCUMENTATION</p> <p>Review training records or credentials of the coordinator to determine if training on Injury Management/RTW programs has taken place. If training has taken place, award 15 points.</p>	Doc (0, 15)
K.2.c	Does the individual assigned the duties of the Injury Management/ RTW Coordinator have an awareness of legislation relevant to Injury Management/ RTW? (i.e. Human Rights, Workers Compensation)	<p>INTERVIEW</p> <p>Interview Injury Management/RTW Program coordinator to determine awareness of Human Rights and Workers Compensation legislation. The Injury Management/RTW coordinator should, at minimum, know where to access the information. If awareness is apparent, award 15 points.</p>	Int (0, 15)
K.2.d	Are policies and/or procedures in place regarding retention of records? (e.g. Return to Work and Stay at Work)	<p>DOCUMENTATION</p> <p>Review policies/procedures to determine if records are retained for the required number of years. If policy/procedures are established for retention of records, award 10 points.</p>	Doc (0, 10)
K.2.e	Have relevant groups, such as Human Resources, Injury Management/ RTW and/or OHS, been educated in privacy issues related to Injury Management/ RTW?	<p>DOCUMENTATION</p> <p>Review records to determine if education on privacy issues has been provided. If records indicate education has been provided to at least 70% of employees within the relevant groups, award 10 points.</p>	Doc (0, 10)

3. Stay at Work and Return to Work

K.3.a	<p>Does the company have a written process (series of steps) for dealing with all Injury Management/ RTW cases and is this posted?</p>	<p>DOCUMENTATION</p> <p>Review documentation to determine if a written process is outlined. If a process exists, award 5 points.</p> <p><i>Note: The process should provide the employer's summarized step-by-step instruction for injury management. For example:</i></p> <ul style="list-style-type: none"> 1- 1st response to injury 2- workers reporting requirements 3- contact with worker 4- supervisors/managers requirements for reporting to employer 5- employer's requirements for reporting 6- employer's requirements for reintegrating worker back into workforce. <p>OBSERVATION</p> <p>If the process is posted in at least 70% of conspicuous places available to all employees, award 10 points</p> <p><i>Note: Where there is no opportunity to post information for workers, documentation detailing the process must be readily accessible by workers through an alternate means which meets the intent of posting information.</i></p>	<p>Doc (0,5) Obs (0,10)</p>
K.3.b	<p>Does the company have a "Stay at Work" initiative as part of their Injury Management/ RTW program?</p>	<p>DOCUMENTATION</p> <p>Review procedures to determine if a "Stay at Work" process is outlined. If procedures are established for a "Stay at Work" process award 15 points.</p>	<p>Doc (0, 15)</p>
K.3.c	<p>Does the company have alternate duties identified in writing? (meaningful/productive duties)</p> <p>Are supervisors aware that they can offer modified duties when required?</p>	<p>DOCUMENTATION</p> <p>Review program documentation to determine if possible alternate duties are identified. If alternate duties have been identified in writing, award 10 points.</p> <p>INTERVIEW</p> <p>Interview supervisors to determine if they have knowledge of the possibility of providing modified or alternate work to injured workers. If supervisors are aware that they can offer alternate duties as evidenced by a minimum of 70% positive responses, award 10 points.</p>	<p>Doc (0,10) Int (0,10)</p>

K.3.d	Is education on "Stay at Work" procedures provided to contact personnel and are these procedures being followed?	<p>DOCUMENTATION</p> <p>Review documentation to determine if education for contact personnel has taken place? If documentation supports this for at least 80% of contact personnel, award 10 points.</p> <p>INTERVIEW</p> <p>Interview contact personnel to determine if procedures are being followed. Award points based on % of positive responses</p>	Doc (0,10) Int (0,10)
K.3.e	Is there a guideline in place outlining when contact is first made with the injured worker, or in some circumstances their emergency contact, who is absent from work? And, is this guideline being followed?	<p>DOCUMENTATION</p> <p>Review documentation outlining the Injury Management /RTW process to determine if timelines are established. If timelines are established, award 10 points.</p> <p>INTERVIEW</p> <p>Interview Injury Management /RTW coordinator and injured workers to determine if guideline is being followed. Award points based on % of positive responses.</p>	Doc (0,10) Int (0,10)
K.3.f (i)	Is there a process to monitor return to work plans and is the process being followed?	<p>DOCUMENTATION</p> <p>Review documentation to determine if there is a written process to monitor Injury Management /RTW plans. If monitoring of plans is documented, award 15 points.</p>	Doc (0,15)
K.3.f (ii)	Is there a process to monitor return to work plans and is the process being followed?	<p>DOCUMENTATION</p> <p>If monitoring of plans is documented and this process is being followed, as evidenced by a minimum of 70% of the RTW plans award 15 points.</p>	Doc (0,15)
K.3.g	Are end dates established for all Injury Management/ RTW plans?	<p>DOCUMENTATION</p> <p>Review documentation to determine if all Injury Management/RTW plans have an established end date. If end dates are established for 70% of the plans, award 10 points. Note: Exclude consideration of plans for which an end date is medically undeterminable or for which the medical information does not indicate an end date.</p>	Doc (0,10)

K.3.h	Are Injury Management/ RTW plans modified to reflect progression of healing?	<p>DOCUMENTATION</p> <p>Review documentation to determine if Injury Management/RTW plans are being modified, or if there is a process in place to consider modification, based on the progression or non-progression of the worker's abilities. If it is standard practice to modify Injury Management/RTW plans based on the worker's abilities, award 10 points.</p>	Doc (0,10)
K.3.i	Are workers and supervisors knowledgeable of the reporting process and requirements under workers compensation legislation? (worker and employer responsibilities for reporting injuries)	<p>INTERVIEW</p> <p>Interview workers and supervisors to determine their knowledge of the reporting process. Award points based on the % of positive responses.</p>	Int (0-10)
K.3.j	Do company policies and/or procedures support a coordinated approach to Injury Management/ RTW?	<p>DOCUMENTATION</p> <p>Review documentation to determine if policies and/or procedures reflect coordination between the injured worker, supervisor, RTW coordinator, union (if present) and HR department (if present) If documentation supports coordination, award 10 points.</p>	Doc (0,10)
K.3.k	Do various departments work together and support the same objectives? (i.e. Human Resources, Health and Safety, Injury Management/ RTW departments, if separate)	<p>INTERVIEW</p> <p>Interview members of the individual departments to determine if they work together to support the objectives of an Injury Management/RTW Program. If groups work together to support the Injury Management/RTW process as evidenced by a minimum of 70% positive responses award 10 points.</p>	Int (0,10)

4. Communication

K.4.a	Have Injury Management/ RTW policies and procedures been effectively communicated to all workers, supervisors and managers?	<p>DOCUMENTATION</p> <p>Review documentation (training records, shop safety meeting minutes, safety committee minutes) to determine if policies and procedures have been communicated to all employees. If Injury Management/RTW policies and procedures have been communicated to at least 90% of employees as evidenced by a systematic process to provide Injury Management/RTW information to the workforce, award 20 points.</p> <p>INTERVIEW</p> <p>Interview employees to determine awareness of the Injury Management/RTW Program. Award points based on % of positive responses.</p>	Doc (0,20) Int (0-25)
K.4.b	Does the employer actively promote the benefits of the Injury Management/ RTW Program?	<p>INTERVIEW</p> <p>Interview workers and supervisors to determine if the program is actively promoted. Award point based on % of positive responses.</p> <p>OBSERVATION</p> <p>If promotional information is posted in at least 70% of workplaces award 10 points.</p> <p><i>Note: Where there is no opportunity to post information for workers, it may be determined to be acceptable if the employer has distributed printed information to workers.</i></p>	Int (0,10) Obs (0,10)
K.4.c	Are new employees provided with information on the Injury Management/RTW Program at a new employee orientation?	<p>Either D or O, not both</p> <p>DOCUMENTATION</p> <p>Review training documentation to determine if Injury Management/RTW Program information is provided in a new employee orientation. If documentation includes information on the Injury Management/RTW Program award 20 points</p> <p>OBSERVATION</p> <p>Attend a new employee orientation to determine if new workers are provided with an outline of the Injury Management/RTW Program. If workers are provided with information, award 20 points. (If an orientation is not scheduled, document review can be used to obtain this information.)</p>	Doc (0,20) or Obs (0,20)

K.4.d	<p>Are medical practitioners advised of the company's Injury Management/RTW initiatives? (The employer has a process to communicate with medical practitioners outlining the ability to accommodate injured workers. An example commonly used is a written package sent with the injured worker to the physician)</p>	<p>DOCUMENTATION</p> <p>Review documentation to determine if a process is in place to make medical practitioners aware of the Injury Management/RTW program (the ability of the employer to provide alternate or modified duties.) If communication process has been established, award 20 points.</p>	Doc (0,20)
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