

2019 COR AUDIT PROTOCOL				2015 COR AUDIT PROTOCOL (2016 GUIDELINES)			
Element A: Management, Leadership and Organizational Commitment				Element A: Management Involvement and Commitment			
1. Company Health and Safety Policy				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"> a reference to the company's goals, aims, responsibilities for and/or commitment to health and safety, a reference to addressing the protection and maintenance of the health and safety (including physical, psychological, and social well-being) of employees, a reference to management (senior and middle levels as applicable) responsibilities, a reference to supervisor responsibilities, a reference to worker responsibilities, the requirement to comply with government legislation, the signature of the current most senior manager for the 	<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 x 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 must 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. <p>AB OHS ACT</p> <p>1(v) "health and safety" includes physical, psychological and social well-being</p> <p>2(a) The purposes of this Act are (a) the promotion and maintenance of the highest degree of physical, psychological and social well-being of workers</p> <p>PART 5, 37(a)</p>	Doc (0-8)	A.1.a	<p>Does the company have a written health and safety policy that contains the following:</p> <ul style="list-style-type: none"> the signature of the current most senior manager for the business units being audited, the date the policy was signed, the requirement to comply with government legislation, a reference to management responsibilities, a reference to supervisor responsibilities, a reference to worker responsibilities, and a reference to the company's goals, aims, responsibilities for and/or commitment to health and safety? 	<p>Review the company's written health and safety policy for the specified criteria as listed in question.</p> <p>Scoring:</p> <p>Divide the number of criteria found by 7.</p> <p>For example, if all the criteria are met except the date of signature, score 86% (6/7 = .86 x 100 = 86%)</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> State how many of the 7 criteria are met. List any criteria not found. Include at least one example of how one of the criteria is or is not addressed in the policy or other company specific information regarding the document(s) reviewed. 	Doc (0-14)

	business units being audited, and 8. the date the policy was signed.						
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 must 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>	Int (0-4) Obs (0-15)	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 managers 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. Examples of distribution methods may include:</p> <ul style="list-style-type: none"> • Orientation materials • Public posting • Electronic distribution • Copies of safety manuals <p>Scoring:</p> <p>Divide the number of managers that can describe a method of policy distribution by the total number of managers interviewed.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of managers able or unable to describe policy distribution • A description of at least one distribution method noted by managers. <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 divided by total number of locations observed (where it should have appeared).</p> <p>Validation Note:</p> <p>The note should include:</p>	Int (0-12) Obs (0-15)

		<p>The note must 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. 				<ul style="list-style-type: none"> • The percentage or tally of potential locations observed where the policy was found or not found as expected. • At least one company specific example as to where the policy appeared or should have appeared. 	
2. Safety Responsibilities				2. Safety Responsibilities			
A.2.a	Have health and safety responsibilities been developed for each applicable employee level within the company (senior management, middle management, supervisors and workers)?	<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 must include:</p>	Doc (0-4)	A.2.a	Are there written health and safety roles and responsibilities for all levels within the company (e.g., senior management, middle management, supervisor, and worker)?	<p>Definition: Company Levels</p> <p>For the purpose of this audit, levels within a company are defined as senior management, middle management, supervisor, and worker.</p> <p>Review the company's written health and safety program to determine that all applicable employee levels have their specific roles and/or responsibilities outlined.</p> <p>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.</p> <p>Scoring:</p> <p>Divide the number of levels having specific roles 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 roles outlined in the written program, then score 75% (3/4).</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • Include the percentage or tally of levels that did or did not have specific roles and responsibilities assigned. • List any applicable levels that did not have roles or responsibilities assigned. • Include at least one company specific example of a health and safety role or responsibility. 	Doc (0-4)

		<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). 					
A.2.b	Do employees at all levels understand and have an awareness of their health and safety responsibilities (as outlined in A.2a)?	<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 must 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.b	Are employees at all levels aware of their health and safety roles and responsibilities?	<p>Interview employees at all levels to determine if they are aware of their health and safety responsibilities as outlined in the company's health and safety program.</p> <p>Scoring:</p> <p>The score is based on the percentage of employees that demonstrate awareness of their responsibilities.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or a tally of employees demonstrating or failing to demonstrate awareness. At least one example of a role or responsibility confirmed or not confirmed by interviewees. 	Int (0-15)
A.2.c	Does the company have an accountability system	<p>DOCUMENTATION</p>	Doc (0, 3)	A.2.d	Is there a system or process in place for	Review the company's health and safety policy, program, or other documentation to establish the presence of an	Doc (0-8)

	<p>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>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>Note: A discipline policy alone does not meet the intent of this question.</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> <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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percent awarded. • A summary of the accountability system. 			<p>holding employees at all levels of the company accountable for their health and safety responsibilities?</p>	<p>accountability system or similar process that is designed to measure and ensure individuals carry out their assigned health and safety responsibilities at all levels. Examples of documents that may provide evidence include:</p> <ul style="list-style-type: none"> • Performance appraisal • Documented observations/inspections with follow up • Behaviour-based safety (BBS) with feedback • Safety-related participation tracking (e.g., safety meeting attendance, inspections conducted, etc.) • Worksite tours • Safety awards, bonus, other incentives based on meeting health and safety goals or targets (could be individual or group) • A discipline policy (discipline alone does not meet the intent of this question) <p>Scoring:</p> <p>Divide the number of levels that are included within the accountability system by the total applicable levels (3 or 4).</p> <p>For example, a company has a total of 3 applicable levels (senior management, supervisors, and workers) and all 3 are included within the accountability system, score 100% (3/3). If only 2 were included, then score 67% (2/3).</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • Summarize the system or process being used. • State the levels included or excluded in the system. 	
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		<ul style="list-style-type: none"> An example of a measurable health and safety goal or target, or An explanation of why 0% was awarded. 					
A.2.d	Has the health and safety accountability system (if verified in A.2.c) been fully implemented for employees at all levels?	<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>Scoring:</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>Validation Note:</p> <p>The note must 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>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 must include:</p>	Doc (0-3) Int (0-3)	A.2.e	Is the accountability system or process identified in A2d fully implemented?	<p>DOCUMENTATION</p> <p>Review a sample of records from the systems or processes identified in A.2.d to verify that these have been fully implemented. Ensure your sample includes all levels.</p> <p>Scoring:</p> <p>Divide the number of records that verify implementation of the system by the total number of records reviewed.</p> <p>If A.2.d scored zero then score 0% for documentation.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of records that verified or failed to verify implementation of the accountability system or process. At least one example of records that did or did not verify implementation of the accountability system. <p>INTERVIEW</p> <p>Interview employees at all levels to verify that the system or process identified in A.2.d has been implemented.</p> <p>Scoring:</p> <p>The score is based on the percentage of employees that can provide verification that the identified system or process has been implemented.</p> <p>If A.2.d scored zero then score 0% for interviews.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of employees that can or cannot provide verification of implementation At least one typical comment on the accountability system or how it has been applied or not applied. 	Doc (0-5) Int (0-5)

		<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. An example comment expressing how it has or has not been applied to all levels. 					
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>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 must 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 perform their health and safety responsibilities?	<p>Interview senior and middle management to determine if there is a basic awareness of how health and safety resources are addressed. Examples may include:</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 Other health and safety initiatives <p>Interview supervisors and workers to determine if they believe the health and safety resources provided are sufficient for their work.</p> <p>Scoring:</p> <p>The score is based on the percentage of employees that provide positive evidence for adequate resources for health and safety.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of employees providing positive or negative evidence regarding resources. At least one typical comment on resources from those interviewed. 	Int (0-5)
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>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 (0-4)	New question: Split from A.2f to allow for new Alberta Partnerships Criteria			

		<p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of workers and supervisors that verified adequate resource allocation. • 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: 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 must 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.g	Does the company provide access to current, applicable health and safety legislation for the jurisdictions in which it operates?	<p>Determine the availability of current legislation applicable to a company’s operations. Examples include:</p> <ul style="list-style-type: none"> • Provincial OHS Acts, Codes/Regulations • Federal Legislation (e.g., Canada Labour Code, Part II) • Transport safety codes (e.g., TDG, National Safety Code) • Nuclear Energy regulations • Environmental regulations • WHMIS <p>There is considerable latitude in how this information is delivered to employees (e.g., paper copy, electronic delivery, phone access, etc.).</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 applicable to the company’s operation.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of relevant legislative documents found or not found. • A brief description of how access is provided. • An example of a type of legislation made available or not made available to employees. 	Obs (0-3)

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> <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 must include:</p> <ul style="list-style-type: none"> • The percentage or tally of managers and supervisors 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. 	Int (0-4)	A.2.h	Are key employees familiar with legislation that is applicable to the scope of their work?	<p>Interview managers and supervisors to determine if they are familiar with legislation that is applicable to the activities or operations that they are responsible for. Examples include:</p> <ul style="list-style-type: none"> • Provincial OHS Acts, Codes/Regulations • Federal Legislation (e.g., Canada Labour Code, Part II) • Transport safety codes (e.g., TDG, National Safety Code) • Nuclear Energy regulations • Environmental regulations • WHMIS <p>Scoring:</p> <p>The score is based on the percentage of interviewees that demonstrate familiarity with legislation applicable to their activities or operations.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that can or cannot demonstrate familiarity with relevant legislation. • At least one example of the type of legislation interviewees are or are not familiar with. 	Int (0-7)
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3. Management Communications				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>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 must 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.a	Does senior management demonstrate their commitment to improving the company's health and safety culture at least annually?	<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, videos, webinars • Annual general safety meeting • Site visits discussing commitment <p>Scoring:</p> <p>The score is based on the percentage of employees that verify senior management commitment in the previous year.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of employees that can or cannot verify senior management commitment. • At least one typical comment regarding senior management commitment. 	Int (0-10)
A.3.b	Does the company have a written directive outlining the requirement for health and safety work site tours, including pre-determined frequencies for? <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>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.</p> <p>Definition: Work site tours</p> <p>A work site tour is a visit to any site where work is conducted in order 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</p>	Doc (0-3)	New Question added to supplement the changes to evaluating the number of tours conducted by Managers and Supervisors.			

		<p>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: Inspections alone, 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 must 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. 			
A.3.c	Does senior management tour work sites to observe work practices and discuss safety issues with workers as per their determined frequencies (A.3b)?	<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 	Doc (0-3) Int (0-3)	<p>A.3.b</p> <p>Does senior management regularly tour work sites to observe work practices and discuss safety issues with workers?</p> <p>DOCUMENTATION</p> <p>Review any documents verifying senior management visited work sites. The documents should confirm the worksite was observed and safety issues were discussed. Examples include journal entries, log books, tour sheets, inspection records, safety meeting minutes, pre-job/toolbox meetings, or observation tours.</p> <p>Scoring:</p> <p>Scoring is based on an average number of visits per manager. The average is determined by taking a sample of senior managers</p>	Doc (0-10) Int (0-15)

		<ul style="list-style-type: none"> • Tour sheets • Text messages, emails, recorded phone calls <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 must 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 must 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>within the company in the previous 12 months and determining how many site visits each manager completed and dividing by the sample size. Based on that average, the score is then entered based on the following percentages:</p> <ul style="list-style-type: none"> • 20% - at least one visit • 50% - at least two visits • 100% - four or more visits <p>For example, if three senior managers were sampled, with evidence of 0, 3, and 4 visits each. The average would be 2.3 visits per manager $((0+3+4)/3)$. The auditor would enter 50%.</p> <p>Note: To avoid the eC-AuditTool from averaging multiple scores across multiple sites for this question, only enter a single score for all senior managers across the entire operation under the head office site only.</p> <p>Validation Note:</p> <p>Note must:</p> <ul style="list-style-type: none"> • Identify the documentation reviewed. • Include the percentage or tally of findings to justify the score. • At least one example of a senior manager fulfilling or not fulfilling their site visit responsibilities. <p>INTERVIEW</p> <p>Interview supervisors and workers to determine if they are aware of senior managers touring work sites and discussing health and safety issues.</p> <p>Scoring:</p> <p>The score is based on the percentage of workers that are aware of at least one senior management tour within the previous 12 months divided by the total interviewed.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees aware of senior management site visits. • At least one typical comment regarding these visits. 	
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A.3.d	Does middle management tour work sites to observe work practices and discuss safety issues with workers as per their determined frequencies (A.3b)?	<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 <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 must 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>	Doc (0-3) Int (0-3)	A.3.c	Does middle management tour work sites to observe work practices and discuss safety issues with workers?	<p>Interview supervisors and workers to determine if they are aware of middle managers touring their worksite and discussing health and safety issues in the previous twelve months.</p> <p>Scoring:</p> <p>The score is based on the percentage of supervisors and workers interviewed that are aware of at least one middle management tour within the previous twelve months.</p> <p>The auditor may apply an n/a if the company has is no middle management function.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage of interviewees aware of a middle management site visits. • At least one typical comment regarding these visits. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-25)
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A.3.e	Do frontline supervisors tour work sites to observe work practices and discuss safety issues with workers as per their determined frequencies (A.3b)?	<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 <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>	Doc (0-3) Int (0-3)	A.3.d	Do frontline supervisors regularly tour work sites to observe work practices and discuss safety issues with workers?	<p>Definition: Supervisor</p> <p>A supervisor is defined as someone who is given the authority by the company or has the authority to oversee the work of an employee(s). A <u>frontline supervisor</u> 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. 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.</p> <p>DOCUMENTATION</p> <p>Review a sample of records that document supervisor visits. The sampled documents must validate at least <u>weekly</u> visits from frontline supervisors. The documents should confirm the worksite was observed and safety issues were discussed. Weekly communication alone is sufficient in the case of remote sites or dispatch scenarios where supervisors are unable to visit all their sites regularly. Examples of documents to consider include:</p> <ul style="list-style-type: none"> • Pre-job meetings • Documented observations • Journal entries or log books • Tour sheets 	Doc (0-5) Int (0-20)

		<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>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 must include:</p>				<ul style="list-style-type: none"> • Inspection records • Text messages, emails, recorded phone calls <p>Scoring:</p> <p>Divide the number of frontline supervisors that visited the worksite or communicated weekly and discussed health and safety issues by the total number of frontline supervisors sampled.</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 percentage or tally of frontline supervisors fulfilling or not fulfilling this safety related requirement. • At least one example of a supervisor observing work practices and discussing safety issues with workers or a supervisor failing to do this. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>Interview the following (do not include administrative workers):</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 worksite, at least weekly, 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>Scoring is based on the percentage of workers that can positively confirm worksite visits by frontline supervisors or dispatch communication divided by the total interviewed.</p> <p>The auditor may apply an n/a if the audit scope is exclusively office workers engaged in low risk, administrative tasks.</p>	
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		<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>				<p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage of workers that confirm or cannot confirm regular worksite visits by supervisors to observe work and discuss safety issues. At least one typical comments on supervisory visits or communication. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
Element B: Hazard Assessment				Element B: Hazard Identification and Assessment			
1. Formal Hazard Assessment Program				1. Formal Hazard Identification and Risk Assessment			
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>	Doc (0, 4)	This was a new question added - See the definition modification below in the current B.1a			

		<p>** Evaluate and score once, at the head office location.</p> <p>Validation Note:</p> <p>The note must 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. 					
B.1.b	<p>Have all company positions/disciplines been inventoried or included within the formal hazard assessment system?</p>	<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 must 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. 	Doc (0-10)	B.1.a	<p>Have all company positions or disciplines been inventoried for formal hazard assessment purposes?</p>	<p>Definition: Formal Hazard Assessment System</p> <p>For the purposes of this protocol, a formal hazard assessment system uses a written process to identify, analyze, and control task based hazards. It may be known by a number of different terms, but it is not to be confused with a field level or site specific hazard or risk assessment. The steps in the process are:</p> <ul style="list-style-type: none"> • List all company positions/disciplines for assessment (B.1.a) • Identify the specific tasks/activities associated with <u>all</u> positions/disciplines (B.1.b) • Identify the health and safety hazards involved in performing each task/activity (B.1.c.1) • Apply some type of risk assessment for each hazard identified (B.1.c.2) • Rank the hazards to guide and prioritize the implementation of controls (B.1.c.3) <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 or disciplines addressed in the formal hazard assessment system.</p> <p>Note that within a formal hazard assessment system, 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>	Doc (0-20)

		<ul style="list-style-type: none"> An example of positions/disciplines evident in other company documentation that is or is not also inventoried for formal hazard assessment purposes. 				<p>Divide the number of positions or disciplines captured in the formal hazard assessment system by the total number of positions or disciplines evident within the company.</p> <p>For example, if 15 positions/disciplines were listed for formal hazard assessment system, 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 must include:</p> <ul style="list-style-type: none"> The percentage or tally of positions or disciplines captured or not captured in the system. At least one example a position or disciplines evident in other company documentation that is also listed or inventoried for formal hazard assessment. 	
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><i>Note: 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> <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</p>	Doc (0-15)	B.1b	Do all positions/disciplines captured in the formal hazard assessment system have their tasks identified?	<p>Review the company's formal hazard assessment system to determine what percentage of positions or disciplines have their tasks or activities identified or listed. As noted in B1a, tasks may be identified by individual positions or by discipline headings such as “administrative staff”, “office workers”, “shop” / “shop workers”, “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 the auditor is not assessing the quality of tasks identified, but rather that each position or discipline has one or more tasks identified within the formal hazard assessment system.</p> <p>Scoring:</p> <p>The scoring in this question is affected by the score in B.1.a.</p> <p>Divide the number of positions or disciplines with tasks identified by the total number of positions/disciplines or total sample size. This number is then multiplied by the percent assigned (not the audit points) in B.1.a.</p> <p>For example, if a company listed 8 positions/disciplines in their system but have 10, they would score 80% in B.1.a. If the auditor then discovers only 4 of these 8 positions have their tasks identified (or 50%), the auditor would multiply this</p>	Doc (0-20)

		<p>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 must 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. 			<p>percentage by the score entered in B.1.a. (80% x 50% = 40% or .8 x .5 = .4). The auditor would enter 40% for B.1.b.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the positions that have or do not have their tasks identified. • At least one example of a position and associated task(s). 		
B.1.d	<p>Have applicable health and safety hazards for each task been identified?</p> <p>AB OHS ACT, PART 5 > 37(1)(b)</p>	<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.) 	Doc (0-15)	B.1.c.1	<p>Have both health and safety hazards for each task been identified, including (as appropriate) hazards presented by:</p> <ul style="list-style-type: none"> • operations, • equipment, • vehicles, • materials or products, and • working conditions/environment? 	<p>Definitions: Health Hazards and Safety Hazards</p> <p>Health Hazards: This includes hazards that could result in an occupational illness, for example, exposure to cancer-causing chemicals, poor workstation design leading to chronic health issues, etc.</p> <p>Safety Hazards: This includes hazards that could result in an injury, for example trauma or burns.</p> <p>Review a sample of tasks within the formal hazard assessment system to determine if applicable health and safety hazards have been identified for the sampled tasks. Also review to ensure that, where applicable, the five criteria have been considered.</p> <p>Scoring:</p> <p>The scoring in this question is affected by the score in B.1.b.</p> <p>Divide the number of tasks with hazards properly identified by the total number of tasks in the sample. This number is then</p>	Doc (0-30)

		<ul style="list-style-type: none"> 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 multiply this percentage by the score entered in B.1.c. ($40\% \times 80\% = 32\%$ or $.4 \times .8 = .32$). 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 must 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. 				<p>multiplied by the percent assigned (not the audit points) in B.1.b.</p> <p>For example, the auditor entered 40% as the final score in B.1.b. If the auditor then sampled 10 tasks and 8 had appropriate health and safety hazards identified (or 80%), the auditor would multiply this percentage by the score entered in B.1.b. ($40\% \times 80\% = 32\%$ or $.4 \times .8 = .32$). The auditor would enter 32% for B.1.c.1.</p> <p>Based on this scoring method, the percent awarded in B.1.c.1 can never exceed the percent awarded in B.1.b.</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> Include the percentage or tally of tasks with hazards identified or not identified. Some indication that the 5 criteria listed in the question were accounted for. List examples of both health and safety hazards found in the formal hazard assessment. 	
B.1.e	Have both health and safety hazards for each task been individually assessed by a combination of any 2 or more of the following: the frequency of the activity, the probability	<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</p>	Doc (0-30)	B.1.c.2	Have both health and safety hazards for each task been assessed using any combination of severity, frequency, probability or similar measurement to determine risk?	<p>Review a sample of tasks within the formal hazard assessment system to verify if some type of system is used to measure risk. Risk assessments may use any combination of severity, frequency, probability, or similar measurement.</p> <p>Note the risk assessment must be applied to the identified hazards, not the task as a whole.</p> <p>Scoring:</p>	Doc (0-30)

	<p>of incident and loss, and the severity of loss, to determine the relative significance of each hazard?</p>	<p>priority rating of each hazard (e.g. High, Medium, Low).</p> <p><i>Risk is the chance of injury, damage or loss. Some hazards pose a greater risk than others. By evaluating the risk of the hazards, you can prioritize which hazards to address first. Once you have identified all the hazards of individual tasks, you can evaluate the level of risk that is associated with each hazard. (pg. 15, Hazard Assessment and Control: a handbook for Alberta Employers and Workers)</i></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"> - Incorrect if hazards are assessed as a group, i.e. wildlife, weather, other drivers (s) 4, (p) 2, (f) 2 - Incorrect if hazards are assigned a priority level as a group, i.e. wildlife, weather, other Drivers: Medium <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. While all identified hazards must be addressed, ranking the hazards tells you which hazards you should deal with first. Try to eliminate hazards wherever you can. Removing tripping hazards or safely disposing of unwanted chemicals are examples of hazard elimination. If hazards cannot be eliminated, they must be controlled. (pg. 16, Hazard Assessment and Control: a handbook for Alberta Employers and Workers)</p>				<p>The scoring in this question is affected by the score in B.1.b.</p> <p>Divide the number of tasks with risk-assessed hazards by the total number of tasks sampled. This number is then multiplied by the percent assigned (not the audit points) in B.1.b.</p> <p>For example, the auditor entered 40% as the final score in B.1.b. If the auditor then sampled 10 tasks and 8 had hazards that are risk-assessed (or 80%), you would multiply this percentage by the score entered in B.1.b. (40% x 80% = 32% or .4 x .8 = .32). You would enter 32% for B.1.c.2.</p> <p>Based on this scoring method, the percent awarded in B.1.c.2 can never exceed the percent awarded in B.1.b.</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • Include the percentage or tally of tasks with hazards that have been risk-assessed. • Indicate the type of risk measurement used. • Include an example of a risk assessment outcome for a given hazard. 	
				B.1.c.3	<p>Have both health and safety hazards for each task been prioritized according to risk in order to determine the order of importance to implement controls?</p>	<p>Review a sample of tasks within the formal hazard assessment system to verify if their hazards have been prioritized or risk-ranked.</p> <p>For the purposes of this question, the risk assessment/ranking must be applied to the identified hazards, not the task as a whole.</p> <p>Scoring:</p> <p>The scoring in this question is affected by the score in B.1.b.</p> <p>Divide the number of tasks with hazards prioritized or risk-ranked by the total number of tasks sampled. This number is then multiplied by the percent assigned (not the audit points) in B.1.b.</p> <p>For example, the auditor entered 40% as the final score in B.1.b. If the auditor then sampled 10 tasks and 8 had hazards that are prioritized or risk-ranked (or 80%), the auditor would multiply this percentage by the score entered in B.1.b. (40% x 80% = 32% or .4 x .8 = .32). The auditor would enter 32% for B.1.c.3.</p>	Doc (0-30)

		<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> <p>Based on this scoring method, the percentage awarded in B.1.e can never exceed the percentage awarded in B.1.c.</p> <p>Validation Note:</p> <p>The note must 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. 				<p>Based on this scoring method, the percent awarded in B.1.c.3 can never exceed the percent awarded in B.1.b.</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • Include the percentage or tally of tasks with hazards that have or have not been prioritized or ranked by risk. • Indicate the type of risk ranking used. • Include an example of a risk ranking outcome for a given hazard. 	
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, 	<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><i>Note: indicating a review at regular intervals does not meet the requirement of a pre-determined frequency.</i></p> <p>Scoring:</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>Validation Note:</p> <p>The note must include:</p>	Doc (0-8)	B.1.d	<p>Is there a system or documented process to create or review/revise formal hazard assessments?</p> <ul style="list-style-type: none"> • when new operations, equipment, materials or products are introduced, • when operations or equipment are modified, and • on an ongoing scheduled basis? 	<p>Review company policy, procedure or process documents to determine if the company has a system that triggers an update of the formal hazard assessments for the criteria listed in the question.</p> <p>Scoring:</p> <p>Divide the number of criteria fulfilled by 3.</p> <p>For example, if a company has a policy document that requires a review of formal hazard assessments every three years, but not for new or modified equipment or operations, the auditor would score 33% (1/3).</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • State how many of the 3 criteria are met. • List any criteria not found. • Include at least one example of how one of the criteria is or is not addressed within the formal hazard assessment system or process. 	Doc (0-9)

	<p>inspections, or investigations identify a previously unrecognized hazard, and</p> <p>4. as per a pre-determined frequency.</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. <p>AB OHS CODE</p> <p>PART 2 7(4)(a) when a new work process is introduced</p>					
B.1.g	<p>Are formal hazard assessments created, reviewed and/or revised?</p> <p>1. when new operations, work processes, equipment, materials or products are introduced or modified, and</p> <p>2. when site-specific hazard assessments, inspections, or investigations identify a previously unrecognized hazard.</p>	<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>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" for employees who were not involved in the development or revision of FHAs.</i></p> <p>Validation Note:</p> <p>The note must 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. <p>An example comment of how or when an FHA was or was not created, reviewed or revised per the criteria.</p>	Int (0-10)	B.1.e	<p>Are formal hazard assessments created or reviewed/revise?</p> <ul style="list-style-type: none"> • when new operations, equipment, materials or products are introduced, • when operations or equipment are modified, and • on an ongoing scheduled basis? 	<p>DOCUMENTATION</p> <p>Review a sample of company records that provide evidence of new or modified operations or equipment (that should have triggered a review or revision of formal hazard assessments), for example, MOC documentation, maintenance records, or action plans, etc. Use this evidence to draw a sample of the applicable formal hazard assessments that should be affected to determine if they were created, reviewed or revised to reflect those changes.</p> <p>Expand your formal hazard assessment sample to also determine if reviews were completed as scheduled as per company policy (e.g., if reviewed every three years, are all sample assessments completed within previous three years).</p> <p>Scoring:</p> <p>Divide the number of hazard assessment sampled that provide positive evidence of hazard assessment created or revised by new or modified operations and equipment by the total number of hazard assessments in the sample.</p> <p>The auditor may apply an n/a only if there were no opportunities to verify implementation (i.e., a company has not introduced new or modified operations and no periodic review was due within the previous twelve months).</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of hazard assessments that did or did not provide evidence that assessments are created or reviewed based on the three listed criteria. 	Doc (0-5) Int (0-15)

						<ul style="list-style-type: none"> At least one example of an assessment that was created or revised on that basis. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>Interview supervisors as well as any workers involved in the development of formal hazard assessments to determine if formal hazard assessments are created or reviewed/revised based on the criteria in the question.</p> <p>Scoring:</p> <p>Scoring is based on the percentage of supervisors and workers involved with the development of hazard assessments that can positively confirm formal hazard assessments are reviewed and revised.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of interviewees that confirm or fail to confirm hazard assessments are reviewed and revised. A typical comment on the creation or revision of formal hazard assessments. 	
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<p>B.1h</p>	<p>Are formal hazard assessments reviewed as per the pre-determined frequency from B.1f?</p>	<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>Scoring:</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 an 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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percent awarded. • The number of FHAs in your sample. • At least one example of a FHAs 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>	<p>Doc (0-12)</p>	<p>This is a new question developed by separating the 3rd criteria from the current question B.1e.</p>
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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> <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 must 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. 	Doc (0-12)	B.1f	Have employees assigned to complete formal hazard assessments received training in conducting assessments?	<p>Review document(s) that indicate who was or is supposed to be involved in developing formal hazard assessments to build a sample set of employees conducting this task (e.g., on the formal hazard assessment documentation itself, training matrix, job descriptions, etc.). Determine if there is any documented evidence of training relevant to their role in the formal hazard assessment process for these identified individuals (certification or other formal third party training, in house or on the job training, etc.).</p> <p>Scoring:</p> <p>Divide the number of employees who show evidence of relevant training to conduct formal hazard assessments by the total number of employees in the sample.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of relevant employees who did or did not show evidence of training for the formal hazard assessment process. • At least one example of the type or nature of training conducted or required. 	Doc (0-6)
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 must include:</p>	Int (0-6)	B.1g	Are affected workers participating in the development of formal hazard assessments?	<p>Interview any employees that participated in the development of the formal hazard assessments. Ask these employees to recall if either (a) the assessments dealt with tasks they perform or (b) other workers who perform the tasks under consideration were part of the hazard assessment process. A positive response to either of these is a positive indicator.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewed employees involved in the process that provide evidence of affected worker participation.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of relevant employees who provide or fail to provide evidence of affected worker participation. 	Int (0-12)

		<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. 				<ul style="list-style-type: none"> At least one typical comment regarding worker participation. 	
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> <p>Validation Note:</p> <p>The note must 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. 	Int (0-4)	New question required by Alberta Partnerships Audit Standard 1.11			

2. Site-Specific Hazard Identification and Reporting			3. 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. <ul style="list-style-type: none"> • 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>DOCUMENTATION</p> <p>Review company policies or procedures to determine their site-specific hazard identification system requirements.</p> <p>Verify that the system will address the criteria listed, prior to work starting the day of the job.</p> <p>Scoring:</p> <p>Divide the total number of criteria met by 4.</p> <p>Validation Note:</p> <p>The note must 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 • An explanation of why 0% was awarded. 	Doc (0-12)	B.3.a	<p>Does the company have a site-specific hazard identification system that requires hazards to be identified:</p> <ul style="list-style-type: none"> • before the project or job begins, and • when new conditions, tasks, equipment, processes, or construction are introduced? 	<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 very minimal system.</p> <p>Review company documents to determine their site-specific hazard identification system or systems and requirements. 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, pre-job inspections, or pre-use inspections • Field level management of change (MOC) processes • Inspections designed to identify hazards (used in static environments) <p>Validate that the system will address new project or new job hazards as well as new conditions, tasks, equipment, processes, or construction to the extent these apply to the company's operations.</p> <p>Scoring:</p> <p>Score 100% if the company has a site-specific hazard identification system that reflects their work sites and operations.</p> <p>Score 0% if no such system exists.</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • State the score applied. 	Doc (0,10)

						<ul style="list-style-type: none"> Identify and summarize the system used with some reference to the criteria listed in the question. 	
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>Validation Note:</p> <p>The note must 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. 	Doc (0-12) Int (0-12)	B.3.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.3.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>Scoring:</p> <p>Divide the number of recorded, completed site-specific hazard identification activities by the total sample size of records and/or opportunities where a site-specific hazard identification activity should have taken place based on the company’s explicit 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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of the records and opportunities that demonstrated or failed to demonstrate compliance with the company’s site-specific hazard identification policy. An example of where and when a site-specific hazard identification did or should have taken place. <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, contractors. Verify the company has been completing site-specific hazard identifications as per their system identified in B.3.a.</p> <p>Scoring:</p>	Doc (0-5) Int (0-25)

		<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> <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>Validation Note:</p> <p>The note must 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. <p>*If n/a is applied, auditor must justify n/a in the note.</p>				<p>The score is based on the percentage of interviewees that confirm site-specific hazard identification activities are carried out.</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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the interviewees that confirmed or failed to confirm that site-specific hazard identifications were carried out as specified by the system. • At least one typical comment on site-specific hazard identification activities. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
3. Hazard Reporting				Split into its own section as it is different from site specific hazard assessments.			
B.3.a	Does the company have a hazard reporting system to deal with unsafe conditions and unsafe work practices encountered in their daily activities?	<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>	Doc (0,12)	B.3.c	Does the company have a hazard reporting system to deal with unsafe conditions and unsafe work practices encountered in their daily activities?	<p>Review either policy documents or records 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 • ACTION cards <p>Scoring:</p> <p>Score 100% if a system is in place.</p>	Doc (0,4)

		<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 • ACTION cards • Document outlining how and who to report hazards to. <p>Scoring: Score 100% if a system is in place. Score 0% no such system exists. ** Evaluate and score once at the head office location.</p> <p>Validation Note: The note must include:</p> <ul style="list-style-type: none"> • The percent awarded. • A summary of the system, or • An explanation of why 0% was awarded. 				<p>Score 0% no such system exists.</p> <p>Validation Note: The note must:</p> <ul style="list-style-type: none"> • State the score applied. • Identify and summarize the system to justify the score. 	
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>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 must 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, or 	Int (0-10)	B.3.d	Is the company following the requirements of their hazard reporting system?	<p>Interview all employees to determine their knowledge and the use of the company's hazard reporting system identified in B.3.c.</p> <p>Scoring: The score is based on the percentage of interviewees that demonstrate knowledge and use of the company's hazard reporting system.</p> <p>Validation Note: The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the interviewees that demonstrated or failed to demonstrate knowledge and ongoing use of the company's hazard reporting system. • At least one typical comment verifying knowledge and use of the system or lack of knowledge and use of the system. 	Int (0-6)

		<ul style="list-style-type: none"> An example of a negative comment if applicable. 					
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>Scoring:</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>Validation Note:</p> <p>The note must 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 must include:</p> <ul style="list-style-type: none"> The percentage or tally of the interviewees that verified appropriate training in hazard identification. 	Doc (0-8) Int (0-8)	B.3.e	Are employees trained in the identification/recognition of hazards?	<p>DOCUMENTATION</p> <p>Review policy, training materials, or training records to establish how employees should be 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>Sample employee or training records or meeting minutes as required to establish the training has been conducted.</p> <p>Scoring:</p> <p>Divide the number of employee or other record type that verify hazard identification training from the total sampled.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of employees or record types sampled that demonstrate training was or was not conducted. A summary of the type or types of training provided or required by the company for hazard identification. <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 score is based on the percentage of interviewees that confirm they have received training in the identification or recognition of hazards appropriate to their tasks.</p> <p>Validation Note:</p> <p>The note must include:</p>	Doc (0-2) Int (0-3)

		<ul style="list-style-type: none"> An example comment of how hazard identification training did or did not occur. 				<ul style="list-style-type: none"> The percentage or tally of the interviewees that confirmed or failed to confirm training in hazard identification or recognition. At least one typical comment on hazard identification training. 	
Element C: Hazard Control				Element C: Hazard Control			
1. Health and Safety Hazard Control Program				1. Health and Safety Hazard Controls			
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"> in accordance with the hierarchy of controls, to meet legislative requirements, with high hazard items given priority, with the inclusion of workers affected by the hazards and proposed controls, including assignment of responsibilities for implementation, and with ongoing monitoring and evaluation of 	<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 stagers (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> <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>	Doc (0-6)	<p style="text-align: center;">New question made by combining current questions and criteria for C.1a, b and c.</p> <p>C.1a - Is there a process to identify controls within the formal hazard assessment system? (Doc 0,5)</p> <p>C.1b - Does this process ensure controls are appropriate and effective by developing these: (Doc 0-8, Int 0-15)</p> <ul style="list-style-type: none"> in accordance with the hierarchy of controls, to meet legislative requirements, with the inclusion of workers affected by the hazards and proposed controls, and with ongoing monitoring and evaluation of controls after implementation? <p>C.1c - Is there a process to ensure controls in the formal hazard assessment system are implemented, including: (Doc 0-6)</p> <ul style="list-style-type: none"> assigning responsibilities for implementation, and follow-up to ensure implementation? 			

	controls after implementation.	The note must include: <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 must 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 or implemented in an assessment. 	Doc (0-6)	New Question Alberta Partnerships Audit Standard 3.35			
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 • Scaffolding permits 	Doc (0-6)	C.3.b	Have work procedures, rules and/or Code of Practice been developed where specifically required by legislation?	<p>Review the company's operations and formal hazard assessments 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 • TDG • Scaffolding permits <p>Create a sample of possible opportunities for compliance and confirm that the appropriate documentation has been created for each opportunity in your sample.</p>	Doc (0-10)

		<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 must 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>			<p>Scoring:</p> <p>Divide the number of opportunities that had appropriate documentation by the total number of opportunities in the sample.</p> <p>Auditors may apply an n/a if the company does not engage in any legislated tasks.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of sampled opportunities that had or did not have the appropriate, required work procedures, rules or Codes of Practice. • At least one example of an applicable legislated administrative control. <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 must 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. 	Int (0-6)	<p>New question developed from the Interview portion of C.1b.</p> <p>AB OHS ACT, 2(i)</p>		

		<ul style="list-style-type: none"> 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. 					
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> <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 must 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</p> <p>At each site visited, look for opportunities for management/supervisor(s) to enforce use of hazard controls.</p> <p>Scoring:</p> <p>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%) 	Int (0-6) Obs (0-15)	C.1.d	Is there evidence that management enforces the use of hazard controls (including engineering, administrative, and PPE) by employees?	<p>INTERVIEW</p> <p>Interview supervisors and workers to determine if management enforces the use of the hazard controls.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewees that can confirm management enforcement of hazard controls.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of the interviewees that confirmed or failed to confirm management enforcement. At least one typical comment on management enforcement of hazard controls. <p>OBSERVATION</p> <p>At each site visited, look for opportunities for confirmation of management enforcement of hazard controls.</p> <p>Scoring:</p> <p>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:</p> <p>The note must include:</p>	Int (0-15) Obs (0-10)

		<ul style="list-style-type: none"> 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:</p> <p>The note must 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 presented, auditor must justify in the note.</p>				<ul style="list-style-type: none"> The percentage or tally of sites that provided positive opportunities, no opportunities or negative opportunities. At least one company specific example of an opportunity acted or not acted upon (if found). 	
2. Health and Safety Hazard Controls				2. Engineering Controls			
C.2.a	Are the hazards identified within the formal hazard assessments controlled with the use of engineering controls whenever feasible or required based on risk or legislation?	<p>Topic C.2 Instructions:</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</p>	Doc (0-5) Obs (0-20)	C.2.a	Are hazards controlled with the use of engineering controls whenever feasible or required based on risk or legislation?	<p>DOCUMENTATION</p> <p>Review completed formal hazard assessments to create a working sample of hazards that represent:</p> <ul style="list-style-type: none"> highest risk activities, activities subject to legislative controls, or operations with industry standard engineering controls. <p>Assess which of these should have engineering controls and note whether they do.</p> <p>Scoring:</p> <p>Divide the number of assessments where engineering controls are required and applied by the total number of assessments in the sample.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of the records that did or did not apply engineering controls as expected. At least one example of where an engineering control was or was not appropriately applied. 	Doc (0-10) Obs (0-20)

		<p>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 must 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>				<p>OBSERVATIONS</p> <p>In advance of site visits, review formal hazard assessments and create a sample of engineering controls that may be observed at work sites visited.</p> <p>During the site visit, confirm the implementation of engineering controls based on the sample.</p> <p>The auditor may also consider opportunities for engineering controls observed during site visit(s) themselves. The overall sample may be expanded to include those 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>Scoring:</p> <p>Divide the opportunities where engineering controls have been implemented by the total number of opportunities sampled.</p> <p>For example, using the formal hazard assessments, has selected 6 engineering controls to verify on the worksite. The observation tour reveals only 5 are actually 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). This represents 8 opportunities in total and would be scored as 75% (6/8).</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of opportunities where engineering controls are or are not implemented as required. • At least one example of engineering controls observed or not observed. 	
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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 must 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. 					
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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 must 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.b	Are employees using established engineering controls as intended?	<p>INTERVIEW</p> <p>Interview workers on work sites with engineering controls to determine if these are being used correctly.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewees that can confirm appropriate use of engineering controls on their work sites.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the interviewees that confirmed or failed to confirm the appropriate use of engineering controls on their worksite. • At least one typical comment on the use of engineering controls. <p>OBSERVATION</p> <p>During the work site visit, consider any situation in which a worker uses or fails to use an available engineering control correctly as a scoring opportunity.</p> <p>Scoring:</p> <p>Divide the number of opportunities where engineering controls were applied by employees by the total number of opportunities observed.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of opportunities where engineering controls were or were not applied as intended. • At least one example of a control applied or not applied. 	Int (0-5) Obs (0-5)
C.2.c	Are the hazards identified within the formal hazard assessments controlled	<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.</p>	Doc (0-5) Obs (0-20)	C.3.a	For those hazards not eliminated by engineering controls, have administrative controls	Review completed formal hazard assessments to create a working sample of hazards that provide an opportunity for administrative controls. For example:	Doc (0-15)

	<p>with the use of administrative controls where applicable or where required by legislation?</p>	<p>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 must 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>been identified where applicable and required based on risk or legislation?</p>	<ul style="list-style-type: none"> • Any hazard that could be effectively addressed with an administrative control • Any hazard where there are industry standard administrative controls • Any hazard that require an administrative control by legislation (e.g., confined entry practices, certification, controlled substances, etc.) <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 • Dangerous gas monitors (e.g., O₂, CO₂, H₂S, LEL) • Training and certification <p>Review the sample to determine how many have appropriate administrative controls listed.</p> <p>Scoring:</p> <p>Divide the number of hazard assessments with appropriate administrative controls listed by the total number of sampled assessments that required administrative controls.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of sampled hazard assessments that did or did not include appropriate administrative controls. • At least one example of a required administrative control that was or was not identified in the hazard assessment process. 	
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		<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>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 must 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. 					
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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 must 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.3.c	Are employees using established administrative controls?	<p>INTERVIEW</p> <p>Interview workers on any work sites with administrative controls to verify they are following administrative controls identified in questions C.3.a and C.3.b as appropriate.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewees that can confirm administrative controls are applied on their work sites.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the interviewees that do or do not confirm administrative controls are applied on their work sites. • At least one typical comment on the administrative controls used. <p>OBSERVATION</p> <p>In advance of site visits, review formal hazard assessments and create a sample of administrative controls that may be observed at work sites visited.</p> <p>During the site visit, confirm the implementation of these administrative controls.</p> <p>The auditor may also consider opportunities for administrative controls observed during site visit(s) themselves. The overall sample may be expanded to include those 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>Scoring:</p> <p>Divide the opportunities where administrative controls have been implemented by the total number of opportunities sampled.</p> <p>For example, using the formal hazard assessments, the auditor has selected 6 administrative controls to verify on the</p>	Int (0-5) Obs (0-10)
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					<p>worksite. The observation tour reveals only 5 are actually implemented. In addition, the auditor finds a painted walk line on the floor being used as intended (positive application of an administrative control) and no flagging or signage next to open excavation (failed application of an administrative control). This represents 8 opportunities in total and would be scored as 75% (6/8).</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of opportunities where administrative controls were or were not applied as intended. • At least one example of a control applied or not applied. 		
C.2.e	<p>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>	<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> <p>Review the sample to determine how many have appropriate PPE listed.</p> <p>Scoring:</p> <p>Divide the number of hazards with appropriate PPE identified, by the total number of sampled hazards that should have included PPE.</p> <p>Validation Note:</p> <p>The note must 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>Doc (0-5) Obs (0-10)</p>	C.4.a	<p>Are health and safety hazards controlled by using industry standard personal protective equipment (PPE) where engineering and administrative controls do not sufficiently control the hazard?</p>	<p>Draw a sample of hazards from the formal hazard assessments that are not fully controlled by engineering or administrative controls.</p> <p>Of these, consider the following as opportunities for PPE to include in your final sample:</p> <ul style="list-style-type: none"> • Hazards that could be effectively controlled with industry standard PPE • Hazards that require PPE by legislation (e.g., hearing protection, respirator, etc.) <p>Review the sample to determine if PPE has been applied for each of these.</p> <p>Scoring:</p> <p>Divide the number of hazards that include PPE as required by the total number of hazards sampled that required PPE.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the hazards that did or did not apply PPE as expected. • At least one example of where PPE was or was not appropriately applied. 	<p>Doc (0-10)</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>Scoring:</p> <p>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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The number of opportunities where PPE is in use. • The number of opportunities where PPE should have been in use. 					
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		<ul style="list-style-type: none"> 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 must 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.4.b	Do employees receive or have available all PPE that is required by legislation or is supplied by the company as per company policy?	<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 score is based on the percentage of interviewees that confirm the company is providing the PPE as required by legislation or company policy.</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 must include:</p> <ul style="list-style-type: none"> The percentage or tally of interviewees that can or cannot verify PPE is provided as per legislation or policy. At least one typical comment on how PPE is made available to employees. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-8)

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 must 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. • *If n/a is applied, auditor must justify n/a in the note. 	Obs (0-15)	C.4.d.2	Is PPE properly maintained?	<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 worksite 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 worksite 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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the observations where appropriate levels of PPE maintenance were or were not applied. • At least one example of a type of PPE that did or did not exhibit appropriate maintenance. 	Obs (0-10)
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>	Int (0-10)	C.4.c	Does the company provide training on PPE that includes the care, use, maintenance, and limitations of any required PPE?	<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 score is based on the percentage of interviewees verifying they have received training on the PPE supplied.</p> <p>Validation Note:</p>	Int (0-10)

		<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 must include:</p> <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. • *If n/a is applied, auditor must justify n/a in the note. 				<p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of applicable workers that can or cannot verify having received training on their supplied PPE. • At least one typical comment on the type or nature of the training provided. 	
3. Preventative Maintenance				5. 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.</p> <p>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 must 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. 	Doc (0, 2)	C.5.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, • satisfies legislative requirements, and • satisfies manufacturer's specifications? 	<p>Review the company's preventive maintenance program(s), or system to determine if all three criteria are met.</p> <p>Scoring:</p> <p>Enter 100% if the existing system or program is designed to meet all three criteria in the question.</p> <p>Enter 0% otherwise.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The score applied. • A description of the preventive maintenance program that makes reference to the three criteria to justify the score. 	Doc (0,2)

		*If n/a is applied, auditor must justify n/a in the note.					
C.3.b	Is the preventive maintenance program being implemented as outlined?	<p>DOCUMENTATION</p> <p>Review a sample of maintenance records of active equipment to determine compliance with the maintenance program schedule and requirements.</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.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The number of the records that show compliance. • The number of records in your sample. • An example of maintenance conducted or not conducted. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Doc (0-4)	C.5.b	Is the preventive maintenance program being implemented as outlined?	<p>Review a sample of maintenance records of active equipment to determine compliance with the maintenance program schedule and requirements.</p> <p>Scoring:</p> <p>Divide the number of records in the sample that show compliance with the maintenance program by the total number of records in the sample.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the records that show or fail to show compliance. • At least one example of maintenance conducted or not conducted. 	Doc (0-3)
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>	Obs (0-10)	C.5.c	Has all equipment requiring preventive maintenance been included within the preventive maintenance program?	<p>If possible, in advance of site visits, generate a list of all equipment in the preventive maintenance 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 preventive maintenance program is consistent with the equipment found on the worksite.</p> <p>For larger work sites with more equipment, the auditor may create a sample of equipment observed on the worksite 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>Note that the question is not evaluating the condition of the equipment.</p> <p>Scoring:</p>	Obs (0-10)

		<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 sampled.</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 must 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>				<p>Divide the number of pieces of observed equipment included in the preventive maintenance program by the total number of pieces of equipment observed.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the pieces of equipment that appeared or did not appear in the company’s preventive maintenance program. • At least one example of equipment that did or did not appear in the preventive maintenance program. 	
4. Hazardous Materials				6. 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> <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>	Doc (0, 3)	C.6.a	Is there a WHMIS program that meets legislative requirements for controlled products that are handled, used, stored, produced, or disposed?	<p>Review company documentation to determine if they have a program that meets WHMIS legislation. This includes a process for employee training, labelling, and current safety data sheets (MSDS/SDS).</p> <p>Scoring:</p> <p>Score 100% if the existing system or program is designed to meet WHMIS legislation.</p> <p>Score 0% otherwise.</p> <p>The auditor may apply an n/a if a company does not make use of any controlled products (i.e., WHMIS not required).</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • State the score awarded. • Justify the score by stating that the program meets or fails to meet legislated requirements for a WHMIS program. 	Doc (0,2)

		<p>Validation Note:</p> <p>The note must 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>				<ul style="list-style-type: none"> • Include at least one company specific detail on the program, e.g., where it was found or applied, etc. <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>Scoring:</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>Validation Note:</p> <p>The note must 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>	Doc (0-3) Int (0-3)	C.6.b	Has the WHMIS program been implemented?	<p>INTERVIEW</p> <p>Interview supervisors and workers to determine if they have received the necessary WHMIS training appropriate to their tasks.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewees that confirm they have received their necessary WHMIS training.</p> <p>The auditor may apply an n/a if a company does not make use of any controlled products (i.e., WHMIS not required)</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of supervisors or workers that can or cannot confirm having received their necessary WHMIS training. • At least one typical comment related to the WHMIS program. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>OBSERVATION</p> <p>Inspect a sample of controlled products to determine appropriate WHMIS labelling. (MSDS/SDS are outside the scope of the question).</p> <p>Scoring:</p>	Int (0-3) Obs (0-2)

		<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 a company does not make use of any hazardous products (i.e., WHMIS 2015 not required)</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 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>			<p>Divide the number of controlled products with appropriate WHMIS 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 controlled products (i.e., WHMIS not required)</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the products sampled that did or did not have appropriate WHMIS labelling. • At least one example of a controlled product observed on the worksite that was or was not appropriately labelled. <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>Scoring:</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>Validation Note:</p> <p>The note must 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. 	Obs (0-6)	Observations made into a separate question from C.6b above.		

		<ul style="list-style-type: none"> 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>					
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>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 a company does not make use of any hazardous products (i.e., WHMIS 2015 not required).</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 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>	Int (0-5)	C.6.c	Are MSDS's made available to workers?	<p>Interview supervisors and workers to verify that current MSDS's/SDS's for the controlled products on their worksite are available to them. This includes knowledge of where to find them.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewees that verify availability of MSDS's/SDS's and knowledge of their location.</p> <p>The auditor may apply an n/a if a company does not make use of any controlled products (i.e., WHMIS not required).</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of the interviewees that verify or fail to verify the availability of MSDS's/SDS's. At least one typical comment on the availability or location of MSDS's/SDS's. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-5)
C.4.e	Does the company have documented plans to manage and control exposure to chemical, biological, or radioactive hazards (as applicable) that meet legislative requirements?	<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 	Doc (0, 2) Int (0-3)	C.6.d	Is there a documented plan to manage and control exposure to chemical, biological, or radioactive hazards that meets legislative requirements?	<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.) 	Doc (0,2) Int (0-3)

		<ul style="list-style-type: none"> • 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>Scoring: Score 100% if applicable documented plans or procedures are in place. Score 0% otherwise.</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note: The note must 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 • Explain why 0% was awarded. <p>INTERVIEW Interview employees to verify they have received communication or training on the applicable procedures as appropriate or required.</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>			<ul style="list-style-type: none"> • 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 directives to deal with biological hazards, for example, a first aid policy or procedure that addresses managing the hazard presented by blood.</p> <p>Scoring: Score 100% if applicable documented plans or procedures are in place. Score 0% otherwise.</p> <p>Validation Note: The note must indicate:</p> <ul style="list-style-type: none"> • Indicate the score applied. • Justify the score by listing applicable plans or procedures that are present or absent, with special reference to meeting or failing to meet legislative requirements. <p>INTERVIEW Interview employees to verify they have received communication or training on the applicable procedures as appropriate or required.</p> <p>Scoring: The score is based on the percentage of interviewees that verify an applicable plan or procedure has been communicated to them.</p> <p>Validation Note: The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified or failed to verify communication of a required plan or procedure. 	
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5. Violence and Harassment Prevention				NEW TOPIC INTRODUCED BY CHANGES TO ALBERTA OHS LEGISLATION (BILL 30)			
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>Scoring:</p> <p>Score 100% if there is a Violence Prevention Policy that meets all legislated criteria.</p> <p>Score 0% otherwise.</p> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note must 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)	<p>Alberta Partnerships Audit Standard 3.40</p> <p>AB OHS CODE PART 27, 390.1</p>			
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.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p>	Doc (0, 5)	<p>Alberta Partnerships Audit Standard 3.40</p> <p>AB OHS CODE PART 27, 390.2</p>			

		<p>The note must include:</p> <ul style="list-style-type: none"> • The percentage scored. • A company specific example of how one of the required criteria was met. 		
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>Validation Note:</p> <p>The note must 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 employees were trained in the requirements of the Violence Prevention Policy and Procedures, • An example comment on the content of the training received. 	Int (0-5)	<p>Alberta Partnerships Audit Standard 3.40</p> <p>AB OHS CODE PART 27, 391</p>
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.</p>	Doc (0, 5)	<p>Alberta Partnerships Audit Standard 3.41</p> <p>AB OHS CODE PART 27, 390.5</p>

		<p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage scored. • A company specific example of how one of the required criteria was met. 		
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.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>The note must 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)	<p>Alberta Partnerships Audit Standard 3.41</p> <p>AB OHS CODE PART 27, 390.6</p>
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> <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>	Int (0-5)	<p>Alberta Partnerships Audit Standard 3.41</p> <p>AB OHS CODE PART 27, 391</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 training for their inspection duties was appropriate. • 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, British Columbia requires an annual review)</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 must 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)	<p>Alberta Partnerships Audit Standard 3.42</p> <p>AB OHS CODE PART 27, 390.7</p>
C.5.h	Have the Violence and Harassment Prevention	DOCUMENTATION	(Doc 0-6)	Alberta Partnerships Audit Standard 3.42

	<p>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 3. As per legislated requirements. 	<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 Procedures been reviewed as required by legislated requirements for the jurisdictions in which the company operates.</p> <p>Scoring:</p> <p>Score based on the number of verified opportunities which support the applicable criteria.</p> <p>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. (Note BC requires annual review)</p> <p>Validation Note:</p> <p>The note must 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>		<p>AB OHS CODE PART 27, 390.7</p>			
Element D: Inspections				NEW SECTION (SPLIT FROM ELEMENT B)			
6. Inspections				7. Inspections			
D.1.a	<p>Does the company have a written inspection policy that includes the purpose of inspections?</p>	<p>DOCUMENTATION</p> <p>Review the company's inspection policy and determine if the purpose of inspections is stated.</p> <p>Scoring:</p> <p>Score 100% if there is a stated purpose for inspections.</p> <p>Score 0% otherwise.</p>	Doc (0, 6)	B.2.a	<p>Does the company have a written inspection system that includes the purpose of inspections?</p>	<p>Review the company's inspection system and determine if the purpose of inspections is stated anywhere, for example on a policy, forms, procedures, inspection schedules, etc.</p> <p>Scoring:</p> <p>Score 100% if there is a stated purpose for inspections.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p>	Doc (0,5)

		<p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note must 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. 				<p>The note must:</p> <ul style="list-style-type: none"> • Indicate the percentage scored. • Provide an example of a documented statement on the purpose of inspections. 	
D.1.b	<p>Does the inspection program outline what is to be inspected, including?</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>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 must 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. 	Doc (0-10)	B.2.b	<p>Does the system outline what is to be inspected, including:</p> <ul style="list-style-type: none"> • work activities • equipment, • materials, and • work areas? 	<p>Review the company’s inspection system 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 system, 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 system by 4.</p> <p>For example, if only equipment is inspected, the auditor would enter 25%.</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • State how many of the 4 criteria were met. • List any criteria not found. • Include at least one example of how one of the criteria is or is not addressed in the inspection system. 	Doc (0-12)
D.1.c	Does the inspection program include a pre-determined frequency for each formal	<p>Definition: Formal Inspections</p>	Doc (0-6)	B.2.c	Does the system include a pre-determined frequency for inspections that also meets legislated	<p>Review the company’s inspection system for evidence within inspection policy, procedures or forms that dictate a set frequency or trigger for various types of inspections (daily, weekly, shift change, pre-use, hours of operation, etc.).</p>	Doc (0-5)

	inspection type, including legislated requirements (if applicable)?	<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 must 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. • 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). 			requirements if applicable?	<p>When 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 frequency stated and meet legislated requirements (if applicable) by the total sample size of inspection types reviewed.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of inspection types that met or failed to meet the criteria. • At least one example of an inspection type and its frequency. • At least one 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	Are formal inspections assigned to the following employee levels as appropriate (and as required by legislation)?	<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>	Doc (0-4)	B.2.d	<p>Are inspections assigned to the following positions as appropriate (and as required by legislation):</p> <ul style="list-style-type: none"> • managers, 	<p>Review the company’s inspection system for evidence within inspection policy, procedures or forms to determine if inspections have been assigned to managers, supervisors, workers, and where applicable, members of the health and safety committee.</p>	Doc (0-12)

	<ul style="list-style-type: none"> senior managers, middle managers, supervisors, and workers 	<p>Note: <i>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 must 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. 			<ul style="list-style-type: none"> supervisors, workers, and members of the health and safety committee (if applicable)? 	<p>Note that not all inspection types require all levels of involvement, however all levels must be engaged in some form of inspections.</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 is in a jurisdiction that does not require a health and safety committee and only managers and supervisors (not workers) conduct inspections, the auditor would enter 66% (2/3).</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> State which levels have or do not have assigned inspection duties. Provide at least one example of inspections assigned to one of the levels. 	
D.1.e	<p>Do inspectors receive appropriate written instructions, templates, or checklists to evaluate?</p> <ol style="list-style-type: none"> work activities, work areas, equipment, materials, and 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> <p>** Evaluate and score once at the head office location.</p> <p>Validation Note:</p> <p>The note must include:</p>	Doc (0-10)	B.2.f	<p>Do inspectors receive appropriate written instructions, templates, or checklists in order to evaluate:</p> <ul style="list-style-type: none"> work activities, work areas, equipment, materials, and specific hazards? 	<p>Verify all five inspection types listed are captured within the inspection system by reviewing the following sorts of documents:</p> <ul style="list-style-type: none"> Inspection instructions Inspection forms or checklists Behaviour observation forms (may cover inspections on work activities) <p>Scoring:</p> <p>Divide the number of inspection types that are supported with instructions, templates, or checklists by the five listed inspection types.</p> <p>For example, if inspection forms and checklists are only available for “equipment” and “materials” and none for any of the others, the auditor would score 40% (2/5).</p> <p>Validation Note:</p> <p>The note must:</p>	Doc (0-10)

		<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. 				<ul style="list-style-type: none"> State how many of the 5 inspection types have appropriate written instructions, templates or checklists. List any inspection types that do not have any of these supporting documents. Include at least one example of an inspection type and the supporting documentation provided for that type of inspection. 	
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 must 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)	B.2.g	Have inspections been completed as outlined by the company’s requirements?	<p>Review the evidence gathered in B.2.c and B.2.d 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.</p> <p>Scoring:</p> <p>Divide the number of completed inspection records that meet the company’s stated requirements by the total sample size reviewed.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of the inspection records that meet or fail to meet company requirements. An example of where a company’s inspection requirement was met or not met. 	Doc (0-20)
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>	Doc (0-10) Int (0-25) Obs (0-15)	B.2.h	Are deficiencies identified through the inspection system 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 for 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>	Doc (0-5) Int (0-25) Obs (0-25)

		<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. <i>Records without deficiencies should not be included in the sample.</i></p> <p>Scoring:</p> <p>Divide the number of deficiencies that show timely correction by the total number of deficiencies in your sample.</p> <p>In the event that all completed inspections show no deficiencies, a score of 100% may be entered.</p> <p>Validation Note:</p> <p>The note must 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>Scoring:</p> <p>The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</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> <p>Scoring:</p> <p>Divide the number of records in the sample that show timely correction of deficiencies by the total number of records in the sample.</p> <p>In the event all completed inspections show no deficiencies, a score of 100% may be entered.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the records that demonstrated or failed to demonstrate correction of deficiencies in a timely manner. • At least one specific example of a corrective action taken or deficiency not corrected. <p>If 100% is scored based on completed inspection showing no deficiencies, this must be justified in the notes with reference to the nature of the company's operation that would create this possibility.</p> <p>INTERVIEW</p> <p>Interview workers that have been involved with inspections to determine if deficiencies identified in the inspection system are corrected in a timely manner.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewed employees involved with inspections that confirm deficiencies identified are corrected in a timely manner.</p>	
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		<p>Validation Note:</p> <p>The note must 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>Scoring:</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> <p>If there are no available opportunities apply n/a</p> <p>Verification Notes:</p> <p>The note must 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>				<p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the interviewees that confirmed or failed to confirm that deficiencies were corrected in a timely manner. • At least one example of a corrective action completed noted by interviewees or a typical comment regarding corrective action based on inspections. <p>OBSERVATION</p> <p>Create a sample of deficiencies within inspection reports applicable to worksite(s) to be visited. Verify through observation if corrective action has been completed on the reported deficiencies.</p> <p>Scoring:</p> <p>Divide the number of sampled deficiencies that have been addressed by the total number of sampled deficiencies observed in the worksite visit.</p> <p>Verification Notes:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the deficiencies observed that were or were not corrected. • At least one example of a corrective action implemented or deficiency left uncorrected based on work site observations. 	
D.1.h	Have those employees who have conducted inspections within the past 12 months received training that is	<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>	Doc (0-8) Int (0-25)	B.2.e	Have employees conducting inspections received training that is appropriate to what is being inspected?	<p>DOCUMENTATION</p> <p>Review a sample of inspection records or other applicable documents to determine a list of employees conducting inspections.</p>	Doc (0-5) Int (0-20)

	<p>appropriate to what is being inspected?</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>Scoring:</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>Validation Note:</p> <p>The note must 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>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 must include:</p>				<p>Using the list, review any training documents that verify that employees conducting inspections have received appropriate training for the inspections they are conducting. Training may include any of the following:</p> <ul style="list-style-type: none"> • Documented on-the-job training • Safety meetings that provided instruction on inspections • Third party training or certifications <p>Scoring:</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>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • Include the percentage or tally of employees that have or have not completed applicable training. • Provide information on documents reviewed. • Include at least one example of appropriate training provided or required or not provided or required. <p>INTERVIEW</p> <p>Interview only employees conducting inspections to confirm they have received appropriate training for the inspection they are conducting.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewed employees conducting inspections that confirm they have received appropriate training.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of relevant employees who confirm or fail to confirm appropriate training for their inspection duties.
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		<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. 				<ul style="list-style-type: none"> At least one example of the training mentioned by interviewees. 	
Element E: Qualifications, Orientation and Training				Element D: Training			
8. Health and Safety Orientation				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"> health and safety policies and procedures, health and safety responsibilities, workers rights (right to refuse, right to know, right to participate) task specific hazards and controls, WHMIS 2015 information, applicable regulatory requirements (e.g., OHS legislation, WCB, NSC, etc.), discipline/enforcement policies, emergency response procedures (including alert/alarm systems), and hazard reporting. 	<p>DOCUMENTATION</p> <p>Review the company's orientation policy and/or orientation package to determine if their orientation program meets the eight 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 must 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. <p>AB OHS ACT PART 1, 3(1)(b), 4(c), 5(e)</p> <p>AB OHS CODE PART 7, 116 (g)</p>	Doc (0-11)	D.1.a	<p>Does the company have a comprehensive orientation for all new employees that includes the following:</p> <ul style="list-style-type: none"> health and safety policies and procedures, health and safety roles and responsibilities, site specific hazards and controls, WHMIS information, applicable regulatory requirements (e.g., OHS legislation, WCB, NSC, etc.), discipline/enforcement policies, emergency response procedures, and hazard reporting? 	<p>Review the company's orientation policy and materials to determine if their orientation program meets the eight criteria.</p> <p>Scoring:</p> <p>Divide the number of criteria met 8.</p> <p>For example, if all the criteria are found in the orientation materials except hazard reporting, the auditor would score 88% (7/8).</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> State how many of the 8 criteria are met. List any criteria not found. Include at least one example of how one of the criteria is or is not addressed by the orientation materials. 	Doc (0-16)

	10. incident and near miss reporting. 11. sign off by the employee and person conducting the orientation.						
E.1.b	Do supervisory personnel ensure orientations were conducted prior to the employees starting their regular duties?	<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 must 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)	Based on Alberta Bill 30 Requirements AB OHS ACT PART 1, 4			
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>	Doc (0-9)	D.1.b	Are employee orientations carried out within an appropriate time frame?	<p>Determine the company’s time frame for delivering their 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 worksite should be communicated on the first day of work.</p> <p>Review a sampling of orientation records to verify compliance with the timeframes identified.</p> <p>Scoring:</p>	Doc (0-5)

		<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 must 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. <p>*If n/a is applied, auditor must justify n/a in the note.</p>				<p>Divide the number of orientation records that demonstrate orientations completed within an appropriate time frame by the total number of records sampled.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of orientation records that were or were not completed within an appropriate time frame. • At least one example of an orientation completed or not completed in a timely fashion or a summary of company policy or practice with respect to orientation timing. 	
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 must 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)	D.1.c	Are orientations given to all newly hired employees and transferred employees?	<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 score is based on the percentage of new hired or transferred employees that verify they received an orientation.</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 must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified or failed to verify they received an orientation. • At least one typical comment regarding their orientation. <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 must 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 • 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)	D.1.d	Are employee orientations appropriate for the company's operational processes, hazards and controls?	<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 worksite(s).</p> <p>Scoring:</p> <p>The score is based on the percentage of newly hired or transferred employees that can verify they received an orientation appropriate for the hazards and controls of their tasks and worksite.</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 must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verify or fail to verify they received an <i>appropriate</i> orientation. • At least one typical comment regarding the scope or depth of the orientation or lack of an appropriate orientation. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-10)
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>	Int (0-6)	D.1.e	Are workers made aware of their right to refuse unsafe work during employee orientations?	<p>Interview employees <i>hired or transferred in the previous twelve months</i>.</p> <p>Determine if they were made aware of their right to refuse unsafe work during orientations.</p> <p>Scoring:</p> <p>The score is based on the percentage of newly hired employees that verify they were made aware of their right to refuse unsafe work during orientation.</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 must include:</p>	Int (0-10)

		<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 must 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>				<ul style="list-style-type: none"> The percentage or tally of interviewees that can confirm or fail to confirm they were made aware of their right to refuse work during their orientation. At least one typical comment offered by interviewees regarding this information. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
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> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> How many of the criteria were verified. An example of criteria met or not met. 	Doc (0, 6)	D.1.f	<p>Is there a process to ensure site-specific orientations that:</p> <ul style="list-style-type: none"> apply to employees (where employees move between sites), apply to contractors (where applicable), apply to visitors (where applicable), address emergency procedures, and hazard reporting? 	<p>Review company policy and/or records to determine if there is a process for ensuring or confirming site-specific orientations. Site specific orientations may be conducted by the company itself or another party on the worksite.</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) require orientations for employees moving between sites, contractors, and/or visitors. If the site-specific orientation process ensures all of the applicable categories of individuals new to the site (employees, contractors, and/or visitors) receive a site-specific orientation. If the site-specific orientation always addresses emergency procedures and hazard reporting. <p>Scoring:</p> <p>Divide the number of applicable criteria found by the total number of applicable criteria.</p> <p>Score 0% if emergency procedures or hazard reporting are not covered by the process.</p> <p>For example, the company has a work site where different employees work at different stages in a project and they can also expect visitors and contractors. Therefore, all 5 criteria are applicable. If work site procedures ensure contractors and visitors are informed of emergency procedures and hazard reporting but company employees newly arriving on the site are not, the auditor would score 80% (4/5). If in this</p>	Doc (0-5)

					<p>case hazard reporting was not covered, the auditor would score 0%.</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • Clarify if the company’s operations require a site-specific orientation for newly arriving employees, contractors and/or visitors. • State whether employees, contractors, and/or visitors would receive a site-specific orientation based on the process in place. • State if the site-specific orientation includes both emergency procedures and hazard reporting. • Include at least one company specific example of how the site-specific orientation is conducted or how orientation is ensured. • State the score applied.
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. • <i>Includes verification that the orientations are being completed prior to commencing any work activities.</i> <p>Scoring:</p> <p><i>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.</i></p> <p><i>Score 0% if it cannot be verified that the orientations are completed prior to commencing work activities.</i></p> <p>Validation Note:</p>	Doc (0, 2)	<p>New question from splitting out the criteria required for D.1f.</p>	

		<p>The note must 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% was awarded. 					
E.1.i	Are site-specific orientations provided prior to starting work on a new site?	<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 <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 must 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>	Int (0-3)	D.1.g	Are site-specific orientations provided prior to starting work on a new site?	<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 • Contractors coming to work on a new work site <p>Determine if site-specific orientations were provided for workers unfamiliar with a given worksite or work on a new site prior to starting work on that site.</p> <p>Scoring:</p> <p>The score is based on a percentage of interviewees that could verify either they provided site-specific orientations for new arrivals on a worksite or they received a site specific orientation before starting work on a new site.</p> <p>Auditor may apply an n/a if the company operations have not included any new sites or contractors on their sites in the previous twelve months.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that could or could not confirm site-specific orientations were provided. • At least one typical comment on site-specific orientations. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-25)
2. Job Specific Training				2. Job Specific Training			
E.2.a	Has the company defined the required qualifications for health and safety sensitive	<p>Definition: Qualifications</p> <p>Qualifications are skills or attributes a person must have before they are hired by the company to do the job. The</p>	Doc (0-9)	D.2.a	Has the company defined the required qualifications for	<p>Definition: Qualifications</p> <p>Qualifications are skills or attributes a person must have before they are hired by the company to do the job. The</p>	Doc (0-6)

	<p>positions/disciplines where appropriate?</p>	<p>audit is concerned with qualifications that are essential or required by law for a new hire to do their job safely.</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). <p>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.</p> <p>Note: Not all positions/disciplines may have qualification requirements that are applicable to safety.</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>employees where appropriate?</p>	<p>audit is concerned with qualifications that are essential or required by law for a new hire to do their job safely</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) • Worksite related training (e.g., TDG, WHMIS, First Aid, H2S Alive) • Any other company requirements. <p>Note that in some cases, qualifications beyond fitness for duty may not be required, especially where on-the-job or post hire training is the norm. The auditor should justify these exceptions in the auditor note.</p> <p>Scoring:</p> <p>Divide the number of records in the sample that provide evidence of the company defining appropriate qualifications for employee positions by the total number of records in the sample.</p> <p>Score 0% if qualifications have not been defined for any company position.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of records that demonstrate or fail to demonstrate appropriate employee qualifications have been defined. • At least one example of a role with applicable qualification(s) where the available records show or fail to show the company has documented this requirement. <p>If part of the sample contained positions that would not typically require qualifications in advance of taking the position, these should be accounted for in the note.</p>	
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		<p>The note must 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 <i>exclusively low risk administrative work sites</i> where qualifications for health and safety sensitive positions/disciplines are not required.</p> <p>Validation Note:</p> <p>The note must 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, or • Justify why n/a was applied. 	Doc (0-9)	D.2.b	Does the company confirm appropriate qualifications are met before employees are allowed to perform their job?	<p>Based on the sample reviewed in D.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 confirm qualifications are 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 D.2.a.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of employees that demonstrated or failed to demonstrate the company's diligence in tracking job qualifications. • At least one example of qualifications being confirmed. 	Doc (0-10)

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 must 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. <p>{AB OHS ACT 1(xx) “train” or any similar term or word means to give information and explanation to a worker with respect to a particular subject-matter and to require a practical demonstration that the worker has acquired knowledge or skill related to the subject-matter}</p>	Doc (0,9)	D.2.e	<p>Is there a formal process for ensuring job-specific training that includes both:</p> <ul style="list-style-type: none"> • job specific hazards, and • any applicable work procedures or practices? 	<p>Determine if there is a system or process or a documented procedure for training that ensures both job-specific hazards and required work procedures are covered. Documents that may be used to validate a system exists may include training records, orientations, on the job training programs, policies, or procedures.</p> <p>Job-specific training should be appropriate to the nature of the positions and tasks.</p> <p>Scoring:</p> <p>Score 100% if both job-specific hazards and procedures are covered.</p> <p>Score 50% if only one of the criteria is present.</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • Summarize the process used to ensure job-specific training. • State if this training covers job specific hazards and/or applicable work procedures or practices. • Indicate the score applied. 	Doc (0-6)
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E.2.d	Is the appropriate job-specific training provided?	<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 sufficient 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> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verified receiving sufficient job-specific training. • An example comment of how or when the training was or was not provided. 	Int (0-9)	D.2.f	Is the appropriate job-specific training provided?	<p>Interview middle manager, supervisors and workers newly hired or who have been assigned new tasks or operations in the previous twelve months.</p> <p>Determine if they received sufficient job-specific training when first hired, when new tasks were assigned, or when operations or positions changed.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewees that confirm they received sufficient job-specific training for their new tasks or operations.</p> <p>Auditor may apply an n/a if no employees were hired or changed their tasks in the previous 12 months.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that confirm or do not confirm receiving appropriate job-specific training in the previous twelve months. • At least one typical comment on the training provided or not provided. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-15)
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>	Doc (0-9) Int (0-9)	D.2.g	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 must include:</p>	Doc (0-10) Int (0-10)

		<p><u>Validation Note:</u> The note must 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 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><u>Scoring:</u> The auditing software will award a percentage based on the auditor’s data entry of positive and negative findings. 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><u>Validation Note:</u> The note must 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. <p>*If n/a is applied, auditor must justify n/a in the note.</p>				<ul style="list-style-type: none"> • The percentage or tally of records that confirm or do not confirm refresher training was provided. • At least one example of a type of training that requires refreshing or renewal or an example of renewal training that was or was not carried out. <p>INTERVIEW Interview supervisors and workers to determine if they should have received refresher training in the previous 12 months and if they did in fact receive the training.</p> <p><u>Scoring:</u> The score is based on the percentage of interviewees that confirm they were required to conduct refresher training and did so in the previous twelve months. 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><u>Validation Note:</u> The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that confirm or do not confirm receiving required refresher training. • At least one typical comment on refresher training. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
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, 	<p>DOCUMENTATION Review the company’s orientation and/or training program, specific to any supervisory role, to verify the 5 listed criteria are covered. Note that supervisory-specific training would be applicable to anyone assigned responsibility to oversee workers regardless of whether or not they hold the supervisor designation.</p> <p><u>Scoring:</u></p>	Doc (0-5)	D.2.h	<p>Is there a documented supervisor training program that includes the following topics:</p> <ul style="list-style-type: none"> • job responsibilities, • regulations and legislative requirements, • policies and procedures, 	<p>Review the company’s supervisor orientation and/or training program to verify the 5 listed criteria are covered. Note that supervisor training would be applicable to anyone taking responsibility to oversee workers regardless of whether or not they hold the supervisor designation</p> <p><u>Scoring:</u> Divide the number of criteria met by the company’s supervisor training program by a total of 5 criteria.</p>	Doc (0-5)

	<p>3. policies and procedures,</p> <p>4. supervisory skills (e.g., coaching, evaluative skills, mentorship, conflict management, etc.), and</p> <p>5. emergency procedures.</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 must 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. 			<ul style="list-style-type: none"> • supervisory skills (e.g., coaching, evaluative skills, mentorship, conflict management, etc.), and • emergency procedures? 	<p>Score 0% if there is no supervisor-specific training; n/a is not an option.</p> <p>For example, if the supervisor training program covers all of the listed topics except supervisory skills, score 80% (4/5).</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • State how many of the 5 criteria are met. • List any criteria not found. • Include at least one example of how one of the criteria is or is not addressed by the training program. 	
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> <p>The note must 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. 	Doc (0-5) Int (0-5)	D.2.i	<p>Have all supervisors received this training?</p>	<p>DOCUMENTATION</p> <p>Review a sample of supervisors to determine if they have received their required supervisor training.</p> <p>Scoring:</p> <p>Divide the number of supervisors in the sample that have completed all their required supervisor training by the total number of supervisors sampled.</p> <p>Score 0% here if D.2.h. is scored 0; n/a is not an option.</p> <p>Validation Note:</p> <p>The note must provide:</p> <ul style="list-style-type: none"> • The percentage or tally of the sampled supervisors that have or have not completed their required supervisor training. • At least one example of training completed or not completed or how and when supervisor training was conducted. <p>INTERVIEW</p>	Doc (0-5) Int (0-10)

		<ul style="list-style-type: none"> 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 must 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. 				<p>Interview supervisors to determine if they have received the required supervisor training.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewed supervisors that can confirm they have received their required supervisor training.</p> <p>Score 0% here if D.2.h. is scored 0.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> A percentage or tally of supervisors that confirmed or failed to confirm they received their required supervisor training. At least one typical comment on the training received or 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 	Doc (0-9)	D.2.c	Has the company defined competencies for each position?	<p>Definition: Competency</p> <p>Competency is the cluster of knowledge, skills, and sufficient experience required to successfully perform a work task with little or no supervision. A given job or position may require multiple competencies.</p> <p>Review a sample of positions or jobs to determine if competency requirements have been captured. These may be found in:</p> <ul style="list-style-type: none"> Training matrix 	Doc (0-5)

		<ul style="list-style-type: none"> • Industry standards • Job task inventory <p><i>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".</i></p> <p>Scoring: 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: The note must 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. 			<ul style="list-style-type: none"> • Job descriptions • Industry standards <p>Scoring: Divide the number of positions or jobs in the sample that have competency requirements documented by the company by the total number of positions or jobs sampled.</p> <p>Score 0% if competencies have not been defined for any company position.</p> <p>Validation Note: The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of positions with competencies defined or not defined. • At least one example where competencies have or have not been defined. 	
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: The auditing software will award a percentage based on the auditor's data entry of positive and negative findings.</p>	Int (0-9)	<p>Alberta Bill 30 Requirement AB OHS REG 13(1)</p>		

		<p>Validation Note:</p> <p>The note must 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. 					
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> <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 must 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. 	Doc (0-9)	D.2.d	Are all employees deemed competent for the tasks they are completing?	<p>Definition: Deemed competent</p> <p>An evaluation or assessment of an individual that verifies they have the necessary knowledge, skills, and sufficient experience required to successfully perform a task with little or no supervision.</p> <p>Using the results from D.2.c, determine if the company has a method or process for checking competencies. Review employee records or whatever method a company uses for documenting competency checks. Create a sample of employees in positions with defined competencies or a sample of positions. Use this sample to measure how many employees or positions have documented evidence that some form of competency assessment or check took place.</p> <p>Scoring:</p> <p>Divide the number of records in the sample that confirm competencies have been assessed by the total number of records sampled.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of instances where competencies have or have not been checked or assessed. • At least one company specific example of where a competency check has or has not been carried out. 	Doc (0-10)

Element F: Emergency Response				Element E: Emergency Response			
1. Emergency Response Plans				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 must 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)	E.1.a	Is there an ongoing process or system in place to identify the potential emergency scenarios applicable to the company's operations?	<p>Interview 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 score is based on a percentage of interviewees that indicate knowledge of either how the original scenarios were identified or developed or are subsequently revised.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that confirm or fail to confirm knowledge of how the company identifies potential emergency scenarios. • At least one typical comment regarding the process. 	Int (0-5)
F.1.b	Does the Emergency Response Plan sufficiently identify the potential emergency scenarios applicable to the company's operations and legislative requirements?	<p>DOCUMENTATION</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 	Doc (0-6) Obs (0-10)	E.1.b	Does the Emergency Response Plan sufficiently identify the potential emergency scenarios applicable to the company's operations and legislative requirements?	<p>DOCUMENTATION</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 	Doc (0-5) Obs (0-5)

		<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>Scoring:</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>Validation Note:</p> <p>The note must 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. In particular, determine if any scenarios covered by legislation were missed.</p> <p>Scoring:</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>Validation Note:</p> <p>The note must provide:</p> <ul style="list-style-type: none"> • The number of scenarios present in the ERP. 			<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>Scoring:</p> <p>Divide the number of emergency scenarios found in the ERP by the total number of potential emergency scenarios created based on a company's operations or legislation.</p> <p>Validation Note:</p> <p>The note must provide:</p> <ul style="list-style-type: none"> • The percentage or tally of potential scenarios found in the ERP. • A description and justification for any potential scenario(s) generated by the auditor that failed to appear in the ERP. • At least one example of a relevant scenario if all potential scenarios appeared 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 worksite. In particular, determine if any scenarios covered by legislation were missed.</p> <p>Scoring:</p> <p>Divide the number of emergency scenarios in the ERP for the worksite by the total number of emergency scenarios applicable to that worksite (those found in the ERP + any observed to be missing during the worksite visit).</p> <p>Validation Note:</p> <p>The note must provide:</p> <ul style="list-style-type: none"> • The percentage or tally of scenarios present or absent in the ERP. • A description and justification for any potential scenarios observed by the auditor during the site visit not present in the ERP. 	
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		<ul style="list-style-type: none"> 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>				<ul style="list-style-type: none"> At least one example of a relevant scenario should be noted if all potential scenarios appeared in the ERP. 	
F.1.c	<p>Does the Emergency Response Plan outline?</p> <ol style="list-style-type: none"> communication procedures, emergency contacts, evacuation plans, and 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 must 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)	E.1.c	<p>Does the Emergency Response Plan outline:</p> <ul style="list-style-type: none"> communication procedures, emergency contacts, evacuation plans, and rescue plans? 	<p>Review a sample of emergency scenarios in the company's ERP to determine if the 4 criteria are included for every scenario (to the extent applicable for individual scenarios). If possible, ensure at least one scenario allows for an opportunity for all four criteria to be present.</p> <p>Scoring:</p> <p>Divide the number of emergency scenarios that address the four criteria (as applicable) by the total number of emergency scenarios sampled.</p> <p>For example, if there were 5 scenarios all with the first three criteria, but one of them should also have rescue plans and does not, the auditor would score 80% (4/4).</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of scenarios that meet the applicable criteria At least one example of a scenario that meets or fails to meet all the applicable criteria. 	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>	Doc (0,5) Obs (0-10)	E.1.d	<p>Are equipment and supplies for non-medical 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 non-medical emergency supplies have been identified for the emergency scenarios (or a sampling of scenarios) listed in the ERP or emergency system.</p> <p>At minimum, supply lists must meet regulatory requirements for the company operations (e.g., fire extinguishers, spill kit, SCBA, etc.).</p> <p>Scoring:</p>	Doc (0-5) Obs (0-10)

		<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><u>Validation Note:</u></p> <p>The note must include:</p> <ul style="list-style-type: none"> • The number of documented equipment and supplies. • The number of required equipment and supplies that were expected to be identified in the ERP • An example of a documented equipment or supply, or one that was required if none had been identified. <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><u>Scoring:</u></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><u>Validation Note:</u></p> <p>The note must include:</p> <ul style="list-style-type: none"> • The number of locations where equipment and supplies were observed. • The number of locations where equipment and supplies were expected. • An example of any equipment and supplies, required by regulation, found or not found as expected. 				<p>Divide the number of scenarios that have required non-medical emergency supplies documented by the total number of scenarios sampled from the ERP.</p> <p>Score 0% if non-medical equipment or supplies are not documented.</p> <p><u>Validation Note:</u></p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of the scenarios that documented or failed to document non-medical emergency supplies. • An example of required equipment or supplies that address non-medical emergencies that are or are not documented. <p>OBSERVATION</p> <p>Review any emergency equipment listed in the ERP that is applicable to worksite(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><u>Scoring:</u></p> <p>Divide the number of pieces of appropriate non-medical emergency equipment observed on the worksite by the total number of pieces of equipment expected based on the ERP (or regulatory requirements).</p> <p><u>Validation Note:</u></p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of equipment observed or not observed. • A summary of any equipment expected but not observed at the worksite (if applicable). • At least one example of worksite emergency equipment meeting regulatory requirements or required equipment missing. 	
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2. Medical Emergencies				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 must 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)	E.2.a	<p>Is there a plan or procedure to address:</p> <ul style="list-style-type: none"> • medical emergencies, • rendering first aid, and • reporting first aid incidents? 	<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 not policy or procedure regarding reporting first aid incidents, score 67% (2/3).</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • State how many of the 3 criteria are met. • List any criteria not found. • Include at least one example of how one of the criteria is or is not addressed by a company plan or procedure. 	Doc (0-6)
F.2.b	<p>Are the correct number of employees trained in first aid as required by occupational health and safety legislation?</p>	<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 must include:</p> <ul style="list-style-type: none"> • The percentage awarded. • A list of any work sites sampled that did not meet OHS first aid requirements. 	Doc (0, 6)	E.2.b	<p>Are the correct number of employees trained in first aid as required by occupational health and safety legislation?</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 must:</p> <ul style="list-style-type: none"> • State the score. • List any work sites sampled that did not meet OHS first aid requirements. 	Doc (0,5)

		<ul style="list-style-type: none"> An example of how a company met or failed to meet its legislated first aid requirements for a work site. 				<ul style="list-style-type: none"> Provide at least one example of a worksite and its legislated first aid requirements and how company staffing meets or fails to meet these requirements. 	
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 for all work sites sampled.</p> <p>Score 0% if any work sites sampled did not meet OHS first aid equipment and supply requirements.</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 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)	E.2.c	Are appropriate first aid equipment and supplies available in accordance with occupational health and safety legislation?	<p>Review provincial occupational health and safety (OHS) regulations for first aids supplies required for a sample of work sites to be visited. Observe first aid equipment and supplies at the sampled sites during worksite visits.</p> <p>Scoring:</p> <p>Score 100% if minimum provincial OHS regulations for first aid equipment and supplies are met for all work sites sampled.</p> <p>Score 0% if any work sites sampled did not meet OHS first aid equipment and supply requirements.</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> State the score. List any work sites sampled that did not meet OHS first aid equipment and supply requirements. Provide at least one example of a worksite and the first aid equipment and supplies required for that site and how observed equipment and supplies did or did not meet those requirements. 	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>	Doc (0,8)	E.3.a	Do the ERP plans outline responsibilities?	<p>Review a sample of emergency scenarios in the ERP and confirm responsibilities are assigned to positions, levels or individuals (e.g., evacuate self, conduct roll-call, call 911, etc.). Determine if each sampled scenarios has appropriate and sufficient responsibilities outlines either within the scenario itself or within the ERP generally.</p> <p>Scoring:</p> <p>Divide the number of scenarios in the ERP that have sufficient corresponding responsibilities outlined by the total number of scenarios.</p> <p>Validation Note:</p>	Doc (0-10)

		<p>Score 0% <i>if no responsibilities are identified.</i></p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The score awarded. An example of a responsibility assigned or not assigned. 				<p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of scenarios that include (or are covered by) assigned responsibilities or not. At least one company specific example of a responsibility assigned or not assigned. 	
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)	E.3.b	Have responsibilities outlined in the Emergency Response Plan been communicated?	<p>Interview employees to confirm they are aware of their responsibilities within the ERP. Responses should be consistent with written responsibilities (see E.3.a).</p> <p>Scoring:</p> <p>The score is based on the percentage of employees that are aware of their responsibilities divided by the total number of employees interviewed.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of the employees aware or unaware of their responsibilities. At least one typical comment regarding their responsibilities or how these were communicated to them. 	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>	Int (0-15)	E.3.c	Has training been provided to employees given specific responsibilities in the Emergency Response Plan?	<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 score is based on the percentage of interviewees that verify receiving training for their assigned ERP tasks.</p> <p>Validation Note:</p> <p>The note must include:</p>	Int (0-15)

		<p>The note must 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. 				<ul style="list-style-type: none"> The percentage or tally of interviewees that were or were not able to verify receiving training for their ERP task. At least one typical comment regarding this training. 	
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 must 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)	E.3.d	Has the competency of the employees given specific responsibilities in the Emergency Response Plan been assessed?	<p>Review a sample of records to determine if the company has assessed the competency of individuals assigned specific responsibilities in the ERP. 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 <p>Group-based assessment may be appropriate as well (e.g., firefighters, rescue team, etc.).</p> <p>Scoring:</p> <p>Divide the number of employees or positions with ERP responsibilities that show evidence of competency assessment by the total number of employees or positions in the sample.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of employees with ERP responsibilities that have or have not been assessed. A summary of how competency is assessed or an example of a role or position that has or has not been assessed for their ERP responsibilities. 	Doc (0-8)
4. Drills and Evaluations				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 must 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)	E.4.a	<p>Is there a process to evaluate the Emergency Response Plan for effectiveness, including:</p> <ul style="list-style-type: none"> • testing at least annually, • a means of identifying deficiencies, and • a means of correcting deficiencies? 	<p>Review ERP-related system documentation (policies/procedures) or records (emergency drills) to establish if all 3 criteria listed in question are met.</p> <p>Scoring:</p> <p>Divide the number of criteria verified by 3.</p> <p>For example, if a company runs annual drills but has no process to document and correct deficiencies, score 33% (1/3).</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • State how many of the 3 criteria are met. • List any criteria not found. • Include at least one example of how one of the criteria is or is not addressed by ERP evaluation processes. 	Doc (0-15)
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>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.</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 must include:</p>	Doc (0-10) Int (0-15)	E.4.b	<p>Is the process and schedule for testing the ERP being met?</p>	<p>DOCUMENTATION</p> <p>Review documentation to verify a company's established process and schedule for testing the ERP. Review a sample of ERP testing or drill records to establish their date and frequency. Verify that the company is meeting its own standard on ERP testing and drills. Live or table-top exercises are acceptable.</p> <p>Note that a company is not required to test every ERP scenario annually. However, if the company's policy states that it will do so, it must be evaluated on that basis.</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 or if no testing or drills were documented.</p> <p>Validation Note:</p>	Doc (0-10) Int (0-15)

		<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. <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 must 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. 				<p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of expected ERP tests or drills completed or not completed. At least one company specific example of a test or drill that was completed or left undone. <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 score is based on the percentage of interviewees that confirm their participation in some form of ERP exercise or drill in the previous twelve months.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of employees able or unable to recall participation in an ERP exercise or drill. At least one typical comment related to ERP exercises or drills. 	
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 must include:</p>	Doc (0-10)	E.4.c	Are Emergency Response Plans deficiencies identified and corrected?	<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, the test or drill was evaluated, and no deficiencies were identified.</p> <p>Score 0% if no drills or tests are documented.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of documented ERP deficiencies corrected or uncorrected. 	Doc (0-15)

		<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>				<ul style="list-style-type: none"> At least one company specific example of a deficiency 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>	
Element G: Incident Reporting and Investigation				Element F: Incident Reporting and Investigations			
1. Incident Reporting				1. Reporting Incidents			
G.1.a	<p>Does the company have written requirements for reporting incidents that include?</p> <ol style="list-style-type: none"> a requirement to report workplace incidents immediately, including injuries, illnesses, near misses and work refusals; the protection of evidence as required by legislation; and 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 must 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)	F.1.a	<p>Are there written requirements for reporting incidents which include:</p> <ul style="list-style-type: none"> a requirement to report workplace incidents immediately, including injuries, illnesses and near misses; the protection of evidence as required by legislation; and an outline of the types of incidents that must be reported to the applicable governing authority? 	<p>Review the company's documented 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>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> State how many of the 3 criteria are met. List any criteria not found. Include at least one example of how one of the criteria is or is not addressed in written requirements for incident reporting. 	Doc (0-6)
G.1.b	Do employees understand incident-reporting requirements?	<p>INTERVIEW</p> <p>Interview all employees to determine if they understand the requirements and process for incident reporting as per company requirements.</p>	Int (0-5)	F.1.b	Do employees understand incident reporting requirements?	<p>Interview all employees to determine if they understand their company's requirement and process for incident reporting.</p> <p>Scoring:</p>	Int (0-10)

		<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 must 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. 				<p>The score is based on the percentage of employees that understand their company’s incident reporting requirements.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of employees that did or did not understand their company’s incident reporting requirements. • At least one typical comment on the incident reporting process. 	
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 must 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)	F.1.c	Are all incidents being reported as required by the policy?	<p>Interview supervisors and workers to verify that incidents are reported as required by policy or procedures.</p> <p>Scoring:</p> <p>The score is based on the percentage of interviewees that confirm incidents are reported as required.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that did or did not confirm incidents were reported as required. • At least one typical comment on incident reporting culture. 	Int (0-20)
2. Incident Investigation Standards				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 	<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 must include:</p>	Doc (0-9)	F.2.a	<p>Are there written requirements for investigating incidents which include:</p> <ul style="list-style-type: none"> • the intent/purpose of investigating incidents, • a definition of roles and responsibilities in the investigation process, 	<p>Review incident investigation policies, procedures, and/or forms to determine if the 7 criteria listed are documented.</p> <p>Scoring:</p> <p>Divide the number of criteria met by 7.</p> <p>For example, if all the criteria are met except senior management review, score 86% (6/7).</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • State how many of the 7 criteria are met. 	Doc (0-14)

	<p>the investigation process,</p> <p>3. the requirement to include an employee competent in the task related to the incident,</p> <p>4. the requirement to initiate investigations immediately,</p> <p>5. an outline of the types of incidents that need to be investigated, including work refusals,</p> <p>6. identification of contributing and underlying factors,</p> <p>7. an analysis of investigation findings,</p> <p>8. follow-up on corrective actions, and</p> <p>9. senior management review and sign-off.</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. <p>Alberta Partnerships Audit Standard 9.93-9.95</p> <p>AB OHS ACT, PART 5 (40)(5)(c)</p>			<ul style="list-style-type: none"> • the requirement to include an employee competent in the task related to the incident, • the requirement to initiate investigations immediately, • an outline of the types of incidents that need to be investigated, • a requirement to investigate all work refusals, and • senior management review and sign-off? 	<ul style="list-style-type: none"> • List any criteria not found. • Include at least one example of how one of the criteria is or is not addressed by the written requirements for incident investigations. 	
G.2.b	<p>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</p>	<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>	Int (0-5)	F.2.b	<p>Are managers and supervisors aware of their assigned responsibilities in the initiation, coordination and/or monitoring of incident investigations and/or the investigation procedures?</p>	<p>Review company policy on incident investigations and procedures and note specific responsibilities assigned to 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). If they do not have specific assigned responsibilities, they must still be aware of the investigation procedures more generally.</p>	Int (0-20)

	investigation procedures?	<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 must 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. 				<p>Scoring: The score is based on a percentage of the managers and supervisors showing an appropriate level of awareness of their responsibilities for investigation activities.</p> <p>Validation Note: The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that were or were not aware of their investigation responsibilities. • At least one typical comment regarding their responsibilities or the investigation procedures. 	
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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 must 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> <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 must 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. 	Doc (0-5) Int (0-5)	F.2.c	Has investigation training been provided to individuals assigned the task of investigation?	<p>DOCUMENTATION</p> <p>Determine the individuals assigned incident investigation duties and draw a sample of these. Review the investigation system and training records. Verify training has been provided to these individuals assigned investigation duties (may be on-the-job, formal third party, etc.).</p> <p>Scoring:</p> <p>Divide the number of individuals trained for their investigation duties by the total number of individuals in the sample.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of individuals with investigation duties that did or did not have documented training. • At least one company specific detail on the nature of the training required or 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> <p>Scoring:</p> <p>The score is based on the percentage of interviewees that confirm some type of training related to their incident investigation responsibilities.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage of interviewees that did or did not confirm training related to their incident investigation responsibilities. • At least one typical comment on the training required or received. 	Doc (0-5) Int (0-5)
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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>Scoring:</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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The score awarded. • A summary of the process for documenting and implementing investigator recommendations. <p>or</p> <p>An explanation of why 0% was awarded.</p>	Doc (0,4)	F.2.d	Is there a process for documenting and implementing investigator recommendations?	<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>Scoring:</p> <p>Score 100% if corrective actions from investigator recommendations are both documented and their implementation tracked or managed.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The score assigned. • A brief description of the system that demonstrates it includes both documentation of investigator recommendations and a means of tracking or managing implementation. 	Doc (0,15)
3. Conducting Incident Investigations				3. Conducting Incident Investigations			
G.3.a	Are all investigations started within a prompt, reasonably practicable timeline appropriate to the nature of the investigation?	<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</p>	Doc (0,5) Int (0,5)	F.3.a	Are all investigations started within a prompt, reasonably practicable timeline appropriate to the nature of the investigation?	<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</p>	Doc (0,5) Int (0,5)

		<p>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 exclusively low risk administrative work sites 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 must 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>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>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 investigation sampled and enter this percentage.</p> <p>If 80% or higher is entered, full points will be awarded (automatically by the eC-AuditTool).</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 exclusively low risk administrative work sites where there were no incidents or near misses.</p> <p>The auditor must show diligence in confirming there were no incidents and justify the worksite as exclusively low risk and administrative in its operations.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of investigation that did or did not start within an appropriate time. • At least one company specific 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>INTERVIEW</p> <p>Interview managers, supervisors and any workers who have been on a worksite 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 score is based on the percentage of interviewees that can verify investigations they are familiar with began promptly.</p>	
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		<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 exclusively low risk administrative work sites 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 must 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>			<p>The eC-AuditTool will award full point is the score is at or above 80% and 0 points if it is below 80%.</p> <p>Score 0% if no investigations were completed.</p> <p>The auditor may apply an n/a only in the case of exclusively low risk administrative work sites where there were no incidents or near misses.</p> <p>The auditor must show diligence in confirming there were no incidents and justify the worksite as exclusively low risk and administrative in its operations.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that verify or fail to verify investigations begin promptly. • At least one typical comment regarding the start of investigations. <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)	New Question based on WorkSafeBC Requirements.		

		<p>The auditor may apply an n/a only in the case of exclusively low risk administrative work sites where there were no incidents or near misses.</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 must 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>Scoring:</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 exclusively low risk administrative work sites where there were no incidents or near misses.</p> <p>Validation Note:</p> <p>The note must 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. 	Doc (0-5)	F.3.b	Do investigations identify root causes?	<p>Review a sample of completed incident investigation records. The investigations can also include near misses. Verify root causes were identified.</p> <p>Scoring:</p> <p>Divide the number of investigations that include root causes 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 exclusively low risk administrative work sites where there were no incidents or near misses.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of investigations that did or did not identify root causes. • An example of a root cause provided or not provided in an investigation. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Doc (0-15)

		<ul style="list-style-type: none"> 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>					
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>Scoring:</p> <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 exclusively low risk administrative work sites where there were no incidents or near misses.</p> <p>Validation Note:</p> <p>The note must 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>	Doc (0-5) Int (0-5)	F.3.c	Are incident investigations reviewed by a senior manager?	<p>DOCUMENTATION</p> <p>Determine if the company has defined or documented which level of management reviews which type of investigation. If it has, this should be used to verify compliance. Otherwise, determine if anyone in senior management has been reviewing investigation.</p> <p>Sample completed incident investigation records. Verify investigations were reviewed by at least one senior manager or the manager assigned review responsibilities (e.g., physical or electronic sign-off, documentation of date read, etc.).</p> <p>Scoring:</p> <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 exclusively low risk administrative work sites where there were no incidents or near misses.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of investigations that show or fail to show documented evidence of senior management review. At least one 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.</p>	Doc (0-5) Int (0-5)

		<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 only in the case of exclusively low risk administrative work sites where there were no incidents or near misses.</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 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>				<p>Interview these managers (or a sample of these 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>Scoring:</p> <p>The score is based on the percentage of applicable manager that confirm having reviewed incident investigations in the previous twelve months as required.</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 exclusively low risk administrative work sites where there were no incidents or near misses.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of managers that did or did not confirm their review of incident investigations. • At least one typical comment on their responsibilities in reviewing incident investigations. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
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>	Doc (0-5)	F.3.d.1	Are corrective actions resulting from incident investigations assigned?	<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 F.3.d.1, F.3.d.2, and F.3.d.3.</p> <p>For this audit question (F.3.d.1), 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 exclusively low risk administrative work sites where there were no incidents or near misses.</p>	Doc (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>Validation Note:</p> <p>The note must 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>				<p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of corrective actions assigned or not assigned. • At least one company specific detail either on how the corrective actions are tracked or an example of a corrective action assigned or not assigned. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
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> <p>The note must 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. 	Doc (0-5) Obs (0-15)	F.3.d.2		<p>DOCUMENTATION</p> <p>Review the sample of corrective actions from investigations created for F.3.d.1.</p> <p>Verify these corrective actions have been documented as completed.</p> <p>Ideally completion of corrective actions should be tracked and documented in a corrective action log or tracking system or incident data base. However, auditors have latitude to validate corrective actions were taken based on other documentation, e.g., work orders, invoices, etc.</p> <p>Scoring:</p> <p>Divide the number of completed corrective actions by the total number of corrective actions in the original sample (from F.3.d.1).</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 must include:</p> <ul style="list-style-type: none"> • The percentage or tally of corrective actions completed or not completed. 	Doc (0-5) Obs (0-5)

		<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 must 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>				<ul style="list-style-type: none"> • At least one company specific detail either on how the corrective actions are documented as complete or an example of a corrective action implemented or not implemented. <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. Determine if corrective actions were implemented during the worksite observation tour.</p> <p>Scoring:</p> <p>Divide the number of corrective actions implemented by the total number of potential corrective actions observed on the worksite 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 worksite. • 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 must include:</p> <ul style="list-style-type: none"> • The percentage or tally of potential corrective actions observed as implemented or not implemented on the worksite. • At least one 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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<p>G.3.g</p>	<p>Were the assigned corrective actions completed in a timely manner?</p>	<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> <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>Validation Note:</p> <p>The note must 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>Scoring:</p>	<p>Doc (0-5) Int (0-5)</p>	<p>F.3.d.3</p>	<p>Were the corrective actions completed in a timely manner?</p>	<p>Definition: Timely Manner</p> <p>A test of reasonableness must be applied when judging the length of time it takes for a company to complete a corrective action. For example, corrective actions requiring major resources will require more time be addressed than a relatively simple matter. The level of risk presented by the deficiency being addressed should also be considered—higher risk deficiencies require more immediate action than lower risk deficiencies.</p> <p>DOCUMENTATION</p> <p>Review the sample of corrective actions from investigations created for F.3.d.1. 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> <p>Divide the number of corrective actions completed in a timely manner by the total number of corrective actions in the original sample (from F.3.d.1).</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 must include:</p> <ul style="list-style-type: none"> • The percentage or tally of corrective actions that were or were not completed in a timely manner. • At least one 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>Doc (0-5) Int (0-5)</p>
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		<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>Validation Note:</p> <p>The note must 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>				<p>Interview workers who were on a worksite where an incident occurred. Confirm that corrective actions following the investigation were completed in a timely manner, as judged by the interviewees.</p> <p>Scoring:</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 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>Otherwise, score 0% if no investigations were completed.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of workers that confirmed or did not confirm timely completion of corrective action from investigations. • At least one typical comment on how long it took corrective actions to be addressed. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
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>	Doc (0-2) Int (0-2)	F.3.e	Are 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 safety or other 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>	Doc (0-5) Int (0-10)

		<p>The auditor may apply an n/a only in the case of exclusively low risk administrative work sites where there were no incidents or near misses.</p> <p>Validation Note:</p> <p>The note must 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 from work sites that had an incident investigation. • If the company only has exclusively low risk administrative work sites, where there were no incidents or near misses. <p>Validation Note:</p> <p>The note must 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. • An example comment of how or when investigation findings for a work site was or was not communicated. 				<p>The auditor may apply an n/a only in the case of exclusively low risk administrative work sites where there were no incidents or near misses.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of investigations that had their findings communicated or not communicated. • At least one example of how investigation findings or a summary of findings were communicated. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>Interview supervisors or workers who were on a worksite 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 finding 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 from work sites that had an incident investigation. • If the company only has exclusively low risk administrative work sites where there were no incidents or near misses. <p>Otherwise, score 0% if no investigations were completed.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that confirmed or failed to confirm receiving incident investigation findings for incidents on their work sites. • At least one typical comment on the communication of investigation findings. 	
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		*If n/a is applied, auditor must justify n/a in the note.				*If n/a is applied, auditor must justify n/a in the note.	
4. Statistical Analysis				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 must 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)	F.4.a	Are statistics relating to health and safety collected?	<p>Review any documents that demonstrates the company gathers some form of health and safety statistics. Examples 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 <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.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The score assigned. • A summary of the type of statistics or the method by which statistics are collected. 	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. 	Doc (0, 5) Int (0-5)	F.4.b	Are health and safety statistics analyzed to identify trends?	<p>DOCUMENTATION</p> <p>Review any documents that verify the company's health and safety statistics were analyzed to identify trends. Trends can be based on the type of statistics collected in F.4.a.</p> <p>Scoring:</p>	Doc (0,10) Int (0-15)

		<ul style="list-style-type: none"> • Completing a certain task leads to the reporting of hand injuries. • Safety meetings are increasingly being conducted as required. <p>Scoring:</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>Validation Note:</p> <p>The note must 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>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 n/a for small companies with low risk or primarily administrative tasks that fail to produce statistically significant results.</p> <p>Validation Note:</p>				<p>Score 100% if there is evidence of the company analyzing their health and safety statistics.</p> <p>Score 0% of no points were awarded in F.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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The score assigned. • A summary of the type of analysis applied to the statistics. <p>*If n/a is applied for documentation, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>Interview 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>Scoring:</p> <p>The score is based on the percentage of interviewees that can verify they are familiar with their company’s health and safety trends or can identify the process to identify trends.</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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that could or could not verify familiarity with their company’s health and safety trends or process to identify trends. • A typical comment regarding the trends or process to identify trends. 	
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		<p>The note must 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. 					
Element H: System Administration				Element G: Communication			
1. Safety Communication				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 must 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)	G.1.a	<p>Does the company mandate regular two-way communication on current health and safety issues with employees at all levels?</p>	<p>Review safety communication policies, procedures, or processes to establish if the company mandates frequencies or timelines for their safety communication. All employees must be included in some form of regular safety communication.</p> <p>Scoring:</p> <p>Score 100% if there is some type of regular health and safety communication requirement established that includes all employees.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>Note must include:</p> <ul style="list-style-type: none"> • The score applied. • A description of the nature and frequency of at least one form of two-way safety communication designed for all employees 	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>	Doc (0-10) Int (0-10)	G.1.b	<p>Are two-way communications being conducted as required?</p>	<p>DOCUMENTATION</p> <p>Review a sample of safety communication records. Verify they follow the established frequency established in G.1.a.</p> <p>Scoring:</p>	Doc (0-10) Int (0-15)

		<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 must 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> <p>Interview all employees to confirm their participation in regular two-way safety communication.</p> <p>Scoring:</p> <p>The score is based on the percentage of employees that can confirm their participation in regular two-way safety communication.</p> <p>Validation Note:</p> <p>The note must 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. 				<p>Divide the number of records that demonstrate compliance with the company’s established policy by the total number of records / opportunities in the sample.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of records or opportunities that demonstrate or fail to demonstrate compliance with the company’s communication policy. • At least one example of a form of two-way communication that is or is not being regularly conducted as per policy. <p>INTERVIEW</p> <p>Interview all employees to confirm their participation in regular two-way safety communication.</p> <p>Scoring:</p> <p>The score is based on the percentage of employees that can confirm their participation in regular two-way safety communication.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of employees that confirm or fail to confirm their participation in the company’s two-way safety communication process. • At least one typical comment related to participation or lack of participation in this communication. 	
H.1.c	Are health and safety concerns identified through the two-way communications corrected in a timely manner?	<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</p>	Doc (0-4) Int (0-6) Obs (0-10)	G.1.d	Are significant items identified through the two-way communications 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 for a company to complete a corrective action. For example, corrective actions requiring major resources will require more time be addressed than a relatively simple matter. The level of risk presented by the deficiency</p>	Doc (0-4) Int (0-6) Obs (0-10)

		<p>any corrective actions based on these concerns are addressed in a “timely manner”.</p> <p>Scoring:</p> <p>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:</p> <p>The note must 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:</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 must 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</p>				<p>should also be considered—higher risk deficiencies require more immediate action than lower risk deficiencies.</p> <p>DOCUMENTATION</p> <p>Review a sample of two-way safety communication records for significant safety concerns raised (for example safety meetings, tool box talks, site specific hazard ID, etc.). Review documentation that tracks safety concerns raised during safety meetings. Verify that any corrective actions based on these concerns are addressed in a “timely manner”.</p> <p>Scoring:</p> <p>Divide the number of safety concerns that were addressed in a timely manner by the company by the total number of safety concerns sampled.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of safety concerns that were or were not addressed in a timely manner. • At least one example of a safety concern that was or was not addressed. <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:</p> <p>The score is based on the percentage of interviewees that verify issues raised in two-way safety communications are addressed in a timely manner.</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 or failed to verify issues raised in two-way safety communication were addressed in a timely manner. 	
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		<p>communication that can be verified on the sites to be visited. Verify these have been completed during the work site visit.</p> <p>Scoring:</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>Verification Note:</p> <p>The note must 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>				<ul style="list-style-type: none"> • At least one typical comment regarding timely responses to safety concerns raised. <p>OBSERVATION</p> <p>Create a sample of corrective actions arising from two-way safety communication that can be verified on sites to be visited. Verify these have been completed during the work site visit.</p> <p>Scoring:</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 safety communication.</p> <p>Auditor may apply an n/a to the observation validation if available corrective actions are not observable at the worksite visited.</p> <p>Verification Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of corrective actions from two-way safety communication that were or were not observed during the site visit. • At least one example of a corrective action raised in two-way safety communication that was or was not addressed in a timely manner based on work site observation. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	
2. Safety Records			2. Safety Records				
H.2.a	<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> <p>1. training records,</p>	<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>	Doc (0-6)	G.2.a	<p>Are the following records retained (as specified by legislation):</p> <ul style="list-style-type: none"> • training records, • inspections, • first aid records, • incident reports, 	<p>Review the types of records listed in the question. Verify they are each being maintained for at least three years or longer if specifically required by legislation.</p> <p>If the company or division being audited is less than three years old, points may be awarded for a policy on record keeping accompanied by records that demonstrate the system is implemented.</p> <p>Scoring:</p>	Doc (0-6)

	<p>2. inspections, 3. first aid records, 4. incident reports, 5. incident investigations, and 6. safety meeting minutes.</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: Divide the types of records maintained for three years or longer by 6. 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: The note must 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. 		<ul style="list-style-type: none"> • incident investigations, and • safety meeting minutes? 	<p>Divide the types of records maintained for three years or longer by 6. 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: The note must:</p> <ul style="list-style-type: none"> • State how many of the 6 criteria are met. • List any criteria not found. • Include at least one example of how one of the criteria is or is not addressed by the company's record retention practices. 	
H.2.b	Is health and safety information readily available to all employees?	<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: Score 100%, if health and safety information was readily available to employees <i>for all work sites sampled</i>. Score 0% <i>if any work sites sampled</i> did not have the health and safety information readily available.</p> <p>Validation Note: 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. 	Obs (0, 5)	<p>New Question based on Alberta Bill 30 Requirements AB OHS ACT, PART 2, 14</p>		
3. Health and Safety Management System Evaluation				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 policies or procedures 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, Action Plans or Safety Surveys.</p> <p>Scoring:</p> <p>Score 100% if there is a mandate for company mandate continuous improvement of the OHSMS</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>Note must 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)	New Question based on Alberta Partnerships Audit Standard 10.106
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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 must 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 align="center">New Question based on Alberta Bill 30 Requirements</p> <p align="center">AB OHS ACT, PART 5, 37(2)</p>
H.3.c	Do senior managers review the results of the previous year’s audit to initiate improvements where applicable and to set the strategic direction?	<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. The 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>	Doc (0, 4) Int (0-4)	<p align="center">New Question based on Alberta Partnerships Audit Standard 1.13 and WorkSafeBC Criteria</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 must 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>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 must include:</p>		
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		<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 an action plan was developed, based on the previous year COR or SECOR audit. Maintenance options with the COR program such as action plans, perception surveys, etc., also produce action plans that should be evaluated here. These action plans must show some correlation to the audit or maintenance option on which they are based.</p> <p>Scoring:</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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The score applied. An example of what was included in the 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 an action plan developed from the previous year's SECOR/COR audit or maintenance options.</p> <p>Score:</p>	Doc (0, 8) Int (0-10)	G.3.a	Has an action plan been developed to address the recommendations from the previous COR (or SECOR) audit?	<p>DOCUMENTATION</p> <p>Determine if an action plan was developed based on the previous year COR or SECOR audit. Maintenance options with the COR program such as action plans, perception surveys, etc., also produce action plans that should be evaluated here. These action plans must show some correlation to the audit or maintenance option on which they are based.</p> <p>Scoring:</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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The score applied. At least one example of what was included in the action plan if scoring 100%. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>Interview managers to determine if they are aware of an action plan developed from the previous year's SECOR/COR audit or maintenance options.</p> <p>Score:</p>	Doc (0-10) Int (0-10)

		<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 did not perform a COR or SECOR audit or maintenance option the previous year.</p> <p><u>Validation Note:</u></p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of interviewees that were aware of an action plan from the previous SECOR/COR audit. • An example of a comment regarding the action plan or lack of knowledge of that plan. <p>*If n/a is applied, auditor must justify n/a in the note.</p>				<p>The score is based on the percentage of managers that are aware of an action plan arising from the previous SECOR/COR audit.</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 must include:</p> <ul style="list-style-type: none"> • The percentage or tally of managers that were or were not aware of an action plan from the previous SECOR/COR audit. • At least one typical comment regarding the 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	Have the action items identified from the previous COR (or SECOR) audit been implemented or initiated?	<p>DOCUMENTATION</p> <p>Review the 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 must 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. 	Doc (0-8)	G.3.b	Has the action plan from the previous COR (or SECOR) audit been implemented?	<p>Review the action plan(s) from the previous year's COR (or SECOR) audit or maintenance option and draw a sample of corrective actions arising from that plan. Verify that these are implemented and/or tracking to completion based on the target dates.</p> <p><u>Scoring:</u></p> <p>Divide the number of corrective actions that were implemented or started by the total number of action items that were in the sample.</p> <p>Score 0% if G.3.a scored 0.</p> <p>The auditor may apply an n/a to this question if this is 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 must include:</p> <ul style="list-style-type: none"> • The percentage or tally of action items that were or were not implemented or started from the previous year's COR or SECOR audit or maintenance options. • At least one example of an action item completed or not completed. 	Doc (0-10)

		<ul style="list-style-type: none"> 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>				* If n/a is applied, auditor must justify n/a in the note.	
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 must 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)	G.3.c	Have the results of the previous COR (or SECOR) audit been communicated to employees?	<p>Interview managers and supervisors to determine if the general results of the previous SECOR/COR audit or maintenance option was communicated to all employees.</p> <p>Scoring:</p> <p>The score is based on the percentage of managers and supervisors that can confirm communication of the general results of the previous COR or SECOR audit or maintenance option.</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 must include:</p> <ul style="list-style-type: none"> The percentage or tally of interviewees that confirmed or failed to confirm the results of the previous COR or SECOR audit or maintenance option. At least one typical comment on the communication of the COR or SECOR results. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Int (0-5)
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 	Int (0-20)	New Question based on New Partnerships Audit Standard 6.65			

		<ul style="list-style-type: none"> • 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> <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>Validation Note:</p> <p>The note must 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	Are specific health and safety responsibilities written for other employers and self-employed persons and visitors?	<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>Scoring:</p> <p>Score 50% for having health and safety responsibilities for either other employers and self-employed persons or visitors.</p>	Doc (0-14)	A.2.c Are specific health and safety responsibilities written for contractors and visitors?	<p>Review the company's health and safety policy, program, or any other documents that may contain health and safety responsibilities for contractors and visitors, for example:</p> <ul style="list-style-type: none"> • Safety manuals • Brochures or handouts • Orientation checklists • Presentations before entering workplace <p>Scoring:</p> <p>Score 50% for having health and safety responsibilities for either contractors or visitors.</p> <p>Score 100% for having health and safety responsibilities for both contractors and visitors.</p> <p>Otherwise score 0%.</p>	Doc (0-4)

		<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 must include:</p> <ul style="list-style-type: none"> The percentage awarded and justification for doing so. <p>At least one example of a documented responsibility for other employers and self-employed persons or visitors.</p>				<p><u>Validation Note:</u></p> <p>The note must 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 a contractor or visitor.
I.1.c	Does the company have a process in place to address the protection of other affected parties not under the employer's direction?	<p>DOCUMENTATION</p> <p>Review policies or procedures to verify the company has a process in place to address the protection of other workers not under the employer's direction, visitors and other persons in the vicinity of work that is being carried out.</p> <p><u>Scoring:</u></p> <p>Score 100% if a procedure addressing the requirements is found,</p> <p>Score 0% otherwise.</p> <p><u>Validation Note:</u></p> <p>Note must include:</p> <ul style="list-style-type: none"> The score applied. A summary of how the procedure addressed the protection of others at the worksite not directed by the employer. 	Doc (0,12)	<p>New Question based on Alberta Bill 30 Requirements</p> <p>AB OHS ACT, PART 1, 3(1)(iii)</p>		
I.1.d	Have criteria been established for selecting, monitoring and evaluating other employers and self-employed persons that includes?	<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</p>	Doc (0-12)	<p>New Question based on Alberta Bill 30 Requirements</p> <p>AB OHS ACT, PART 5, 37(1) f</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>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 must 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>		
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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) require 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. <i>Includes verification that the orientations are being completed prior to commencing any work activities.</i> <p>Scoring:</p> <p>Score 50% for having site-specific orientations for either other employers and self-employed persons or visitors.</p> <p>Score 100% for having health and safety responsibilities for both 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 must 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)	D.1.f	<p>Is there a process to ensure site-specific orientations that:</p> <ul style="list-style-type: none"> apply to employees (where employees move between sites), apply to contractors (where applicable), apply to visitors (where applicable), address emergency procedures, and hazard reporting? 	<p>Review company policy and/or records to determine if there is a process for ensuring or confirming site-specific orientations. Site specific orientations may be conducted by the company itself or another party on the worksite.</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) require orientations for employees moving between sites, contractors, and/or visitors. If the site-specific orientation process ensures all of the applicable categories of individuals new to the site (employees, contractors, and/or visitors) receive a site-specific orientation. If the site-specific orientation always addresses emergency procedures and hazard reporting. <p>Scoring:</p> <p>Divide the number of applicable criteria found by the total number of applicable criteria.</p> <p>Score 0% if emergency procedures or hazard reporting are not covered by the process.</p> <p>For example, the company has a work site where different employees work at different stages in a project and they can also expect visitors and contractors. Therefore, all 5 criteria are applicable. If work site procedures ensure contractors and visitors are informed of emergency procedures and hazard reporting but company employees newly arriving on the site are not, the auditor would score 80% (4/5). If in this case hazard reporting was not covered, the auditor would score 0%.</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> Clarify if the company’s operations require a site-specific orientation for newly arriving employees, contractors and/or visitors. State whether employees, contractors, and/or visitors would receive a site-specific orientation based on the process in place. State if the site-specific orientation includes both emergency procedures and hazard reporting. 	Doc (0-5)
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						<ul style="list-style-type: none"> • Include at least one company specific example of how the site-specific orientation is conducted or how orientation is ensured. • State the score applied. 	
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 must 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)	D.1.f	<p>Is there a process to ensure site-specific orientations that:</p> <ul style="list-style-type: none"> • apply to employees (where employees move between sites), • apply to contractors (where applicable), • apply to visitors (where applicable), • address emergency procedures, and • hazard reporting? 	<p>Review company policy and/or records to determine if there is a process for ensuring or confirming site-specific orientations. Site specific orientations may be conducted by the company itself or another party on the worksite.</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) require orientations for employees moving between sites, contractors, and/or visitors. • If the site-specific orientation process ensures all of the applicable categories of individuals new to the site (employees, contractors, and/or visitors) receive a site-specific orientation. • If the site-specific orientation always addresses emergency procedures and hazard reporting. <p>Scoring:</p> <p>Divide the number of applicable criteria found by the total number of <i>applicable</i> criteria.</p> <p>Score 0% if emergency procedures or hazard reporting are not covered by the process.</p> <p>For example, the company has a work site where different employees work at different stages in a project and they can also expect visitors and contractors. Therefore, all 5 criteria are applicable. If work site procedures ensure contractors and visitors are informed of emergency procedures and hazard reporting but company employees newly arriving on the site are not, the auditor would score 80% (4/5). If in this case hazard reporting was not covered, the auditor would score 0%.</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> • Clarify if the company’s operations require a site-specific orientation for newly arriving employees, contractors and/or visitors. 	Doc (0-5)

						<ul style="list-style-type: none"> • State whether employees, contractors, and/or visitors would receive a site-specific orientation based on the process in place. • State if the site-specific orientation includes both emergency procedures and hazard reporting. • Include at least one company specific example of how the site-specific orientation is conducted or how orientation is ensured. • State the score applied. 	
1.1.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 must include:</p> <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>	Int (0-15)	<p align="center">New Question based on Alberta Bill 30 Requirements</p> <p align="center">AB OHS ACT, PART 2, 14(4), (5)</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 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 all affected work site parties. <p>*If n/a is applied, auditor must justify n/a in the note.</p>	Obs (0,10)	<p>New Question based on Alberta Bill 30 Requirements</p> <p>AB OHS ACT, PART 2, 14</p>			
Element J: Health and Safety Committee and Representative				Element H: Joint Health and Safety Committee			
1. Design of the Health and Safety Committee				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 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 a policy or procedure meeting the legislated requirements.</p> <p>Score 0% otherwise.</p>	Doc (0, 3)	H.1.a	Does the company have an established health and safety committee?	<p>Review the health and safety committee terms of reference or meeting minutes to establish the company has a health and safety committee.</p> <p>Scoring:</p> <p>Score 100% if the documentation establishes the presence of a health and safety committee.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>Note must include:</p> <ul style="list-style-type: none"> • The score applied. 	Doc (0,3)

		<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 must 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>				<ul style="list-style-type: none"> At least one company-specific detail about the health and safety committee. 	
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.</p> <p>Scoring:</p> <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>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percent awarded. A summary of 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>	Doc (0, 6)	H.1.b	<p>Does the health and safety committee have a terms of reference or similar documents that outlines:</p> <ul style="list-style-type: none"> the committee involvement in health and safety activities, the committee membership, the committee duties and functions, and the training requirements for the committee chairperson(s)? 	<p>Review the health and safety committee terms of reference or equivalent document(s). Determine if the 4 criteria have been captured.</p> <p>Scoring:</p> <p>Divide the number of criteria met by 4.</p> <p>For example, if a company has a terms of reference that established the first three criteria but does not outline training requirements for the committee chair, score 75% (3/4).</p> <p>Validation Note:</p> <p>The note must:</p> <ul style="list-style-type: none"> State how many of the 4 criteria are met. List any criteria not found. Include at least one example of how one of the criteria is or is not addressed by the committee terms of reference or related policies. 	Doc (0-12)
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>Scoring:</p>	Doc (0, 3)	<p>New Question based on Alberta Bill 30 Requirements</p> <p>AB OHS ACT, PART 2, 16 & 17</p>			

		<p>Score 100% if the documentation establishes the proper representation is in place.</p> <p>Score 0% otherwise.</p> <p>Validation Note:</p> <p>Note must include:</p> <ul style="list-style-type: none"> • The score applied. • At least one company-specific detail about the health and safety committee or representative. 		
J.1.d	<p>Have the names and contact information of the health and safety committee members or representative been posted?</p>	<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>Scoring:</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>Validation Note:</p> <p>The note must include:</p> <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. 	Obs (0-6)	<p>New Question based on Alberta Bill 30 Requirements</p> <p>AB OHS ACT, PART 2, 23</p>
J.1.e	<p>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>	<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)</p>	Doc (0, 5)	<p>New Question based on Alberta Bill 30 Requirements</p> <p>AB OHS ACT, PART 2, 21</p>

		<p>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 must include:</p> <ul style="list-style-type: none"> • The score applied. • A summary of how concerns and complaints are addressed. 		
2. Implementation of the Health and Safety Committee			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 must 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)	<p>New Question based on Alberta Bill 30 Requirements</p> <p>AB OHS ACT, PART 2, 21</p>
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>	Doc (0, 3)	<p>New Question based on Alberta Bill 30 Requirements</p> <p>AB OHS ACT, PART 2, 19 & 20</p>

		<p>Score 0% otherwise.</p> <p><u>Validation Note:</u></p> <p>Note must include:</p> <ul style="list-style-type: none"> The score applied. At least one company-specific detail about the HSC or HS representative. 					
J.2.c	<p>Have the current health and safety committee members or representative been trained to carry out their duties per legislative requirements?</p>	<p>DOCUMENTATION</p> <p>Review training records to verify that the current health and safety members or representative have received appropriate internal or 3rd party training for their role per legislative requirements based on the jurisdiction in which they operate.</p> <p><u>Scoring:</u></p> <p>Enter 100% if training records verify appropriate training.</p> <p>Enter 0% otherwise.</p> <p><u>Validation Note:</u></p> <p>The note must 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><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 must include:</p> <ul style="list-style-type: none"> The percentage or tally that verify receiving training applicable to their role. 	<p>Doc (0, 4) Int (0-6)</p>	H.2.a	<p>Have the current health and safety chairperson(s) been trained to carry out their duties?</p>	<p>DOCUMENTATION</p> <p>Review training records to verify that the current chairpersons have received appropriate training for their role on the committee.</p> <p><u>Scoring:</u></p> <p>Enter 100% if training records verify appropriate training.</p> <p>Enter 0% otherwise.</p> <p><u>Validation Note:</u></p> <p>The note must 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 health and safety committee chairpersons to verify training applicable to their role on the committee.</p> <p><u>Scoring:</u></p> <p>The score is based on the percentage of chairpersons that verify having received training applicable to their role on the committee.</p> <p><u>Validation Note:</u></p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of chairpersons that verify or fail to verify receiving training applicable to their role on the committee. 	<p>Doc (0,4) Int (0-6)</p>

		<ul style="list-style-type: none"> At least one typical comment regarding training provided or not provided. 				<ul style="list-style-type: none"> 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>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 must 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)	<p>New Question based on Alberta Bill 30 Requirements</p> <p>AB OHS ACT, PART 2, 29</p>			
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>Scoring:</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>Validation Note:</p> <p>The note must 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. 	Doc (0-5)	H.2.b	Are minutes maintained for all health and safety committee meetings?	<p>Determine the number of health and safety committee meetings held in the previous twelve months. Verify meeting minutes exist for all scheduled meetings.</p> <p>Scoring:</p> <p>Divide the number of meetings with completed minutes available by the total number of meeting held.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of meetings with or without properly maintained minutes. At least one example of a meeting with completed minutes or a company specific detail about the meeting minutes. 	Doc (0-5)

		<ul style="list-style-type: none"> *If n/a is applied, auditor must justify n/a in the note. 					
J.2.f	Are HSC meeting minutes communicated/made readily available to all employees?	<p>INTERVIEW</p> <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 must 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. *If n/a is applied, auditor must justify n/a in the note. 	Int (0-10)	H.2.c	Are health and safety committee meeting minutes communicated to employees who are not members of the committee?	<p>Interview all employees to verify their awareness of the health and safety committee meetings and/or activities.</p> <p>Scoring:</p> <p>The score is based on the percentage of employees that verify awareness of the health and safety committee's meetings and/or activities.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> The percentage or tally of interviewees that demonstrated or failed to demonstrate awareness of the health and safety committee meeting and/or activities. At least one typical comment regarding the health and safety committee meetings or activities. 	Int (0-10)
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>	Doc (0-5) Int (0-10) Obs (0-20)	H.2.d	Is there tracking and follow up of corrective actions generated by the health and safety committee?	<p>DOCUMENTATION</p> <p>Review committee meeting minutes for any identified deficiencies and recommended corrective action. 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 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 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.</p> <p>Validation Note:</p>	Doc (0-5) Int (0-10) Obs (0-20)

		<p><u>Validation Note:</u></p> <p>The note must 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> <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 must 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>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of corrective actions that were or were not tracked. • At least one example of a corrective action that was or was not tracked or a description of the system used to track corrective actions. <p>*If n/a is applied, auditor must justify n/a in the note.</p> <p>INTERVIEW</p> <p>Interview health and safety committee members. Verify that issues raised in committee meetings are addressed with corrective actions and there is follow up to ensure their completion or implementation.</p> <p><u>Scoring:</u></p> <p>The score is based on the percentage of committee members that verify that corrective actions generated by the committee are followed up to ensure implementation.</p> <p>Auditor may apply n/a on all methods if no deficiencies were documented in the previous twelve months of committee meeting minutes.</p> <p><u>Validation Note:</u></p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of committee members interviewed that verified or failed to verify health and safety issues raised in the committee are addressed. • At least one example of a typical comment by interviewees on the committee’s record in 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 corrective actions arising from health and safety committee meetings that can be verified on sites to be visited. Verify during work site visits that these have been completed or implemented.</p>	
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3. Health and Safety Committee Involvement				3. Health and Safety Committee Involvement			
J.3.a	Do HSC members and/or the HS representative participate in health and safety activities?	<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, 	Int (0-10)	H.3.a	Do health and safety committee members participate in health and safety activities, including:	<p>Interview committee members. Confirm that committee members are participating <i>in one or more</i> of the listed activities.</p> <p>Scoring:</p> <p>The score is based on the percentage of committee members that confirm their participation <i>in at least one</i> of the listed activities.</p> <p>Validation Note:</p> <p>The note must include:</p> <ul style="list-style-type: none"> • The percentage or tally of committee members that confirm or do not confirm their participation in at least one of the listed activities. • At least one typical comment regarding participation one or more of the activities listed. 	Int (0-25)

		<ul style="list-style-type: none"> 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: 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 must 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. 					
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: 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 must include:</p> <ul style="list-style-type: none"> The percentage or tally that demonstrated awareness of how they receive the recommendations. 	Int (0-10)	<p>New Question based on Alberta Bill 30 Requirements AB OHS ACT, PART 2, 28(2)</p>			

		<ul style="list-style-type: none">• An example of a comment regarding how they are receiving recommendations.		
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