



SMALL EMPLOYER CERTIFICATE OF RECOGNITION (SECOR) EXTERNAL AUDIT PROTOCOL

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PROTOCOL INSTRUMENT DATE » 2023

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SUMMARY OF CHANGES

This Summary shows:

- All changes from last approved and published document
- The location within the document where the changes have been made

Version	Date	Author(s)	Revision Notes
1.0	September 13, 2022	Miranda Frasz Stephen Heinpalu	Modified to new 2023 SECOR standards. This document will replace the SAC-CFT-075 at the end of 2022.
1.1	January 24, 2023	Stephen Heinpalu	Corrected scoring in question C5, added scoring line to question C6
1.2	February 22, 2023 October 25, 2023	Stephen Heinpalu	Fixed font and formatting for Element D recommendations, bullets in B4, B11, C3, G2 Allow formatting in company profile and similar comment boxes. Question I2 & J4 - scoring in instructions updated to match scoring at bottom of question.

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SUMMARY OF REVIEWERS

The following people were involved in the review of this document.

Name	Position
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Stephen Heinpalu	Quality Assurance, Safety Audits & Certifications
Courtney Christie	Audit Specialist, Safety Audits & Certifications
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Small Employer External Audit Instrument

The audit instrument is designed to measure whether or not the small employer has implemented the basics of a health and safety management system. This instrument is to be used by an Energy Safety Canada certified external auditor to conduct a SECOR audit and submit for review to Energy Safety Canada via the Auditor Portal. In a certification year the audit must have a minimum overall score of 80% and each individual element must score at least 50%. In a maintenance year the overall score must meet 60%.

Reference Documents

The following documents are tools to use during the audit process to collect data. They are available on the Auditor Portal.

- SAC-CFT-130 External SECOR Interview Questions
- SAC-CFT-131 External SECOR Observation Questions

Instructions for External Auditors Completing a SECOR Audit

- All audits must be registered with Energy Safety Canada by logging into your account on the Energy Safety Canada website and accessing the online registration system as per policy 3.2 Audit Registration.
- Performing a SECOR audit: Relevant documentation must be reviewed in order to assess a score for audit questions where the instructions indicate. External auditors are not required to attach sample documentation/records to their audit submission, unless asked to do so by Energy Safety Canada.
- A pre audit letter provided with the audit report, this is conducted prior to the start to confirm employers awareness of the audit activities performed by the auditor.
- Interview sampling for small employer audits should meet the same criteria as interview sampling for a regular audit. Use the attached sampling tables (including the fields highlighted in grey) to communicate your sampling methodology to the Energy Safety Canada reviewer.
- Observations are required to be conducted in order to assess a score for audit questions where the instructions indicate.
- Notes for all questions must fully explain the auditor' findings, including an example or detail specific to the company in order to justify the points awarded, and provide a tally or percent of positive indicators.

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- External auditors should provide a numeric score for each question. All questions are scored using either all or nothing point values, or a range-of-points as noted in the scoring column. No half-points are allowed. The Audit Summary Score Sheet must be completed to reflect the scores awarded inside the audit document.
- The External Auditor Measurement and Scoring Instructions in the audit protocol must be followed.
- SECOR audit reports conducted by a certified external auditor are subject to the same quality assurance requirements as a COR (Certificate of Recognition) audit report.

Small Employer External Audit Note Writing Tips

1. Auditor Notes

An auditor note should meet the following:

- Must fully answer all the audit questions
- Must specify the applicable validation method(s)
- Must be clear as to what was specifically reviewed, indicated and/or observed
- Must indicate what is in place and what is not
- Must justify why points were allocated or withheld, and
- Must include a company-specific detail for each applicable validation method.

2. Strengths

Provide key strengths in the executive summary. The auditor should be able to identify a few strengths at minimum. Any additional strengths can be included in the notes area of the audit question. The note must:

- Be relevant, how did the company exceed the expectations of the audit question/element?
 - Meeting the requirements of the audit question(s) is not a strength.
- Be clearly written and easy to understand
- Be consistent with the notes and scoring, and
- Include a company-specific detail

3. Recommendations

Provide a **suggestion for improvement** for every audit question that did not receive full points. Each note should:

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- Describe the deficiency
- Specify what is being recommended
- Describe how the recommendation will improve health and safety, and
- Be appropriate and realistic

Document List

Below are examples of documentation that can be reviewed to assess scoring for the appropriate questions.

Question	Documentation
A1	Health & Safety Policy
A2	Documented Employee Awareness (Orientation Forms, Meeting Minutes)
A3	Documented Health & Safety Roles & Responsibilities
A4	Documented Communication of Responsibilities (Orientation Forms, Meeting Minutes)
A6	Documented Awareness of OHS (Occupational Health and Safety) Rights (Orientations, Meeting Minutes)
B1, B6	Hazard Assessment Related Policy or Procedure
B2	List of Company Positions
B3	List of Tasks in Relation to each Position
B4, B5, B7	Formal Hazard Assessments
B8	Meeting Minutes, Acknowledgement of FHA (Formal Hazard Assessments) Revision/Review
B9	Policy or Procedure related to Site Specific Assessments
B10	Site Specific Hazard Assessments, FLHAs (Field Level Hazard Assessment), JSAs, FLRAs
B11	Hazard Related Policy or Procedure
B12	Hazard Reporting Form
C1	Formal Hazard Assessments

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Question	Documentation
C2	Site Specific Hazard Assessments - Completed
C3	Personal Protective Equipment Policy or Process
C4	Training Records (in house/third party)
C5	Policy or Procedure (e.g., Inspection Process, Discipline Program, Competency Assessment Record)
C6	Safe Work Procedures and/or Codes of Practice
C7	Preventative Maintenance Policy or Program
C8	Equipment Inspections, Service Records and/or Maintenance Logs
C9	Violence Prevention Policy or Program
C10, C11	Harassment Prevention Policy or Program
D1	Inspection Policy, Procedure or Process
D2	Inspection Records
D3	Training Records
E1	Orientation Policy, Procedure or Process
E2	Orientation Records
E3	Training Records
E4	Training Schedule/Matrix or Training Records
E5	Training Records - Completed
E6	Documented Competency Assessments
F1	Emergency Response Plan
F2	Awareness Documentation (Orientations, Meeting Minutes)
F3	Emergency Process or Drill Document
F4	Emergency Drill Records - Completed

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Question	Documentation
G1	Incident Reporting Policy
G2	Incident Investigation Policy
G3	Incident Investigation Form
G4	Incident / Injury / Illness Reports and Near Miss Reports
G5	Training Records
G6	Safety Record Retention Policy, Procedure or Process (N/A for AB Companies)
G7, G8	Safety Statistics Report
H1	Safety Meeting Policy, Procedure or Process
H2	Meeting Minutes or Communication Records (Emails)
H3	Action Plan from previous year's audit (if applicable)
H4	Action Plan from previous year's audit (if applicable) - Completed
I1	Policy or Procedure to protect External Worksite Parties/Visitors
I2	External Worksite Party Orientations, Meeting Minutes or Communication
I3	External Worksite Party Policy/Procedure
I4	External Worksite Party Evaluation Process
J1, J2	Health and Safety Rep/Committee Policy or Procedure
J3	Training Records
J4	Inspections, Investigations, Health & Safety reports
J5	Health and Safety Representative/Committee Policy or Procedure
J6	Employee Health & Safety Concern Reports (if applicable)
J7	Health and Safety Representative Communication example(s)

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**Please review for ALL employees*

SECOR SUMMARY SHEET - Please provide the following required information.

Employer Legal Name (as registered with WCB):	
Employer Trade Name (if applicable):	
Address:	
WCB Account(s) in scope:	Industry Code(s) in scope:
Facilities/Work Sites in scope:	
Contact Person:	
Phone Number(s):	
Contact Person's Original Training Date:	Email Address:
Course Taken as Refresher Session:	Contact Person's Last Refresher Date
Auditor Name:	Auditor Email:
Auditor Phone Number:	Auditor Certification Expiry Date:
Audit Start Date:	Audit End Date:
Audit Purpose (Certification or Maintenance)	Number of Employees:
Name of the OHS Consultant used to help build the OHS Management System (if applicable):	

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SECOR SUMMARY SHEET - Please provide the following required information.

Employer Sign off:	External Auditor Sign off:
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Question Scoring

Scoring is assessed and calculated by the External Auditor. Scoring for each question is based on the instructions in the question and the % of positive indicators based on documentation, interviews, or observations sampled at the time of the audit that meet the criteria in the question. **THE AUDITOR HAS TO MANUALLY ENTER THE SCORES INTO THE TOOL AND THE SCORING SUMMARY.**

Example 1:

- Question A1 is 0-8 points - The question and guideline ask the assessor to answer the question and submit a policy that includes the criteria in the question and guideline.
- The auditor is to assess the submitted policy to determine if it meets the criteria in the question and guideline. 2 points awarded for each of the criteria listed in the audit question. If one or more of the criteria in the question/guideline are missing from the content of the policy, then points are deducted accordingly.

Example 2:

- Question E2 is 0,6 points - This is an all-or-nothing question. This means the auditor needs to answer the audit question and confirm that the validation method meets all the criteria in the question/guideline to award full points. If any of the validation method(s) in the question is not 100% positive, then a 0 is awarded.

Example 3:

- Question A4 is 0-6 points - The question and guideline ask the auditor to interview employees from each level.
- Each level is worth 2 points, if the company has 1 manager, 2 supervisors and 6 workers, each level is worth 2 points. The interview with the manager is positive a full 2 points are awarded. If 1 of 2 supervisors were positive 50% or 1 point for supervisor level awarded. Of the 6 workers the auditor samples 5 for interview and 4 are positive (4/5 = 80% x 2 points = 1.6 or rounded to the closest whole value of 2 points for worker level. 2(mgr.)+1(sup)+2(wrk) = 5 out of a possible 6 points for this question.

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- For these types of questions if the company is missing one or more of the levels (manager, supervisor, worker), then the points are split between the remaining levels (i.e., no supervisors = manager 3 points & worker 3 points).

Important: The auditor's notes must answer the audit question, address the validation techniques (0,1,0), and detail the auditor's findings.

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Attach/Provide the following:

Click or tap here to enter text.

Company Profile

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Attach/Provide the following:

Click or tap here to enter text.

Organizational Chart

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Attach/Provide the following:

Click or tap here to enter text.

Executive Summary

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EMPLOYEE BREAKDOWN AND SAMPLING DETAILS

Levels	<u>Total Number</u> Only put a person in one level and describe dual roles in comments	Total Employees	Total # Interviewed Sampling Requirements	<u>Comments</u> Indicate full-time, part-time, and casual Include dual roles and if there is shift work or department types
Managers/Owners / Directors				
Supervisors				
Workers				
Total Employees (on WCB account)				
Contractors				
Visitors				

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EMPLOYEE BREAKDOWN AND SAMPLING DETAILS		
List of Employees/Contractors		
Names of Employees (including Owner or Director) and Contractors	Years with Company <u>OR</u> Hire Date if Hired Within Last 12 Months	Position/Type of Work Performed/Level
List of Employees/Contractors		
Names of Employees (including Owner or Director) and Contractors	Years with Company <u>OR</u> Hire Date if Hired Within Last 12 Months	Position/Type of Work Performed/Level

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EMPLOYEE BREAKDOWN AND SAMPLING DETAILS		

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WORKSITE BREAKDOWN AND SAMPLING DETAILS				
Work Sites Under WCB Accounts being audited Sampling Requirements	Type of work in action (Tasks, equipment, etc.)	Province Where Work Site is Located	Records Included for this Work Site in Submission	Number of Employees
<i>Example: Head Office</i>	<i>Administrative Duties</i>	<i>AB</i>	<i>Yes</i>	<i>4</i>

Note: The total number of employees should not exceed the total number of employees listed in the employee breakdown

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Element A: Management Involvement and Commitment

#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
A1	<p>Is there a written health and safety policy that includes:</p> <ul style="list-style-type: none"> • General health & safety responsibilities for each level (i.e., manager, supervisor, workers, contractors, and visitors). • A reference to the company's goals, aims, responsibilities and commitment to health and safety that addresses physical, psychological, and social well-being. • Requirement to comply with applicable government regulations and the company's health and safety standards. • Signature of the current owner, including date. 	<p>Verified through Documentation Review Review the company's written health and safety policy for the specified criteria as listed in the question.</p> <p>Score based on the % positive indicators. (Doc 0-8)</p> <p>The note should identify the number of criteria met.</p> <p>Provide details/example(s).</p>	<p>Click or tap here to enter text.</p>
Score 0-8			#/8

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes <small>Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings</small>
A2	Are employees made aware of the content within the health and safety policy?	<p>Verified through Interviews</p> <p>Interview employees to determine if they are aware of how the company makes the health and safety policy available to employees.</p> <p>Points awarded based on the % of positive responses. (Int 0-5)</p> <p>Provide details/example(s).</p> <p>Verified through Observations</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>Points are awarded based on the % of locations the policy was available. (Obs 0-4)</p> <p>Provide details/examples.</p> <p>This question is not applicable (n/a) to Owner/Operators (O/O).</p>	<p>Click or tap here to enter text.</p>
<input type="checkbox"/> N/A / Score 0-9			#/9

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
A3	Have health and safety roles and responsibilities been written for: <ul style="list-style-type: none"> • Manager(s) • Supervisor(s) • Worker(s) 	<p>Verified through Documentation Review Review documentation, other than the health and safety policy, to determine that all employee levels have their specific health and safety responsibilities developed.</p> <p>Points are awarded based on the applicable levels. (Not the total number of employees) If a company does not have each level (i.e., no supervisors), exclude the level from the total</p> <p>Points are awarded based on the % of positive indicators. (Doc 0-3)</p> <p>If this is an Owner/Operator (O/O) company, then they are considered the Manager for this question.</p>	Click or tap here to enter text.
Score 0-3			#/3
A4	Are employees at each level (Manager(s), Supervisor(s), Worker(s)) aware of their health and safety roles and responsibilities?	<p>Verified through Interviews Interview employees at all levels to determine if they are aware of and understand their health and safety responsibilities as outlined in the company's health and safety system.</p> <p>Points awarded based on the % of positive responses. (Int 0-6)</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes <small>Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings</small>
		<p>If this is an Owner/Operator (O/O) company, then they are considered the Manager for this question.</p> <p>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 where the company has no designated supervisor positions.)</p>	
Score 0-6			#/6
A5	Are employees aware of legislation that is applicable to the scope of their work, and is it readily available?	<p>Verified through Interviews</p> <p>Interview employees to verify their awareness of applicable legislation. Additionally, ask employees where they can access the applicable legislation.</p> <p>Confirm how employees have access to the relevant legislation.</p> <p>Points are awarded based on the % of positive indicators. (Int 0-2)</p> <p>Provide details/example(s).</p> <p>Verified through Observations</p> <p>Based on Interview responses, Observe the locations mentioned to where access to legislation was available. Confirm the legislation is current and readily available to employees.</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
		Points are awarded based on the % of locations the current applicable legislation was available. (Obs 0-2) Provide details/examples.	Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
Score 0-4			#/4
A6	How are employees advised of their OHS rights and responsibilities? a. Managers? b. Supervisors? c. Workers?	Verified through Interviews Determine if employees from all levels were made aware of their OHS rights (right to participate, right to know, and the right to refuse dangerous work) Points awarded based on the % positive responses able to verify knowledge of all three OHS rights. (Int 0-6) Provide details/example(s).	Click or tap here to enter text.
Score 0-6			#/6
Total Points Possible (Minus N/A) = 36			#

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Element A: Recommendations

Recommendations:

Click or tap here to enter text.



Element B: Hazard Identification and Risk Assessment

#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
B1	Is there a written policy or procedure outlining the requirements of formal hazard assessments?	<p>Definition: Formal Hazard Assessment For the purposes of this protocol, a formal hazard assessment system uses a written process to identify, assess and prioritize position/discipline task-based hazards. It may be known by several different terms, but it is not to be confused with a field level or site-specific hazard assessment.</p> <p>Verified through Documentation Review Confirm the presence of policies or procedures, which direct the company to assess position/discipline task-based hazards to identify, assess, and prioritize hazards.</p> <p>Points are awarded based on the presence of a policy or procedure outlining the requirements of a formal hazard assessment system. (Doc 0-2)</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.
Score 0-2			#
B2	Have all company positions or disciplines been inventoried for	<p>Verified through Documentation Review Documentation review should include a comparison of job inventories (org. chart, job</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
	formal hazard assessment purposes?	<p>inventory, staff listings, etc.) to the formal hazard assessment documentation (formal hazard assessments, task inventories).</p> <p>NOTE: Within formal hazard assessments, individual positions or roles may be grouped under discipline headings such as “administrative staff,” “office workers,” “shop”/ “shop workers,” “field staff,” etc.</p> <p>Points are awarded based on the % of jobs/disciplines inventories compared to the number identifies on the staff listing/org charts. Sampling is not acceptable for this question. (Doc 0-5)</p> <p>Notes must include examples of the job/disciplines identified, and any that were missed.</p>	Provide an answer to the question that addresses validation techniques (D, I, O) and auditor’s findings
Score 0-5			#/5
B3	Do all positions/disciplines have tasks identified within the formal hazard assessments?	<p>Verified through Documentation Review</p> <p>The various tasks associated with each job/discipline must be identified.</p> <p>Points are awarded based on the % of jobs/disciplines identified that have tasks associated. The maximum score allowed for this question will be determined by the total</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>percentage awarded in B2 For example, if 50% was awarded in B2, then only a maximum of 50% can be awarded for B3. (Doc 0-5)</p> <p>The note must include examples and list any job/positions that did not have tasks associated.</p>	
Score 0-5			#/5
B4	<p>Have both health and safety hazards for each task been identified in question B2, 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:</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>Verified through Documentation Review</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 	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>loads, extreme temperatures, violence, ergonomics)</p> <ul style="list-style-type: none"> • Chemical (e.g., fumes, vapours, gases, waste products) • Biological (e.g., bodily fluids, viruses, bacteria, moulds) • Psychological (e.g., harassment and bullying, stress, fatigue) <p>NOTE: All hazard categories may not be applicable to every task identified on formal hazard assessments.</p> <p>Points are awarded based on the % of tasks for which hazards have been identified. The maximum score allowed for this question will be determined by the % awarded in B3. For example, if only 50% was awarded in B3 then only 50% can be awarded for B4. (Doc 0-5)</p> <p>Notes must include examples of both health and safety hazards identified and their associated task(s).</p>	
Score 0-5			#/5
B5	Have both health and safety hazards for each task been assessed for risk, using any	<p>Verified through Documentation Review</p> <p>Confirm each hazard identified in B4 has been individually assessed for risk to</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
	combination of severity, probability, frequency, or similar measurement to determine order of importance for implementing controls?	<p>determine priority using a consistent approach of at least 2 factors (e.g., severity and probability).</p> <p>Points are awarded based on the % of health and safety hazards that have been individually assessed/prioritized. (Doc 0-10)</p> <p>The maximum % allowed for this question cannot exceed the % awarded in B4.</p> <p>Notes must describe the system in use. Provide an example of a task, the associated hazards and the risk ratings/priority assigned.</p>	Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
Score 0-10			#/10
B6	<p>Is there a system to create, review, and revise Formal Hazard Assessments:</p> <ul style="list-style-type: none"> • On a predetermined frequency, designed to keep the result up to date • When a new work process is introduced • When changes are made to operations or a work-related process • When site-specific hazard assessments, inspections, and/or investigations 	<p>Verified through Documentation Review</p> <p>Review company policies or procedures to determine if the company has a policy or procedure that requires the creation, review, and revision of the FHAs for the 4 criteria listed in the question.</p> <p>NOTE: Indicating a review at regular intervals does not meet the requirement of a pre-determined frequency.</p> <p>Points are awarded based on the number of criteria fully met. (Doc 0-4)</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
	identify a previously unrecognized hazard	Note must provide details/example(s) and state the pre-determined frequency if identified.	
Score 0-4			#/4
B7	Are Formal Hazard Assessments being reviewed and revised as identified in B6?	<p>Verified through Documentation Review</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>Points are awarded based on the number of formal hazard assessments reviewed at the pre-determined frequency. (Doc 0-3)</p> <p>If no frequency for review was identified, score 0%.</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.
Score 0-3			#/3
B8	Do employees participate in the development, review, or revision of the Formal Hazard Assessments?	<p>Verified through Interviews</p> <p>Interview employees involved in the development or review of FHAs to determine how and when these are created, reviewed, or revised.</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>Points awarded based on the % of positive responses. (Int 0-3)</p> <p>Provide details/example(s).</p> <p>This question is not applicable (n/a) to Owner/Operators (O/O) Provide a note for justification.</p>	
<input type="checkbox"/> N/A / Score 0-3			#/3
B9	Is there a system in place for site-specific hazard assessments to identify hazards prior to work starting on the day of the job?	<p>Definition: Site-Specific Hazard Identification System A site-specific hazard assessment (also referred to as field-level) is performed before work starts at a site and at a site where conditions change when non-routine work is added. This flags hazards identified at the locations (e.g., overhead powerlines, wet surfaces, weather), or introduced by a change at the work site (e.g., new equipment, unfamiliar chemicals). Any hazards identified are to be eliminated or controlled before work begins or continues.</p> <p>Verified through Documentation Review Review company policies or procedures to determine their site-specific hazard identification system requirements. If the company uses the Prime Contractor forms,</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>they should have a directive that indicates so.</p> <p>Verify that the system will address the site-specific hazards, prior to work starting the day of the job.</p> <p>Award 100% if a system is in place that answers the audit question. (Doc 0,4)</p> <p>Provide details/example(s).</p>	
Score 0,4			#/4
B10	Is the company using their site-specific hazard assessment process?	<p>Verified through Documentation Review</p> <p>Review a sample of completed records from the site-specific hazard identification system (identified in B9) 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>If B9 scored 0%, then B10 must also score 0%.</p> <p>Award 100% points if documentation is available, if not award 0% (Doc 0,2)</p> <p>If the nature of the company's operation over the previous 12 months did not produce an</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		opportunity for a site-specific hazard identification activity as per their policy (e.g., administrative work only), the auditor may score n/a.	
<input type="checkbox"/> N/A / Score 0,2			#
B11	<p>Is there a system that allows employees a means of reporting existing or new hazards which includes:</p> <ul style="list-style-type: none"> • What is reportable • How to report it • Who is responsible for investigating and correcting reported concerns 	<p>Definition: Hazard Reporting System Hazard reporting is an immediate process that allows employees to report hazardous conditions or practices as they notice them. This allows for prompt reporting and corrective action without waiting for the next round of inspections, a field level hazard assessment to be completed, or for a near miss to occur.</p> <p>Verified through Documentation Review Review policies or procedures to verify a company has a system for reporting unsafe conditions and work practices. Examples include: Hazard Concern Reports Real Time Hazard Reports STOP cards Hazard ID form (sometimes combined with Near Miss Reporting) Document outlining how and who to report hazards to.</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		Points are awarded based on the presence of a hazard reporting system and criteria met. (Doc 0-3) Provide details/example(s).	
Score 0-3			#/3
B12	<p>Is a hazard reporting process in use and do the reports include:</p> <ul style="list-style-type: none"> • A description of the hazard and its location • An assessment of the risk it represents • Control measures needed • Interim actions taken • Follow-up or sign-off 	<p>Verified through Documentation Review Review records to verify a system for reporting unsafe conditions and work practices is being used.</p> <p>Points are awarded based on a hazard reporting system being used. (Doc 0-5)</p> <p>Apply 0% for documentation if B11 scored 0%</p> <p>Provide details/example(s).</p> <p>Verified through Interviews Interview employees to determine if employees are using the company's hazard reporting system which covers the 5 criteria listed in the question.</p> <p>Points awarded based on the % of positive responses. (Int 0-5)</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
		Apply 0% for interviews if B11 scored 0% Provide details/example(s).	Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
Score 0-10			#/10
Total Points Possible (Minus N/A) = 56			#

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Element B – Recommendations

Recommendations:

Click or tap here to enter text.

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Element C: Hazard Control

#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
C1	Do Formal Hazard Assessment demonstrate that hazards are controlled following the principles of the hierarchy of controls, ensuring the use of Engineering Controls, Administrative Controls, and Personal Protective Equipment as appropriate?	<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>Verified through Documentation Review Review completed FHAs to create a sample of health and safety hazards using the above instructions.</p> <p>Assess which of these hazards should have engineering, administrative and PPE controls identified.</p> <p>Points are awarded based on the % positive indicators. (Doc 0-6)</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.
Score 0-6			#16

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
C2	Are the results of site-specific hazard assessments used to identify controls?	<p>Verified through Documentation Review</p> <p>Review completed site-specific hazard assessments to verify controls have been identified and implemented for health and safety hazards listed.</p> <p>Points are awarded based on the % positive indicators. If B9 scored 0% then C2 must also score 0%. (Doc 0-6)</p> <p>Provide details/example(s).</p> <p>This question can be marked n/a if work performed in the past 12 months did not include:</p> <ul style="list-style-type: none"> temporary or mobile work sites. work sites not owned by the company when new conditions, tasks, equipment, processes, construction are introduced 	Click or tap here to enter text.
<input type="checkbox"/> N/A / Score 0-6			#16
C3	Is there a Personal Protective Equipment (PPE) Policy developed that is appropriate to the nature of the tasks	<p>Verified through Documentation Review</p> <p>Review the company's written Personal Protective Equipment policy for the specified criteria as listed in the question.</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
	<p>performed by the company, which includes:</p> <ul style="list-style-type: none"> • A list of PPE used by the company • Description of how staff will be trained in the use (selection, limitations and fit) and maintenance (care) of relevant PPE • Reference to Codes of Practice for legislated activities where appropriate. (Confined Space Entry, Working at Heights) 	<p>Score based on the % positive indicators. (Doc 0-5)</p> <p>The note should identify the number of criteria met.</p> <p>Provide details/example(s).</p>	
Score 0-5			#/5
C4	Does the company provide training on PPE that includes the use and maintenance of any required PPE?	<p>This question is all or nothing, the auditor has the option to either review documents or interview employees to verify this question.</p> <p>Verified through Documentation Review completed training records to verify employees hired within the last 12 months were trained in the use (selection,</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>limitations and fit) and maintenance (care) of any required PPE.</p> <p>If no employees were hired within the last 12 months that require PPE, verify blank training record forms support an employee will be trained on the question criteria.</p> <p>Points awarded based on 100% of criteria met in the documentation. (Doc 0,4)</p> <p>OR</p> <p>Verified through Interviews 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>Points are awarded based on 100% positive indicators. (Int 0,4)</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</p>	

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		or if the company policy demands employees supply their own required PPE. Provide details/example(s).	
<input type="checkbox"/> N/A / Score 0,4			#
C5	Does the employer ensure hazard controls are used by employees?	Verified through Observations Using your documentations sample, verify through observation that they have been implemented. Auditors must include some controls from the highest hazard items in the sample to verify they have been given priority. Points are awarded based on the % of Engineering, Administrative and PPE controls samples from the formal hazard assessment that have been observed. (Obs 0-4) Provide details/example(s).	Click or tap here to enter text.
Score 0-4			#/4
C6	Have work safe procedures, rules and, where required by legislation, Codes of Practice, been developed?	Verified through Documentation Review	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		Review developed safe work procedures, rules and/or Code of Practices for hazardous tasks performed by employees. Score based on the % of positive indicators (Doc 0-5)	
Score 0-5			#/5
C7	Is there a preventive maintenance program for equipment and machinery?	Verified through Documentation Review Review the company's preventive maintenance program (PM program) to determine if a program is in place. Score based on % of positive indicators. (Doc 0-5) Provide details/example(s).	Click or tap here to enter text.
Score 0-5			#/5
C8	Is the preventive maintenance program being implemented as outlined?	DEFINITION: Preventative Maintenance Program Preventative maintenance programs include the care and servicing of equipment and machinery. With the purpose of maintaining safe, satisfactory operating condition. Verified through Documentation Review Review a sample of maintenance records of active equipment to determine compliance	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>with the maintenance program schedule and requirements as outlined in C7</p> <p>Points awarded based on % positive indicators. (Doc 0-5)</p> <p>Score 0% if the company does not have a maintenance schedule in place to verify compliance with.</p> <p>This question may be scored n/a if the company does not own the worksites or any equipment.</p> <p>Provide details/example(s).</p>	
<input type="checkbox"/> N/A / Score 0-5			#/5
C9	Is there a written Violence Prevention Plan as per legislative requirements?	<p><u>AB Violence and Harassment</u> <u>WSBC Violence</u> <u>WSBC Harassment</u> <u>SK Violence</u> <u>SK Harassment</u> <u>Federal Requirements</u></p> <p>Verified through Documentation Review</p> <p>Documentation must confirm the Company has a Violence Prevention Plan in place which meets legislation for the jurisdictions in which it operates.</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>Points are awarded based on 100% positive indicators. (Doc 0,3)</p> <p>NOTE: n/a may be applied for SK companies not included in Section 37(2) of the OHS Regulations.</p> <p>Provide details/example(s).</p>	
<input type="checkbox"/> N/A / Score 0,3			#
C10	Is there a written Harassment Prevention Plan as per legislative requirements?	<p>Verified through Documentation Review Documentation must confirm the Company has a Harassment Prevention Plan in place which meets legislation for the jurisdictions in which it operates.</p> <p>Points are awarded based on 100% positive indicators. (Doc 0,3)</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.
<input type="checkbox"/> N/A / Score 0,3			#
C11	Is the requirement for reviewing the Violence and Harassment Plans as per legislated requirements being met?	<p>Verified through Documentation Review The Violence and Harassment Prevention Plans must be reviewed as per legislated requirements for the jurisdictions the Company operates.</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
		This may include such criteria as: <ul style="list-style-type: none"> • When an incident occurs related to violence and/or harassment; or • If the HS representative recommends a review; or • At least every 3 years Points are awarded based on 100% positive indicators. (Doc 0,2) Provide details/example(s).	Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
<input type="checkbox"/> N/A / Score 0,2			#
Total Points Possible (Minus N/A) = 48			#

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Element C – Recommendations

Recommendations:

Click or tap here to enter text.

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Element D: Inspections

#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
D1	Is there an inspection policy which outlines: <ul style="list-style-type: none"> • Types of inspections • Frequency of each type • Who is responsible for conducting each type of inspection • A checklist to follow, and • A means of tracking corrective actions 	Verified through Documentation Review Review the company's inspection program for evidence within inspection policy, procedures or forms that confirm each of the criteria is met. Evidence can be gathered across the program, an individual type of inspection may only account for one or another of these. Points awarded based on the % of criteria found. (Doc 0-12) Provide details/example(s).	Click or tap here to enter text.
Score 0-12			#/12
D2	Have inspections been completed and any deficiencies corrected as outlined by the company's written policy?	Verified through Documentation Review 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 found in question D1 (by assigned personnel, by	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>frequency and using the correct template).</p> <p>Points awarded based on % positive indicators. (Doc 0-4)</p> <p>Provide details/example(s).</p> <p>Verified through Interviews Interview employees to determine if deficiencies identified in the inspection program are corrected in a timely manner.</p> <p>Points awarded based on % positive responses. (Int 0-4)</p> <p>Provide details/example(s).</p> <p>Verified through Observations Create a sample of deficiencies from the inspection reports applicable to the work site(s) to be visited. Verify through observation if corrective action(s) has been completed on the reported deficiencies.</p> <p>Points awarded based on the % of observed opportunities. (Obs 0-4)</p>	

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		If there are no available opportunities award full points for observations Provide details/example(s).	
Score 0-12			#/12
D3	Have employees conducting inspections received training that is appropriate to what is being inspected?	<p>Verified through Documentation Review Review inspection records or other applicable documents to determine a sample of employees who have conducted inspections in the past 12 months. 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.</p> <p>Points awarded based on % positive indicators. (Doc 0-5)</p> <p>Provide details/example(s).</p> <p>Verified through Interviews Interview only employees confirmed through documentation review to have completed inspections. Ask them to confirm if they have received appropriate training for the inspection(s) they have conducted.</p>	<p>Click or tap here to enter text.</p>

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
		Points awarded based on % positive indicators. (Int 0-5) Provide details/example(s).	Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
Score 0-10			#/10
Total Points Possible (Minus N/A) = 34			#

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Element D – Recommendations

Recommendations:

Click or tap here to enter text.



Element E: Training

#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
E1	<p>Is there an Orientation Program which includes:</p> <ul style="list-style-type: none"> • Requirement to be completed prior to starting duties • Health and Safety Policies and responsibilities • Right to know, participate and refuse dangerous work • High risk hazards • Hazard Reporting procedures • Emergency Response Procedures, and alarm systems • Incident, injury, occupational illness, and near miss reporting • Sign off requirement by new hire 	<p>Verified through Documentation Review</p> <p>Review the company's orientation policy and/or orientation package to determine if their orientation program meets the eleven criteria.</p> <p>Points awarded based on the percentage of the criteria are met. (Doc 0-6)</p> <p>Provide details/ example(s).</p>	<p>Click or tap here to enter text.</p>
Score 0-6			#16

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
E2	Are new employees (including any rehired or transferred employees), contractors and visitors provided with the orientation identified in the Program on/or before the first day of work?	<p>This question is all or nothing, the auditor has the option to either review documents or interview employees to verify this question.</p> <p>Verified through Documentation Review</p> <p>Determine the company's timeframe for new or transferred hire orientations, an "appropriate timeframe" may allow certain orientation elements to be addressed over several days Critical criteria such as emergency procedures and hazard reporting should be communicated on the first day of work.</p> <p>Review a sampling of orientation records from within the past 12 months to verify compliance with the timeframes identified.</p> <p>NOTE: This does not include site-specific orientations.</p> <p>Points awarded based on 100% positive indications (Doc 0,6)</p> <p>The auditor may apply n/a if no employees were hired or transferred within the past 12 months.</p>	<p>Click or tap here to enter text.</p>

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
		Provide details/example(s). OR Verified through Interviews Interview newly hired and transferred employees within the past 12 months to verify they received an orientation before beginning work. Interview employees who conduct orientations for those under their responsibility, including contractors and visitors to confirm these individuals have received an orientation. Points awarded based on 100% positive responses. (Int 0,6) Provide details/example(s).	Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
<input type="checkbox"/> N/A / Score 0,6			#
E3	Is job-specific training provided to: a. Employer? b. Employees? Job-specific training must include:	Verified through Documentation Review Review policies, procedures, or records to confirm job-specific training ensures hazards controls, and required work procedures are covered, and a practical demonstration to confirm the trainee(s)	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
	<ul style="list-style-type: none"> • Specific job hazards (e.g., H2S, Confined Space, etc.) • Job-specific controls (e.g., safe work practices, procedures, etc.). 	<p>have acquired the knowledge or skill related to the subject matter.</p> <p>A formal process for ensuring job-specific training must include all required criteria applicable to job positions.</p> <p>Score based on the % positive indicators. (Doc 0-5)</p> <p>N/A can be applied to companies that are owner / operator only</p> <p>Provide details/example(s).</p>	<p>Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings</p>
<input type="checkbox"/> N/A / Score 0-5			#/5
E4	Is refresher training completed at set intervals?	<p>Verified through Documentation Review</p> <p>Review a sample of training records with refresher requirements. Verify the training records indicate this training was 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>Score based on the % positive indicators.</p>	<p>Click or tap here to enter text.</p>

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		(Doc 0-3) Provide details/example(s). Verified through Interviews Interview employees to determine if they should have received refresher training in the previous 12 months and confirm if they did receive the training. The auditor may award 100% to the interview validation if none of the supervisors or workers were due to receive refresher training in the previous 12 months. Points awarded based on the % of positive responses. (Int 0-3) Provide details/example(s).	
Score 0-6			#/6
E5	Is on-the-job training provided which includes a practical demonstration by the trainee where such a demonstration is appropriate?	Definition: Competency Competency is the combined knowledge, skills, and sufficient experience required to successfully perform a work task with little or no supervision. A given discipline or position may require multiple competencies.	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
		<p>NOTE: Competencies are different from qualifications or general training. The company should have a system in place for supervisors/managers to observe workers completing specific job tasks and sign off when they have been deemed "competent".</p> <p>Verified through Documentation Review Review records for documenting competency verification. Verify documented evidence that a competency assessment or verification took place.</p> <p>Points awarded based on the % positive indicators. (Doc 0-5)</p> <p>N/A can be applied to companies that are owner / operators or exclusively low risk administrative only.</p> <p>Provide details/example(s).</p>	Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
<input type="checkbox"/> N/A / Score 0-5			#/5
E6	Are competency assessments completed when operational changes require it?	<p>Verified through Documentation Review Review records for documenting competency.</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
		Verify documented evidence that a competency assessment or verification took place. Points awarded based on the % positive indicators. (Doc 0-6) N/A can be applied to companies that are owner / operators or exclusively low risk administrative only. Provide details/example(s).	Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
<input type="checkbox"/> N/A / Score 0-6			#/6
Total Points Possible (Minus N/A) = 34			#

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Element E – Recommendations

Recommendations:

Click or tap here to enter text.

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Element F: Emergency Response Plan

#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
F1	<p>Does the company have Emergency Response Plans specific to their operation, which outlines:</p> <ul style="list-style-type: none"> • Communication procedures • Emergency contacts • Building evacuation plans • Responsibilities of employees / workers • Equipment requirements as applicable or where identified by legislation (first aid, confined space extraction) 	<p>Verified through Documentation Review Review the Emergency Response Plans, to determine if all 5 criteria are addressed.</p> <p>Points awarded based on the % positive indicators. (Doc 0-5)</p> <p>Provide details/example(s).</p> <p>Verified through Observations In advance of site visits, identify emergency scenarios in the company's ERP (Emergency Response Plan) that are applicable to the work sites to be visited. During the visit, determine if the ERP covers sufficient emergency scenarios for that work site. Determine if any scenarios covered by legislation were missed.</p> <p>A full point is awarded all locations including sufficient ERP scenarios identified. (Obs 0-1)</p> <p>Provide details/example(s).</p>	<p>Click or tap here to enter text.</p>
Score 0-6			#/6

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
F2	<p>Has training been provided to employees given specific responsibilities in the Emergency Response Plan?</p> <ul style="list-style-type: none"> • Training requirements as applicable and where identified by legislation (first aid, confined space extraction) 	<p>Verified through Interviews</p> <p>Interview employees to confirm appropriate training has been conducted with employees as it pertains to their duties within the Emergency Response plan.</p> <p>First Aid training as required by applicable legislation is the minimum standard that must be met.</p> <p>Points awarded based on the % positive indicators. Points awarded if the minimum provincial OHS requirements for first aiders are met for all work sites sampled. (Int 0-7)</p> <p>Provide details/example(s).</p> <p>The auditor may apply an n/a to the interview validation if this is an owner operator.</p>	<p>Click or tap here to enter text.</p>
<input type="checkbox"/> N/A / Score 0-7			#17
F3	<p>Is there a process to evaluate Emergency Response Plans for effectiveness, including:</p> <ul style="list-style-type: none"> • The emergency scenario being tested 	<p>Verified through Documentation Review</p> <p>Review completed or blank forms, policies, or procedures to establish if the company has a process and schedule for testing the ERP that meets all four required criteria.</p>	<p>Click or tap here to enter text.</p>

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
	<ul style="list-style-type: none"> • Signatures of attendees • Date and location of drill • Identifying deficiencies and a means of correcting the deficiencies 	<p>Revisions to the plan should be considered when ERP drills and/or the occurrence of an actual emergency identifies deficiencies.</p> <p>100% points awarded if all criteria met. (Doc 0,7)</p> <p>Provide details/example(s).</p>	
Score 0,7			#
F4	Are the plan(s) tested at least annually?	<p>Note: Fire drills are mandatory for Saskatchewan companies</p> <p>Verified through Documentation Review Review a sample of records to verify the company is meeting its own standard on ERP testing and drills and the criteria outlined in Question F3 was met. 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>Points awarded based on the % positive indicators. (Doc 0-5)</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		Provide details/example(s). Verified through Interviews Interview employees to determine if they have participated in an ERP exercise or drill in the previous twelve months. Points awarded based on the % of positive responses. (Int 0-5) Provide details/example(s).	
<input type="checkbox"/> N/A / Score 0-10			#/10

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Element F – Recommendations

Recommendations:
Click or tap here to enter text.

Current approved documents are maintained online. Printed copies are uncontrolled.



Element G: Incident/Accident Reporting and Investigation

#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
G1	Is there an Incident Reporting Policy which includes the reporting of injuries, occupational illness, incidents, near-misses, work refusals, and what to report to applicable governing bodies?	<p>Verified through Documentation Review Review policies or procedures on incident reporting. Determine if the criteria identified in the question are met.</p> <p>Points awarded based on the number of criteria met. Award full points if at least 5 criteria met (Doc 0-5)</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.
Score 0-5			#/5
G2	Is there an Investigation Policy which includes; <ul style="list-style-type: none"> • Requirement that injuries, occupational illnesses, incidents and near misses will be investigated • Responsibilities of key people • How to investigate an incident • How to preserve and collect evidence 	<p>Verified through Documentation Review Review policies or procedures to determine if the 5 criteria listed are documented.</p> <p>The note should identify the number of criteria met.</p> <p>Points awarded based on % positive indicators</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
	<ul style="list-style-type: none"> Involvement of workers knowledgeable of the type of work involved 		
Score 0-5			#/5
G3	Do investigation forms include the following: <ul style="list-style-type: none"> Names of everyone involved Location, date, time of incident Names of victims and injury /occupational illness description Description of damages Description of incident Description of events prior to incident Preliminary determination of root cause Identification and implementation of corrective actions	Verified through Documentation Review Review documentation, blank forms to determine if the 8 criteria are included. The note should identify the number of criteria met. Points awarded based on 100% positive indicators (Doc 0,4) Provide details/example(s). Not applicable (n/a) cannot be applied to this question.	Click or tap here to enter text.
Score 0,4			#

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
G4	Is an incident report being completed when and incident (including injury or occupational illness) or Near-Miss occurs?	<p>Verified through Documentation Review Review a sample of completed injuries, illness, incidents and near miss reports within the past 12 months which include the date, time, location, and nature of event. Verify investigations were started within a reasonably practicable time.</p> <p>Points awarded based on the % of positive indicators. (Doc 0-5)</p> <p>Provide details/example(s).</p> <p>Verified through Interviews Interview employees who have been on a work site where an incident or significant near miss has occurred and ask if an investigation was initiated to determine these are being completed.</p> <p>Points awarded based on the % of positive indicators. (Int 0-5)</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.
Score 0-10			#/10
G5	Has investigation training been provided to individuals assigned the task of investigation?	<p>Verified through Documentation</p> <p>Review policies or procedures to determine the individuals assigned incident investigation duties.</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>Review training records to verify appropriate training has been provided (e.g., on-the-job, formal third party).</p> <p>The note should include the percentage of positive indicators</p> <p>Points awarded based on % of positive indicators seen. (Doc 0-5)</p> <p>Provide details/example(s).</p>	
Score 0-5			#/5
G6	Does the company have a system in place to retain health and safety records?	<p><i>**This question does not apply to companies with operations in Alberta and should be marked N/A.</i></p> <p>Verified through Documentation Review Review health and safety records are collected and retained. (Such as: first aid reports, meeting minutes, inspections...) Verify records are being maintained for at least one full audit cycle (three years, or from start of the health and safety system if less than three years). Retention can be electronic or hard copies.</p> <p>Points awarded based on 100% of positive indicators seen. (Doc 0,6)</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		Provide details/example(s).	
<input type="checkbox"/> N/A / Score 0,6			#
G7	Are statistics relating to health and safety collected?	<p><i>**This question does not apply to companies with operations in Alberta and should be marked N/A.</i></p> <p>Verified through Documentation Review</p> <p>Review any documents that demonstrate health and safety statistics were gathered. Small companies with low risk or primarily administrative tasks may not produce statistically significant results. However, some form of health and safety data collection for reporting purposes should be present.</p> <p>Points awarded based on 100% positive indicators. (Doc 0,6)</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.
<input type="checkbox"/> N/A / Score 0,6			#
G8	Are statistics and records analyzed to determine common trends?	<p><i>**This question does not apply to companies with operations in Alberta and should be marked N/A.</i></p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
		<p>Verified through Documentation Review</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 G7</p> <p>Points awarded based on evidence of the company analyzing health and safety statistics. (Doc 0,2)</p> <p>Score 0% if no points were awarded in G7</p> <p>Provide details/example(s).</p>	<p>Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings</p>
<input type="checkbox"/> N/A / Score 0,2			#
Total Points Possible (Minus N/A) = 43			#

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Element G – Recommendations

Recommendations:

Click or tap here to enter text.



Element H: Communications

#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
H1	Is there a Safety Meeting Policy which includes: <ul style="list-style-type: none"> • Types of meetings required • Frequency of each meeting type 	Verified through Documentation Review Review policies or procedures to establish if the company mandates frequencies for regular two-way communication regarding health and safety issues. All employee levels must be included. Points are awarded based on % of positive indicators supporting an established frequency for all types of two-way communications involving all employees. Provide details/example(s).	Click or tap here to enter text.
<input type="checkbox"/> N/A / Score 0-5			#/5
H2	Are regular two-way communications held with employees at all levels to discuss current safety issues?	Verified through Documentation Review a sample of two-way safety communication records. Verify they follow the established frequency identified in question H1 Points awarded based on % positive indicators (Doc 0-6) If H1 did not identify a frequency, then score 0% Provide details/example(s).	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>Verified through Interviews Interview all employees to confirm their participation in regular two-way safety communication.</p> <p>If employees can confirm they are communicated with, and they can offer feedback this is a positive response. If either is not present this would be a negative response.</p> <p>Points awarded based on % positive responses. (Int 0-6)</p> <p>Provide details/example(s).</p>	
<input type="checkbox"/> N/A / Score 0-12			#/12
H3	<p>Has an action plan been developed to address all the deficiencies found in the previous year's audit? including:</p> <ul style="list-style-type: none"> • Person responsible • Target completion dates • Actual completion dates (if applicable) 	<p>Verified through Documentation Review Determine if a corrective action plan was developed, based on the previous year's COR or SECOR audit.</p> <p>Points awarded based on % positive indicators (Doc 0-9)</p> <p>The auditor may apply an n/a if the company did not perform a COR or SECOR audit the previous year.</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		Provide details/example(s).	
<input type="checkbox"/> N/A / Score 0-9			#/9
H4	Has the action plan from the previous audit been implemented?	<p>Verified through Documentation Review Review the corrective action plan(s) from the previous year's SECOR (or COR) audit 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>Score 0% if question H3 scored 0. Points awarded based on % positive indicators. (Doc 0-5)</p> <p>N/A may be applied if the company did not perform a COR or SECOR audit the previous year.</p> <p>Provide details/example(s).</p> <p>Verified through Interviews Interview managers to determine if they are aware of a corrective action plan developed and implemented from the previous year's SECOR/COR audit</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
		Points awarded based on % positive responses. (Int 0-4) N/A may be applied if the company did not perform a COR or SECOR audit the previous year. Provide details/example(s).	Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
<input type="checkbox"/> N/A / Score 0-9			#/9
Total Points Possible (Minus N/A) = 35			#

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Element H – Recommendations

Recommendations:

Click or tap here to enter text.

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Element I: Other Affected Parties

#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
11	Is a policy and/or process in place to address the protection of others not under the employer's direction, but in the vicinity of the employer's work site?	<p>Verified through Documentation Review</p> <p>Review policies/procedures, etc. to verify the company has a written directive in place to address the protection of other workers not under the employer's direction, visitors, and other persons (e.g., the public, courier services) in the vicinity of work that is being carried out.</p> <p>Points awarded based on having a statement within the company's policies and procedures addressing the requirements. (Doc 0,5)</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.
Score 0,5			#
12	Is there a process to ensure hazards and controls are communicated to external work site parties?	<p>External work site parties include suppliers, service providers, prime contractors, temporary staffing agencies, self-employed persons, and other employers.</p> <p>Verified through Documentation Review</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>Review the documents that outline how hazards and controls have been communicated to external work parties. These may include: Emails, Meeting minutes, Orientations, Contracts, etc. Points awarded based on the % of positive indicators. (Doc 0-5)</p> <p>Provide details/example(s).</p> <p>Verified through Interviews Interview employees responsible for managing visitors and external work site parties or those responsible for safety communication. Determine if external work site parties are provided communication which addresses site hazards and controls.</p> <p>Points awarded based on the % of positive responses. (Int 0-5)</p> <p>Auditor may apply an n/a if external work site parties are not typically present on company work sites.</p> <p>Provide details/example(s).</p>	
Score 0-10			#

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
13	Is a system in place that establishes the criteria for evaluating and selecting other employers under the direction of the contracting employer?	<p>Verified through Documentation Review</p> <p>Review documentation to verify criteria that has been established for selection and evaluation of other employers. All employers are required to meet the responsibilities of the health and safety legislation. The nature of the contracted work may provide different levels of risk, which may result in not all the criteria listed being required.</p> <p>Points awarded based on a system having 100% of criteria required. (Doc 0,5)</p> <p>Auditor may apply an n/a if other employers are not used.</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.
<input type="checkbox"/> N/A / Score 0,5			#
14	Is a system in place to monitor other employers under the direction of the contracting employer (if applicable)?	<p>Verified through Documentation Review</p> <p>Review policies, records or other documents that support a system in place to monitor other employers under the direction of the contracting employer is in place.</p> <p>Points awarded based on 100% of positive indicators. (Doc 0,10)</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.

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#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>OR</p> <p>Verified through Interviews Interview employees responsible for monitoring other employers under the direction of the contracting employer. Determine if the system documented is being used.</p> <p>Points awarded based on 100% positive responses. (Int 0,10) Auditor may apply an n/a if external work site parties are not typically present on company work sites.</p> <p>Provide details/example(s).</p>	
<input type="checkbox"/> N/A / Score 0,10			#
Total Points Possible (Minus N/A) = 30			#

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Element I – Recommendations

Recommendations:
Click or tap here to enter text.

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Element J: Health and Safety Representative (HS Representative)

If this element is not applicable due to the size of the company, please check the box and proceed to scoring summary. <input type="checkbox"/> N/A			
#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
For small employer companies that have elected a Health and Safety Committee in place of a representative, the following questions will apply to the committee rather than a representative, auditor notes must fully support what the company has in place.			
J1	Is there a designated HS representative per legislated requirements?	Verified through Documentation Review 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, and as per legislated requirements. Points awarded based on 100% positive indicators. (Doc 0,4) N/A may be applied if no HS representative is required. Provide details/example(s).	Click or tap here to enter text.
<input type="checkbox"/> N/A / Score 0,4			#
J2	Are assigned duties identified for the HS representative as per legislated requirements?	Verified through Documentation Verify if the company has written duties for the HS representative(s) which includes all the required criteria outlined in the legislation for the jurisdictions in which they are operating.	Click or tap here to enter text.

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<p>If this element is not applicable due to the size of the company, please check the box and proceed to scoring summary.</p> <p><input type="checkbox"/> N/A</p>			
#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
		<p>Points awarded based on 100% positive indicators. (Doc 0,2) N/A may be applied if no HS representative is required.</p> <p>Provide details/example(s).</p>	<p>Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings</p>
<input type="checkbox"/> N/A / Score 0,2			#
J3	<p>Is the HS representative trained in their duties and responsibilities as per legislated requirements?</p>	<p>Verified through Interviews Interview the HS representative(s) to verify training applicable to their role.</p> <p>Points awarded based on 100% positive responses. (Int 0,2)</p> <p>Provide details/example(s).</p>	<p>Click or tap here to enter text.</p>
<input type="checkbox"/> N/A / Score 0,2			#
J4	<p>Does the HS representative participate in health and safety activities?</p>	<p>Verified through Interviews Interview HS representative(s) to confirm their involvement in health and safety activities.</p> <p>Points are awarded based on 100% positive responses. (Int 0,4)</p>	<p>Click or tap here to enter text.</p>

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If this element is not applicable due to the size of the company, please check the box and proceed to scoring summary. <input type="checkbox"/> N/A			
#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes
		Provide details/example(s).	Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
<input type="checkbox"/> N/A / Score 0,4			#
J5	Is there a system in place for the HS representative to address employee health and safety concerns/complaints and provide recommendations to the employer?	Verified through Interviews Interview managers and HS representative(s) to verify they can explain how they address employee health and safety concerns, complaints and/or recommendations. Points awarded based on 100% positive responses. (Int 0,4) Provide details/example(s).	Click or tap here to enter text.
<input type="checkbox"/> N/A / Score 0,4			#
J6	Are health and safety concerns/complaints resolved in a timely manner, as per legislated requirements?	Verified through Documentation Review Review a sample of documentation that supports any identified concerns or complaints, and recommended corrective action(s) are tracked or moved into another system used to track the corrective actions. Verify these are addressed in a timely manner. Points awarded based on % positive indicators. (Doc 0-2) Auditor may apply n/a on all methods if no deficiencies were documented in the	Click or tap here to enter text.

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<p>If this element is not applicable due to the size of the company, please check the box and proceed to scoring summary.</p> <p><input type="checkbox"/> N/A</p>			
#	Question	External Auditor Measurement and Scoring Instructions	Auditor Notes Provide an answer to the question that addresses validation techniques (D, I, O) and auditor's findings
		<p>previous twelve months of committee meeting minutes, or if no HSC (Health and Safety Committee) is required.</p> <p>Provide details/example(s).</p>	
<input type="checkbox"/> N/A / Score 0-2			#/2
J7	Is health and safety representative contact information readily available to employees, as per legislated requirements?	<p>Verified through Observation</p> <p>Verify through observation the names and contact information for the health and safety representative are made readily available at each work site.</p> <p>Points are awarded based on the % of sites that have contacts information readily available. (Obs 0-2)</p> <p>Provide details/example(s).</p>	Click or tap here to enter text.
<input type="checkbox"/> N/A / Score 0-2			#/2
Total Points Possible (Minus N/A) = 20			#

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Element J – Recommendations

Recommendations:

Click or tap here to enter text.



Attach/Provide the following:

Click or tap here to enter text.

Pre-Audit Letter

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Summary Score Sheet

Employer Name: Click or tap here to enter text.

Audit Dates: Click or tap here to enter text.

Element	Total Points Possible	Points N/A	Total Points Possible After N/A Applied	Total Points Scored	Percentage
A. Management Involvement and Commitment	36	#	#	#	#
B. Hazard Identification and Risk Assessment	56	#	#	#	#
C. Hazard Control	48	#	#	#	#
D. Inspections	34	#	#	#	#
E. Training	34	#	#	#	#
F. Emergency Response Plan	30	#	#	#	#
G. Incident/Accident Reporting and Investigation	43	#	#	#	#
H. Communications	35	#	#	#	#
I. Other Affected Parties	30	#	#	#	#
J. Health and Safety Representative (HS Representative)	20	#	#	#	#

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Total Audit Points	366	#	#	#	#
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Small Employer Action Plan

Identified Deficiency	Action Proposed	Person(s) Responsible	Target Date	Action Taken	Date Completed

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Date: Click or tap to enter a date.

Signature: Click or tap here to enter text.

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