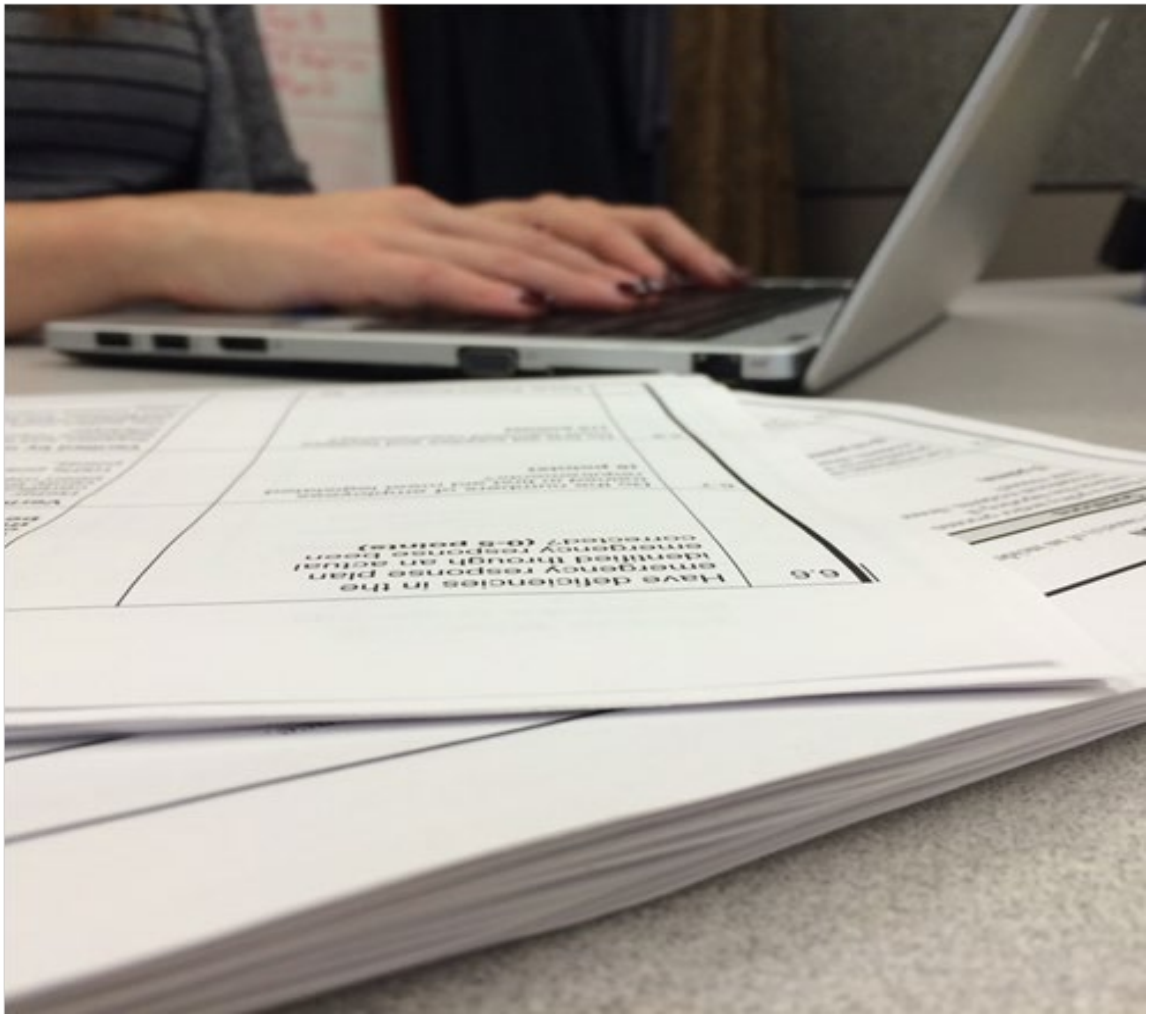
AUDIT INSTRUMENT PACKAGE



Alberta Government

AN APPROVED Partnerships AUDIT INSTRUMENT
AUDIT 2025
Alberta Government

Classification: Protected A

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SECTION A

Introduction

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INTRODUCTION

This package includes all the forms and instructions for using and completing a Partnerships audit.

PURPOSE

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

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

WHO PERFORMS THE AUDIT?

A Health and Safety Audit can be done by employees trained in auditing or by external, trained auditors. Note that an external, independent audit is required for achieving a Partnerships Certificate of Recognition (COR).

FREQUENCY OF AUDITS

How often you audit your health and safety system may vary. The frequency will depend on:

- Changes in business operations
- Degree of work hazards
- Incident frequency
- Staffing changes
- Past audit results
- COR requirements

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INSTRUCTIONS

The Partnerships health and safety audit instrument is designed for use in auditing health and safety systems.

MAINTAINING CONFIDENTIALITY

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

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

HOW TO SCORE

All-or-none questions (e.g. 10 points): In order to award points, some questions will require 100% positive indicators, while other questions may only require 70%, 80% or 90% positive indicators. The auditor must reference each instruction to determine scoring requirements for a particular question.

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

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

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

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

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

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All scoring must be justified through the use of clear and complete auditor notes that:

- clearly explain how scoring was derived
- indicate the validation method(s) used to score the question, and (where applicable) the percentage positive indicators found
- are consistent with the notes and score awarded for other related questions
- include quantification for positive indicators questions
- are original and specific to the employer
- include reference to specific examples
- reflect the question guidelines are followed
- indicate what documentation was reviewed, what observations were completed, and provide interview findings
- Include quantification (eg 8/12) to support the note for each validation technique: documentation, observation and interview.

Once all audit questions have been completed and the scores determined, the total audit score can be calculated. A table for calculating the final score is provided at the end of the audit instrument.

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STEPS FOR COMPLETING AN AUDIT

1.	Pre-Audit Meeting	This is to give a brief overview of the audit process. Attendees should include appropriate senior management and labour representatives. Ensure that the whole site is made aware that the audit is going to take place.
2.	Familiarization Tour	This is a short tour of the facilities included in the scope of audit. Someone knowledgeable with the whole operation should lead the auditor on this tour.
3.	Review Documentation	This is a review of the applicable health and safety documentation. Use the Audit Documentation Guideline included in Section E of the appendix in this package. Use the findings from the documentation review to score the appropriate audit questions.
4.	Interviews	Conduct the interviews that you have pre-determined using representative sampling requirements. Use the **Interview Record Forms** included in Section C of this package. Comment and score the appropriate audit questions.
5.	Site Observation Tour	This is for verifying audit questions where the validation technique is listed as "Observation." The Audit Observation Tour Guideline in Section E provides a format for visually verifying findings from your documentation review and interview results. Use the findings from the observation tour to score the appropriate audit questions.
6.	Organize The Findings	Create a summary of your overall findings for the Post-Audit Meeting (Step 7).
7.	Post-Audit Meeting	The same people who attended the pre-audit meeting should be present. You will be reviewing the audit process, presenting strengths and recommendations, and answering any questions. An audit score cannot be shared at the meeting. You can inform attendees that the final report and score, once approved through the Quality Assurance process, will be forwarded to the employer in a reasonable amount of time.
8.	Final Report	Once data gathering activities have concluded, you will prepare a final report that the organization can use for improving its health and safety system. You can use the **Audit Report Summary** template (Section D) to provide a summary of all the audit findings. **The audit report, completed audit instrument with auditor notes, and pre-audit information must be submitted to the Certifying Partner within 21 days after the completion of data gathering activities.**

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SECTION B

Audit Scope Summary

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PARTNERSHIPS HEALTH AND SAFETY SYSTEM AUDIT SUMMARY SHEET			
Employer Legal Name (as registered with WCB):	Click or tap here to enter text.		
Employer Trade Name (if applicable):	Click or tap here to enter text.		
Address:	Click or tap here to enter text.		
WCB Account(s) in scope:	Click or tap here to enter text.	Industry Code(s) in scope:	Click or tap here to enter text.
Regulatory Jurisdiction:	Click or tap here to enter text.		
Contact Person:	Click or tap here to enter text.	Phone Number:	Click or tap here to enter text.
Fax Number:	Click or tap here to enter text.	Email:	Click or tap here to enter text.
Lead Auditor Name:	Click or tap here to enter text.	Auditor Certification:	Click or tap here to enter text.
Auditor Company & Address:	Click or tap here to enter text.	Auditor Phone Number:	Click or tap here to enter text.
Auditor Fax:	Click or tap here to enter text.	Auditor Email:	Click or tap here to enter text.
Audit Start Date:	Click or tap here to enter text.	Audit End Date:	Click or tap here to enter text.
Audit Purpose (external, internal, auditor qualification):	Click or tap here to enter text.		

AUDIT TEAM		
Auditor Name	Auditor Type (internal/external/corporate)	Certification Number/ Training Date (if audit team member is not a certified auditor)
Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.

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To be completed for each industry code audited.

Audit Scope

☒	Interviewed all shifts. Describe:	Click or tap here to enter text.
☒	Interviewed new hires and experienced employees. Describe:	Click or tap here to enter text.

Numbers of employees at the time of audit:	63	Number of employees at peak activities:	63
Total number of employees interviewed:	22		

List ALL departments/active work sites and their location (e.g. Head Office, Edmonton, etc.	Sites Visited (enter yes or no for each)	Number of Workers						Number of Supervisors		Number of Managers		Number of Senior Managers	
		Full Time		Part Time		Casual							
		Total Employees	Total Interviewed	Total Employees	Total Interviewed	Total Employees	Total Interviewed	Total Employees	Total Interviewed	Total Employees	Total Interviewed	Total Employees	Total Interviewed
Click or tap here to enter text.													
Click or tap here to enter text.													
TOTALS													

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SECTION C

Audit Instrument

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ELEMENT 1: MANAGEMENT LEADERSHIP AND ORGANIZATIONAL COMMITMENT

Management commitment and leadership is the essential foundation for a successful occupational health and safety management system (OHSMS). Management and employees working cooperatively together is required for a health and safety system to succeed.

Questions		Score	Instructions	Notes
1.1	Is there a written Health and Safety Policy signed by the current senior manager? **(5 points)**		**Verified by reviewing written policy.** To award the 5 points, the policy must be signed by the current senior manager, and **must include**: • declaration of management commitment to health and safety that addresses physical, psychological, and social well-being • general health and safety responsibilities of managers, supervisors, workers and contractors • The expectation is that employees will comply with applicable legislation and the organization's own health and safety standards. Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	
1.2	Is the Health and Safety policy readily available to employees? **(0-5 points)**		**Verified by observation.** The current policy may be posted on bulletin boards, in lunchrooms and/or any areas accessible to employees. It may also be in employee handbooks, safety manuals, and/or downloaded or stored electronically. Notes must describe where the policy is located, and how it is made accessible to all employees at that location. Points are awarded based on the percentage of locations the policy was available. **Provide details/examples.**	

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1.3	Is the health and safety policy communicated to employees? **(0-5 points)**		**Verified by senior manager, manager, and supervisor interviews.** Interviewees must be able to describe how they ensure that the policy is communicated to employees. If the organization does not have supervisors, this question can be asked to only managers. Points are awarded based on the percentage of positive responses. **Provide details/example(s).**	
1.4	Are employees aware of the health and safety policy's content? **(0-5 points)**		**Verified by employee interviews.** Employees must be able to explain, in general terms, the policy's content. Points are awarded based on the percentage of positive responses. **Provide details/examples.**	
1.5	Have specific health and safety responsibilities been written for all levels? **(0-10 points)**		**Verified by reviewing documentation**, other than the policy (e.g. job descriptions, and health and safety manuals, staff handbooks, etc.). There must be responsibilities written for all applicable employee levels: • Senior Managers • Managers • Supervisors • Workers Points awarded based on the percentage of positive indicators. **Provide details/example(s).**	
1.6	Do employees understand their: a. Individual OHS rights		**Verified by employee interviews.** Employees must be able to identify the three OHS rights (right to know, right to participate, right to	

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	(0-5 points) b. health and safety responsibilities **(0-5 points)**		refuse dangerous work). Employees must be able to explain their health and safety responsibilities (both company and legislated). Points are awarded based on the percentage of positive responses. **Provide details/examples.**	
1.7	Do managers and supervisors understand their responsibility for the health and safety of the workers under their supervision? **(5 points)**		**Verified by manager and supervisor interviews.** Managers and supervisors must be able to describe how they ensure the health and safety of the employees under their supervision. Points are awarded based on a minimum 80% positive responses. If the organization does not have supervisors, this question can be asked to only managers. **Provide details/examples.**	
1.8	Are employees evaluated on their individual health and safety accountabilities? **(0-10 points)**		**Verified by employee interviews.** Employees at all levels must be able to explain the system that is used to evaluate their accountabilities for their OHS roles and responsibilities. These can include: • Performance appraisals • Discipline policy/process for non-performance • Letters from employer • Positive reinforcement by supervisors • Job safety observations • Management and supervisor reviews, etc. Points are awarded based on the percentage of positive responses. **Provide details/example(s).**	
1.9	Does senior management communicate to employees, at least annually, the		**Verified by employee interviews.**	

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	organization's commitment to health and safety? **(10 points)**		Notes must include examples of how senior management communicates health and safety commitment. Points are awarded based on a minimum 80% positive responses. **Provide details/examples.**	
1.10	Does senior management demonstrate commitment by participating in health and safety activities? **(10 points)**		**Verified by employee interviews.** Employees must identify how senior management demonstrates their commitment by participating in health and safety activities (e.g. site tours, participate in inspections or committees, using hazard controls, etc.). Points are awarded based on a minimum 80% positive responses **Provide details/examples.**	
1.11	Is current health and safety legislation readily available at all work sites? **(5 points)**		**Verified through observation at work sites.** The current occupational health and safety legislation (e.g. federal and/or provincial) including WHMIS, WCB, TDG, NSC appropriate to the operation of the work site(s) must be readily available. Points are awarded based on 100% positive indicators from observations. **Provide details/example(s).**	
1.12	Does management participate in meetings where health and safety is discussed? **(0-10 points)**		**Verified by meeting minutes.** To award points there must be documented evidence of management participation in meetings where health and safety is on the agenda, outside of health and safety committee meetings. Points are awarded based on the percentage of positive indicators of sampled meeting minutes. **Provide details/example(s).**	

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1.13	Does the employer provide resources needed to implement and improve health and safety? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to describe health and safety resources provided (e.g. paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.). Points are awarded based on the percentage of positive responses. **Provide details/examples.**	

TOTAL POINTS POSSIBLE: 100

Total points possible:	100	-	Points not applicable (N/A)	Click or tap here to enter text.	=	Total points:	Click or tap here to enter text.
Total points scored:	Click or tap here to enter text.	÷	Total points:	Click or tap here to enter text.	X 100	Final score %:	Click or tap here to enter text.

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ELEMENT 2: HAZARD ASSESSMENT

A **formal hazard assessment** takes a close look at the overall operations of an organization to identify hazards, measure risk (to help prioritize hazards), and develop, implement and monitor related controls. Worker jobs or types of work are broken down into separate tasks. Formal hazard assessments are detailed, can involve many people, and will require time to complete.

A **site-specific hazard assessment** (also called field-level) is performed before work starts at a site and at a site where conditions change or when non-routine work is added. This flags hazards identified at the location (e.g. overhead power lines, poor lighting, wet surfaces, extreme temperatures, the presence of wildlife), or introduced by a change at the work site (e.g. scaffolding, unfamiliar chemicals, introduction of new equipment). Any hazards identified are to be eliminated or controlled right away, before work begins or continues.

Questions		Score	Instructions	Notes
2.1	Have all jobs/positions been identified for the formal hazard assessment process? **(0-10 points)**		**Verified by reviewing documentation.** Documentation review should include a comparison of job listings (organizational chart, job inventory document, job descriptions, staff listings, etc.) to formal hazard assessment documentation to show that they have been inventoried (formal hazard assessments, task inventories/matrices, etc.). Formal hazard assessment documentation may have the jobs/positions grouped together into common areas (eg field, office, administration) as part of the inventory. Notes must include examples of the jobs/positions identified, and any that were missed. Points are awarded based on the percentage of jobs and/or occupations inventoried compared to the number required as identified on staff listings or organizational charts. Sampling is not acceptable for this question.	
2.2	Has the employer compiled a list of tasks associated with each job/position? **(0-20 points)**		**Verified by review of formal hazard assessments.** The various tasks associated with each job/position must be identified. Notes must include examples, and list tasks that were missed.	

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			Points are awarded based on the percentage of jobs/positions identified that have tasks associated. The **maximum** score allowed for this question will be determined by the total percentage awarded in question 2.1. For example, if only 50% of the points are awarded in question 2.1 (e.g. 5 points), then a maximum of 50% (e.g. 10 points) can be awarded in question 2.2.	
2.3	Are health and safety hazards identified for the tasks associated with each job/position? **(0-20 points)**		**Verified by review of formal hazard assessments.** Confirm that **both** health and safety hazards have been identified for tasks where applicable. (confirmed by question 2.2). Notes must include examples of both health and safety hazards identified. A health hazard is anything that could harm someone's health, either immediately or over time. A safety hazard is anything that could cause injury or damage. Consider the four categories for health and safety hazards, which include: • Physical (e.g. radiological, working at heights, lifting heavy loads, extreme temperatures, violence, ergonomics, etc.) • Chemical (e.g. fumes, vapours, gases, waste products, etc.) • Biological (e.g. bodily fluids, viruses, bacteria, moulds, etc.) • Psychological (e.g. harassment and bullying, stress, fatigue, etc.) Score: 0 - 10 points for health hazards 0 - 10 points for safety hazards Note: All hazard categories may not be applicable to every task identified on formal hazard assessments. Points are awarded for each hazard type based on the percentage of tasks for which hazards have been identified. The **maximum** score allowed for	

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			this question will be determined by the total percentage awarded in question 2.2. For example, if only 50% of the points are awarded in question 2.2 (e.g. 10 points), then only 50% (e.g. 10 points – 5 for each type) can be awarded in question 2.3. The scoring maximums for both health and safety hazards would be reduced to a maximum of 5 points each for this question. **Provide details/example(s).**	
2.4	Have the identified health and safety hazards been evaluated according to risk? **(0-10 points)**		**Verified by review of formal hazard assessments** to confirm that each hazard identified in question 2.3 has been individually assessed for risk to determine priority using a consistent approach of at least 2 factors (e.g. severity and likelihood). Notes must describe the system in use. Points are awarded based on the percentage of health and safety hazards that have been assessed/prioritized. The **maximum** percentage allowed for this question cannot exceed the average percentage awarded in question 2.3. **Provide details/examples.**	
2.5	Is senior management knowledgeable about the highest hazard tasks related to their operations? **(10 points)**		**Verified by senior manager interviews.** Senior management must be knowledgeable of the highest hazard tasks related to their operations (identified in question 2.4). Points are awarded based on a minimum 80% positive responses. **Provide details/examples.**	
2.6	Do the following participate in the formal hazard assessment process? a. Managers **(5 points)** b. Supervisors **(5 points)**		**Verified by manager/supervisor and HSC/HS representative interviews.** Confirm that management, supervisory levels and HSC/HS representative are involved in the formal hazard assessment process, and/or in the regular review of formal hazard assessments.	

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	c. HSC/HS representative **(5 points)**		If the organization does not have supervisors, then 2.6b can be N/A. 2.6c of this question can be N/A if the organization is not legislated to have a HSC/HS Representative. Points are awarded based on a minimum 80% positive responses. **Provide details/examples.**	
2.7	Have workers participated in the development, and/or review of the formal hazard assessments. **(0-10 points)**		**Verified by worker interviews.** Workers must be able to describe how they participated in the development and/or review and revision of the formal hazard assessments and the identification of controls. Points are awarded based on the percentage of positive responses. **Provide details/examples.**	
2.8	Are employees designated to lead the formal hazard assessment process trained? **(0-5 points)**		**Verified by review of formal hazard assessments and training records.** Employees who lead the formal hazard assessment process (e.g. managers, supervisors, team leaders, etc.) must be trained. Refer to completed formal hazard assessments to determine who lead employees are. Then refer to the training records to determine if these employees have completed training. Training may be done internally or by a third party provider. Points are awarded based on the percentage of positive indicators. **Provide details/example(s).**	
2.9	Is there a written policy and/or process to review formal hazard assessments? **(5 points)**		**Verified by review of formal hazard assessment policy and/or process.** Documentation must confirm a requirement to review formal hazard assessments, and includes the following criteria: • On a predetermined frequency to keep the results up-to-date	

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			• When changes are made to the operation or work-related process • When a new work process is introduced • When site-specific hazard assessments identify a new hazard • When an inspection identifies a new hazard • When an investigation identifies a new hazard Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	
2.10	Are formal hazard assessments reviewed as per the policy and/or process? **(0-5 points)**		**Verified by hazard assessment lead interviews.** **Hazard assessment leads** are those that lead the hazard assessment process (e.g. managers, supervisors, team leaders, etc.). Interviewees should be able to describe examples of formal hazard assessments that have been reviewed as per the policy and/or process For example, if a new process has been introduced, or a new hazard has been identified from inspections or investigations. Points are awarded based on percentage of positive responses. **Provide details/example(s).**	
2.11	Does the employer have a process for conducting site-specific hazard assessments when: a. A new activity has been temporarily introduced at the work site? **(5 points)** b. Work is conducted at a temporary/mobile work site (whether owned by the employer or not)?		**Verified by review of documentation.** A policy and/or process and procedures for conducting site-specific hazard assessments must be in place to award points for this question. Question “a” cannot be marked not applicable (n/a). If the employer does not have temporary/mobile work sites, question “b” may be marked not applicable (n/a). Provide justification. Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	

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	(5 points)			
2.12	Have site-specific hazard assessments been: a. conducted before work begins on the day of the job? **(5 points)** b. repeated if changes are introduced? **(5 points)**		**Verified by review of completed site-specific hazard assessments** If site specific hazard assessments were not required in the previous 12 months, this question as a whole or part may be marked not applicable (n/a). Provide justification. Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	
2.13	Have controls been identified for site specific hazard assessments? **(0-5 points)**		**Verified by review of documentation.** Site-specific hazard assessments must identify controls. Points are awarded based on the percentage of positive indicators. If site specific hazard assessments were not required in the last 12 months, this question may be marked not applicable (n/a). Provide justification. **Provide details/example(s).**	
2.14	Do site-specific hazard assessments involve affected employees at the work site? **(0-10 points)**		**Verified by manager/supervisor and worker interviews.** Interviewees must be able to describe how they participate in the site specific hazard assessment process. Points are awarded based on the percentage of positive responses. If site specific hazard assessments were not required in the last 12 months, this question may be marked not applicable (n/a). Provide justification. If the organization does not have supervisors, this question can be asked to only managers. **Provide details/example(s).**	

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2.15	Is there a system in place for workers to report newly identified hazards? **(0-10 points)**		**Verified by worker interviews.** Workers must be able to describe the system to report hazards, such as unsafe or unhealthy conditions or practices. Points are awarded based percentage of positive responses. **Provide details/examples.**	
TOTAL POINTS POSSIBLE: 155				

Total points possible:	155	-	Points not applicable (N/A)	Click or tap here to enter text.	=	Total points:	Click or tap here to enter text.
Total points scored:	Click or tap here to enter text.	÷	Total points:	Click or tap here to enter text.	X 100	Final score %:	Click or tap here to enter text.

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ELEMENT 3: HAZARD CONTROL

If an identified hazard cannot be eliminated, controls are implemented to reduce the risk of the hazard. Implementation of hazard controls will result in the reduction of incidents. The hierarchy of controls are: Elimination (remove hazard/risk, change work process); Substitution (replace a hazard with another that has lower risk e.g. from a gas to liquid chemical); Engineering (i.e. elimination, substitution, guards, ventilation, sound barriers, etc.); Administrative (i.e. safe work practices, job procedures, job rotation, training, etc.); Personal Protective Equipment (i.e. eye protection, hearing protection, gloves, fire retardant coveralls, etc.).

Questions		Score	Instructions	Notes
3.1	Have controls been identified for the hazards listed in the formal hazard assessments? **(0-10 points)**		**Verified by review of formal hazard assessments.** Hazard assessments must include controls for each hazard identified, including engineering, administrative, and PPE controls where applicable. Points are awarded based on the percentage of hazards for which controls have been identified in question 2.3. The **maximum** percentages allowed for this question will be determined by the percentage awarded in question 2.3. See question 2.3 for an example on calculating score. **Provide details/example(s).**	
3.2	Have the identified engineering controls been implemented? **(0-20 points)**		**Verified by observation.** Refer to question 3.1 to obtain a sample of engineering controls, and verify through observation that they have been implemented. Auditors **must** include some controls for highest hazard items in the sample to verify they have been given priority. Points are awarded based on the percentage of engineering controls sampled from the formal hazard assessment that have been observed. **Provide details/examples.**	

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3.3	Have the identified administrative controls been implemented? **(0-20 points)**		**Verified by review of documentation** Refer to question 3.1 obtain a sample of administrative controls to verify through a review of documentation. Auditors **must** include some controls for highest hazard items in the sample to verify they have been given priority. Points are awarded based on the percentage of administrative controls sampled from the formal hazard assessments that have been verified through documentation. **Provide details/example(s).**	
3.4	Have the identified personal protective equipment (PPE) controls been implemented? **(0-20 points)**		**Verified by observation.** Refer to question 3.1 to obtain a sample of controls, and verify through observation that they have been implemented. Auditors **must** include some controls for highest hazard items in the sample to verify they have been given priority. Points are awarded based on the percentage of controls sampled from the formal hazard assessment that have been observed. **Provide details/examples.**	
3.5	Are changes to hazard controls communicated to affected employees? **(0-5 points)**		**Verified by employee interviews.** Interviewees must be able to explain how they were informed of a change to hazard controls relevant to their job tasks. If no changes have been made, interviewees must be aware of how they will be informed of changes. Points are awarded based on percentage of positive response. **Provide details/examples.**	
3.6	Are employees using the established hazard controls? **(0-5 points interview)** **(0-10 points observation)**		**Verified by employee interviews and observation.** Interviewees must confirm their use of hazard controls. Observe employees performing their jobs,	

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			and verify they are **using** the established hazard controls identified in the interviews. Score: 0 - 5 points for interviews 0 - 10 points for observations Points are awarded based on the percentage of positive responses and positive indicators from observations. **Provide details/examples.**	
3.7	Do managers/supervisors enforce the use of hazard controls? **(0-5 points)**		**Verified by managers/supervisor and worker interviews.** Managers/supervisors must be able to give examples of how they enforce the use of controls. Workers must be able to describe the enforcement process. If the organization does not have supervisors, this question can be asked to only managers. Points are awarded based on the percentage of positive responses. **Provide details/examples.**	
3.8	Is there a process in place for preventative maintenance of equipment, vehicles, facilities, and tools? **(5 points)**		**Verified by review of policy and/or process documents.** Documentation must include a policy and/or process requiring ongoing preventative maintenance for all vehicles, equipment, facilities, and tools. (e.g.: overhead doors, cranes, localized ventilation, forklifts, power tools, etc.). There must be maintenance schedules where applicable. Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	
3.9	Is the preventative maintenance process in use? **(0-5 points)**		**Verified by review of documentation.** Documentation must confirm that preventative maintenance is being performed according to the applicable schedules as identified in question 3.8. Points are awarded based on the percentage of positive indicators.	

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			Provide details/example(s).	
3.10	Is there a system that ensures defective equipment, vehicles, facilities, and tools are taken out of service? **(0-10 points)**		**Verified by worker interviews.** Worker interviews must be able to describe when and how defective equipment, vehicles, facilities, and tools are removed from service or for repair. (e.g. tag out, lock out, energy isolation, etc.). Points are awarded based on the percentage of positive responses. **Provide details/example(s).**	
3.11	Does the Violence and Harassment Prevention Plan meet legislated requirements? **(10 points)**		**Verified by review of documentation** Documentation must confirm the employer's Violence and Harassment Prevention Plan meets legislated requirements (Alberta) or Federal legislation for federally regulated employers. Points are awarded based on 100% positive indicators **Provide details/example(s).**	
3.12	Have the Violence and Harassment plan been reviewed as per legislated requirements? **(5 points)**		**Verified by review of documentation** The violence and harassment plan must be reviewed as per legislated requirements (Alberta) or Federal legislation for federally regulated employers. Points are awarded based on 100% positive indicators **Provide details/example(s).**	
TOTAL POINTS POSSIBLE: 130				

Total points possible:	130	-	Points not applicable (N/A)	Click or tap here to enter text.	=	Total points:	Click or tap here to enter text.
Total points scored:	Click or tap here to enter text.	÷	Total points:	Click or tap here to enter text.	X 100	Final score %:	Click or tap here to enter text.

Classification: Protected A

Classification: Protected A

ELEMENT 4: JOINT HEALTH AND SAFETY COMMITTEES AND HEALTH AND SAFETY REPRESENTATIVE (HS REPRESENTATIVE)

Joint Health and Safety Committees are a key element of the internal responsibility system. It brings work site parties together to work on topics such as hazard identification and control, investigation of health and safety incidents, and responding to reports of dangerous work. If an employer (5-19) chooses to go above legislation and establish a HSC instead of designating a HS representative, they have the option to answer committee questions thus marking the HS representative question not applicable (N/A).

If the employer has 1-4 employees as determined through the audit scope, this element may be marked not applicable (N/A).

Questions		Score	Instructions	Notes
4.1	Do the terms of reference for the HSC include all legislated requirements? **(5 points)**		**Verified by review of documentation.** Documentation must confirm a terms of reference is in place for the HSC and includes all legislated requirements (Alberta) or Federal legislation for federally regulated employers. Points are awarded based on 100% indicators from documentation. If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification. **Provide details/example(s).**	
4.2	Is the HSC established as per legislated requirements? **(5 points)**		**Verified by review of documentation** Review terms of reference and other committee documentation to determine there is an established HSC as per legislation (Alberta) or Federal legislation for federally regulated employers. Points are awarded based on 100% indicators from documentation. If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification. **Provide details/example(s).**	
4.3	Has a HS representative been designated as per legislated requirements?		**Verified by employee interviews.** An employer needs to designate a HS representative as per legislated requirements	

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	(0-5 Points)		(Alberta) or Federal legislation for federally regulated employers. Employees need to be informed if this process has occurred. Points are awarded based on percentage of positive responses. If the employer is only required to have an HSC, this question may be marked not applicable (n/a). **Provide details/example(s).**	
4.4	Have duties been written for the HSC and/or HS representative(s)? **(5 Points)**		**Verified by review of documentation.** Documentation must confirm that duties of the HSC and/or HS representative(s) have been written as per legislated requirements (Alberta) or Federal legislation for federally regulated employers. Points are awarded based on 100% positive indicators from documentation **Provide details/example(s).**	
4.5	Have the HSC members and/or the HS representative(s) been trained in their duties and responsibilities? **(0-10 points)**		**Verified by review of documentation.** Review training records for committee members and/or the HS Representative(s) to ensure they are trained as per legislated requirements (Alberta) or to Federal legislation for federally regulated employers. Points are awarded based on percentage of positive indicators. **Provide details/example(s).**	
4.6	Do the HSC members and/or HS representative(s) understand their duties and responsibilities? **(0-10 points)**		**Verified by HSC and/or HS representative(s) interviews** Interviewees must be able to describe their general duties and responsibilities. Examples may include: participation in hazard identification, investigations, and inspections, development and promotion of hazard controls, handling health and safety concerns. Points are awarded based on percentage of positive responses. **Provide details/examples.**	

Classification: Protected A

4.7	Do HSC members and/or the HS representative(s) participate in health and safety activities? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to confirm the committee members and/or representative(s) are involved in health and safety activities. Points are awarded based on the percentage of positive responses. **Provide details/examples.**	
4.8	Is there a policy or procedure in place for the HSC and/or HS representative(s) to address employee concerns related to the health and safety system? **(5 points)**		**Verified by review of documentation.** There must be a policy or procedure in place for the receipt, consideration, and disposition of concerns and complaints regarding the health and safety of workers. Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	
4.9	How do employees bring forward health and safety concerns and complaints? **(0-10 points)**		**Verified by employee interviews.** Employees must be able to explain how they bring forward health and safety concerns and complaints to the HSC and/or HS representative(s) as per the process from 4.8. Points are awarded based on the percentage of positive responses. **Provide details/example(s).**	
4.10	Is a process in place for the HSC and/or HS representative(s) to make health and safety recommendations to management? **(0-10 points)**		**Verified by manager/supervisor interviews** Interviewees must be able to explain how they receive recommendations from the HSC and/or HS representative(s) regarding the health and safety of employees. If the organization does not have supervisors, this question can be asked to only managers. Points are awarded based on the percentage of positive responses. **Provide details/examples.**	
4.11	Are health and safety concerns/complaints received		**Verified by review of documentation.**	

Classification: Protected A

	by the HSC/HS Representative resolved in a timely manner? **(0-5 Points)**		Consider the complexity of the concerns/complaints to determine timeliness. Points are awarded based on percentage of positive indicators. This question may be marked “n/a” if there were no concerns/complaints in the previous 12 months. Provide justification. **Provide details/example(s).**	
4.12	Does the HSC hold meetings as identified in the terms of reference? **(0-5 Points)**		**Verified by review of documentation.** Review committee meeting minutes to confirm the meeting frequency is being met as per the HSC Terms of Reference. Points are awarded based on percentage of positive indicators from documentation. If the employer is only required to have a HS Representative(s), this question may be marked not applicable (n/a). Provide justification. **Provide details/example(s).**	
4.13	Does the Joint Health and Safety Committee/HS representative review the employers work site inspection documentation? **(0-5 points)**		**Verified by documentation.** Review any meeting minutes, inspection records or other documentation that can verify that the HSC/HS representative have reviewed inspection documentation. Points are awarded based on percentage of positive indicators. **Provide details/example(s).**	
4.14	Are the names and contact information of the HSC members and/or the HS representative(s) readily available? **(0-5 points)**		**Verified by observation.** The names and the contact information for the HSC members and/or the HS representative(s) must be readily available at each represented work site. Points are awarded based on the percentage of work sites that have contact readily available. **Provide details/examples.**	

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TOTAL POINTS POSSIBLE: 95							
Total points possible:	95	-	Points not applicable (N/A)	Click or tap here to enter text.	=	Total points:	Click or tap here to enter text.
Total points scored:	Click or tap here to enter text.	÷	Total points:	Click or tap here to enter text.	X 100	Final score %:	Click or tap here to enter text.

Classification: Protected A

ELEMENT 5: QUALIFICATIONS, ORIENTATION AND TRAINING

Qualifications, orientations and training are essential to ensure employees perform their job tasks in a safe and healthy manner. An employer is responsible to ensure the employee is competent.

	Questions	Score	Instructions	Notes
5.1	Is there a process to ensure employees are qualified for the position for which they are being considered? **(5 points documentation)** **(0-10 points interview)**		**Verified by review of documentation and manager/supervisor interviews.** A process must exist that requires a check for qualifications required for the job/tasks (e.g. degrees, diplomas, certificates, trade certificates, apprenticeship program, diplomas, driver's licenses, etc.). Points are awarded based on 100% positive indicators from documentation. Managers/supervisors must be able to describe the process used to verify that employees have the qualifications required to do the job for which they are being hired. Score: 5 points for documentation 0 - 10 points for interviews If the organization does not have supervisors, this question can be asked to only managers. Documentation points are awarded based on 100% positive indicators. Interview points are awarded based percentage of positive responses. **Provide details/example(s).**	
5.2	Does the orientation process cover OHS rights, and critical health and safety information? **(5 points)**		**Verified by review of orientation documentation.** The OHS rights, and critical health and safety information must be reviewed with the employee. These must, at minimum include: • Right to know • Right to participate • Right to refuse dangerous work • Emergency response procedures	

Classification: Protected A

			• Rules of enforcement • High risk hazards • Hazard reporting • Incident reporting • Violence and Harassment Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	
5.3	Do managers/supervisors ensure orientations were conducted prior to employees starting regular duties? **(0-10 points)**		**Verified by manager/supervisor and worker interviews.** Managers/supervisors and workers must be able to describe the process used to ensure workers have received orientation prior to employees starting regular duties. If the organization does not have supervisors, this question can be asked to only managers. Points are awarded based percentage of positive responses. **Provide details/example(s).**	
5.4	Are managers/supervisors provided with training to support them in their role? **(0-5 points documentation)** **(0-10 points interview)**		**Verified by review of training documents and manager/supervisor interviews.** Managers/supervisors must be provided training specific to their role (e.g. incident investigation, hazard identification, communications, conducting meetings, supervisory techniques, enforcement and discipline, legislation, etc.). Score: 0-5 for documentation 0-10 for interviews To confirm which training is deemed appropriate to their role, refer to employer's defined roles and responsibilities in question 1.5, job descriptions, job competencies, etc. Link this back to training documents and interviews.	

Classification: Protected A

			If the organization does not have supervisors, this question can be asked to only managers. Documentation points are awarded based on percentage of positive indicators. Interview points are awarded based on percentage of positive responses. **Provide details/example(s).**	
5.5	Does job-specific training include hazards and controls as well as a practical demonstration? **(0-10 points documentation)**		**Verified by review of training documents** Employees must be trained in the hazards and controls associated with their job which includes a practical demonstration by the trainee to ensure they have acquired the necessary knowledge or skill related to the subject matter. Due to the nature of some tasks, practical demonstrations might not be suitable. Examples of training documents may include a combination of reviewing policies, procedures, practical demonstrations, safe work practices, hazard assessments and training certificates/manuals (e.g. WHMIS 2015, Confined Space Entry, TDG, tasks specialized to the employer, using specialized tools and equipment, etc.). Documentation points are awarded based on percentage of positive indicators. **Provide details/example(s).**	
5.6	Do employees receive job specific training when they are assigned new tasks, or when an operational change affects their work? **(0-10 points)**		**Verified by employee interviews.** Confirm employees receive training when they are re-assigned to a new task or when there are changes to the operations that affects the work they do. Points are awarded based on percentage of positive responses. **Provide details/example(s).**	
5.7	Is there a process to assess competency of new and re-assigned workers?		**Verified by reviewing documentation.** Verify that the employer has a process on how they determine the competency of their workers (e.g. on	

Classification: Protected A

	(0-10 points)		the job training, task observation, test, etc.), and the intervals of when they are completed. Reassignment can include a new job, task, or when a worker moves to a new location. Operational changes may require new competency assessments to be completed. Points are awarded based percentage of positive indicators. **Provide details/example(s).**	
5.8	Are competency assessments conducted? **(0-5 points)**		**Verified by manager/supervisor interviews.** Managers and supervisors must be able to indicate how they ensure competency assessments are conducted as required by the process in 5.7. If 5.7 is awarded no points, this question is scored 0. Points are awarded based on percentage of positive responses. If the organization does not have supervisors, this question can be asked to only managers. **Provide details/example(s).**	
5.9	Is required refresher training provided? **(0-10 points)**		**Verified by reviewing documentation.** An organization is required to determine set timelines/intervals in their policies for in-house refresher training. Some certifications (e.g. First Aid, trade certificates, etc.) also have requirements for re-training/refresher training on a set schedule or when operational changes require it. Employers must document any refresher training requirements, and ensure schedules are met. Points are awarded based on the percentage of positive indicators. **Provide details/example(s).**	
TOTAL POINTS POSSIBLE: 90				

Total points possible:	90	-	Points not applicable (N/A)	Click or tap here to enter text.	=	Total points: Click or tap here to enter text.

Classification: Protected A

Total points scored:	Click or tap here to enter text.	÷	Total points:	Click or tap here to enter text.	X 100	Final score %:	Click or tap here to enter text.

Classification: Protected A

ELEMENT 6: OTHER PARTIES AT OR IN THE VICINITY OF THE WORK SITE

Other employers, visitors, and external work site parties must be included in the employer's health and safety management system.

	Questions	Score	Instructions	Notes
6.1	Is a process in place to address the protection of others not under the employer's direction? **(5 points)**		**Verified by review of documentation.** The process must take into account 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. Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	
6.2	Is a process in place that includes criteria for evaluating and selecting other employers? **(5 points)**		**Verified by review of documentation.** An employer must identify what requirements they use to evaluate and select other employers in order to allow them to conduct work at the employer's work site. Points are awarded based on 100% positive indicators from documentation. If the auditor can confirm the audited employer does not use other employers, this question may be marked not applicable (n/a). Provide justification. **Provide details/example(s).**	
6.3	Is a process in place that includes a system for regularly monitoring and addressing non-compliance with other employers **(5 points documentation)** **(0-5 points interview)**		**Verified by review of documentation and manager/supervisor interviews.** A process to regularly monitor health and safety performance and correct identified deficiencies is in place for other employers during the period of the contracted services. The contracting employer must have a process to deal with other employers when there is non-compliance to their OHSMS. Score: 5 for documentation 0-5 for interviews	

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			Points are awarded based on 100% positive indicators from documentation. Interview points are based on percentage of positive responses. If the auditor can confirm the audited employer does not use other employers, this question may be marked not applicable (n/a). Provide justification. **Provide details/example(s).**	
6.4	Are health and safety orientations provided to: a. Visitors? **(5 points)** b. Other employers? **(5 points)**		**Verified by review of documentation.** Confirm orientations are provided to other employers, and visitors (e.g. visitor logs with safety information identified, contractor sign off, etc.) Points are awarded based on 100% positive indicators from documentation. If the auditor can confirm the audited employer does not use other employers, part b of this question may be marked not applicable (n/a). **Provide details/example(s).**	
6.5	Does the employer communicate with external work site parties regarding: a. Their health and safety responsibilities while on site? **(0-5 points)** b. Work site hazards and controls? **(0-5 points)** c. When there are changes to the site? **(0-5 points)**		**Verified by interviewing managers/supervisors.** Interviewees must be able to describe the process in use and provide details/examples of how external work site parties are made aware of their health and safety responsibilities (including reporting incidents, investigating incidents, and reporting unsafe conditions), work site hazards and controls, and any changes that may affect their health and safety. Work site parties can include other employers, suppliers, prime contractors, etc. conducting activities at a work site or receiving products**.** If the organization does not have supervisors, this question can be asked to only managers. Points are awarded based on the percentage of positive responses. **Provide details/examples.**	
6.6	Is health and safety information readily available to affected external work site parties?		**Verified by manager/supervisor interviews.** Health and safety information is readily available to affected external work site parties.	

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	(0-5 points)		Examples may include hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC and/or HS representative meeting minutes. Work site parties can include other employers, suppliers, prime contractors, etc. conducting activities at a work site or receiving products. If the organization does not have supervisors, this question can be asked to only managers. Points are awarded based on the percentage of positive responses. **Provide details/example(s).**	

TOTAL POINTS POSSIBLE: 50

Total points possible:	50	-	Points not applicable (N/A)	Click or tap here to enter text.	=	Total points:	Click or tap here to enter text.
Total points scored:	Click or tap here to enter text.	÷	Total points:	Click or tap here to enter text.	X 100	Final score %:	Click or tap here to enter text.

Classification: Protected A

ELEMENT 7: INSPECTIONS

The formal inspection process can proactively identify new potential hazards, as well as confirm effectiveness of controls already in place.

Questions		Score	Instructions	Notes
7.1	Is there an inspection process that states the frequency of inspections and includes the following: a. All areas of the operation? **(0-5 points)** b. All employee levels? **(0-5 points)**		**Verified by review of inspection process.** a. The frequency is established by the employer based on the level of risk. Different inspection frequencies for different areas may be established. For example, a shop may require more inspections than the administrative office. Inspection processes must include the frequency of inspections for each area. b. Participation by all levels (m/s/w) is not expected for every inspection, but each applicable level should be assigned some responsibility in the inspection process in order to award points for all parts of this question. Points are awarded based on percentage positive indicators from documentation. **Provide details/example(s).**	
7.2	Are checklists or forms used for formal inspections? **(5 points)**		**Verified by review of completed inspection checklists or forms.** An inspection checklist or form customized to the scope of the inspection must be in place and in use. Checklists may be work site, department, operation-specific, employee observation, etc. Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	
7.3	Have individuals leading formal inspections received training? **(0-10 points)**		**Verified by review of inspection and training records.** Identify employees leading inspections, and verify they have completed training.	

Classification: Protected A

			Points are awarded based on percentage positive indicators from documentation. **Provide details/example(s).**	
7.4	Are formal inspections carried out in accordance with the policy and/or process : a. For all areas of the operation? **(0-5 points)** b. By Managers? **(0-5 points)** c. By Supervisors? **(0-5 points)** d. By Workers? **(0-5 points)**		**Verified by review of inspection records.** a. The frequency in the policy and/or process is being met for all areas of the operation. b-d. Records must show participation from each level stated in the policy and/or process is being met (question 7.1). If 7.1 is awarded no points, this question is scored 0. If the employer does not have managers or supervisors, one of these levels can be marked as n/a. Points are awarded based on percentage positive indicators from documentation. **Provide details/example(s).**	
7.5	Do management inspections include a component of employee observation? **(0-5 points)**		**Verified by senior manager/manager interviews.** Senior managers/managers must be able to describe how they include observations of OHS behaviors and conditions during their inspections. Points are awarded based on the percentage of positive responses. **Provide details/examples.**	
7.6	Is there a system to correct deficiencies identified through formal inspections? **(0-5 points)**		**Verified by manager/supervisors interviews.** Interviewees must be able to describe the how they ensure deficiencies identified through formal inspections will be corrected. If the organization does not have supervisors, this question can be asked to only managers. Points are awarded based on the percentage of positive responses. **Provide details/examples.**	
7.7	Have deficiencies identified through formal inspections been corrected?		**Verified by observations.** Observe whether sampled deficiencies identified in the inspection reports have been corrected.	

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	(0-25 points)		Points are awarded based on the percentage of positive indicators from observations. Where no deficiencies are identified or not observable, this question may be marked not applicable (n/a). Provide justification. **Provide details/examples.**	

TOTAL POINTS POSSIBLE: 80

Total points possible:	80	-	Points not applicable (N/A)	Click or tap here to enter text.	=	Total points:	Click or tap here to enter text.
Total points scored:	Click or tap here to enter text.	÷	Total points:	Click or tap here to enter text.	X 100	Final score %:	Click or tap here to enter text.

Classification: Protected A

ELEMENT 8: EMERGENCY RESPONSE

An emergency response plan helps ensure appropriate and efficient actions will take place in the event of an emergency or disaster.

	Questions	Score	Instructions	Notes
8.1	Have written emergency response plans been developed for potential emergencies? **(0-10 points)**		**Verified by review of emergency response plans applicable to the operations.** Emergency response plans should be specific to the employer including those required by legislation (Alberta) or federal legislation for federally regulated employers. Examples of potential emergencies to consider could include: • Fire • Severe weather • Medical emergencies • Hazardous materials release • Violence • Suspicious persons • And other situations appropriate for the nature of the work being performed Provide details/examples of emergencies identified. Points are awarded based on the percentage of positive indicators. **Provide details/example(s).**	
8.2	Do written emergency response plans include: a. Communication systems? **(2 points)** b. Emergency phone numbers? **(2 points)** c. List of emergency response personnel? **(2 points)** d. Appropriate Response?		**Verified by review of emergency response plans and/or procedures.** a. Communication systems include alarms, procedures for contacting both internal and external emergency contacts, etc. b. Emergency phone numbers must include more than "9-1-1." c. A list of persons designated to respond to specific types of emergencies. d. Appropriate employee response procedures must be written for all potential emergencies that require them (e.g. Evacuation,	

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	(2 points) e. Monitoring the effectiveness of the plan? **(2 points)**		lockdown, muster point, shelter in place, equipment, etc.). e. A requirement to monitor the effectiveness of the plan through drills and actual responses. Notes must include examples of auditor findings to support the scores for each part of the question. Points are awarded based on 100% positive indicators from documentation for each sub-point. **Provide details/examples.**	
8.3	Have employees received emergency response training appropriate to their individual responsibility? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to describe the type of training they received in emergency response. Examples include first aid, fire warden, in house, industry specific, incident command system, etc. Points are awarded based on the percentage of positive responses. **Provide details/example(s).**	
8.4	Do employees understand their responsibilities under the emergency response plan? **(0-10 points)**		**Verified by employee interviews** Interviewees must be able to describe how they would respond in the event of an emergency. Points are awarded based on the percentage of positive responses. **Provide details/example(s).**	
8.5	Are emergency response drills conducted? **(0-10 points)**		**Verified by review of records.** Records of drills must be kept. Drills are *required* at least once every 12 months applicable to the operations. If records cannot be found from the past 12 months, points cannot be awarded. An emergency response drill could include a practice drill or table top exercise. (e.g. evacuation, lockdown, shelter in place, etc.). A drill type may cover multiple emergency response plans. For example, an evacuation drill might	

Classification: Protected A

			address multiple scenarios including a fire, hazardous material release, bomb threat, etc. **Actual emergency responses cannot be used as a drill for scoring this question.** Points are awarded based on the percentage of positive indicators. **Provide details/example(s).**	
8.6	Have deficiencies in the emergency response plan identified through a drill been corrected? **(0-5 points)**		**Verified by review of documentation.** Review drill records, meeting minutes, etc. for documented deficiencies. Confirm any corrective action(s) were completed. Notes must contain examples of the findings from records of drills, and how deficiencies were corrected. Points are awarded based on percentage of positive indicators. This question may be marked not applicable (n/a) only if deficiencies were not identified from drills. Provide justification. If points have not been awarded in question 8.5, then 0 points must be awarded for this question. **Provide details/examples.**	
8.7	Have deficiencies in the emergency response plan identified through an actual emergency response been corrected? **(0-5 points)**		**Verified by review of emergency response documentation.** Notes must contain examples of how identified issues were corrected. Points are awarded based on percentage of positive indicators. If an actual emergency response has not occurred, or deficiencies were not noted in the past 12 month period, the question may be marked not applicable (n/a). Provide justification. **Provide details/examples.**	
8.8	Do the numbers of employees trained in first aid meet legislated requirements?		**Verified by review of documentation.** Refer to legislation (Alberta) or federal legislation if federally regulated employers, and review first aid	

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	(5 points)		certificates. To award points, the auditor must verify that legislated first aid requirements have been met across all shifts. Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	
8.9	Do first aid equipment, supplies and facilities meet legislated requirements? **(10 points)**		**Verified by observation.** Equipment, supplies and facilities must meet the identified legislative requirements (Alberta) or Federal legislation for federally regulated employers The auditor must verify that legislated first aid obligations have been met at all visited sites and facilities. Points are awarded based on 100% positive indicators from observations. **Provide details/example(s).**	
TOTAL POINTS POSSIBLE: 75				

Total points possible:	75	-	Points not applicable (N/A)	Click or tap here to enter text.	=	Total points:	Click or tap here to enter text.
Total points scored:	Click or tap here to enter text.	÷	Total points:	Click or tap here to enter text.	X 100	Final score %:	Click or tap here to enter text.

Classification: Protected A

ELEMENT 9: INCIDENT INVESTIGATION

Investigations determine the cause(s) of an incident, and the corrective action(s) required to prevent recurrence.

	Questions	Score	Instructions	Notes
9.1	Is there a process that requires the reporting of incidents (including near miss), occupational illness, and work refusals? **(5 points)**		**Verified by review of documentation.** A process must require the reporting of incidents (including near miss), occupational illness, and work refusals to award full points. These must include both internal and external reporting (e.g. OHS, WCB, etc.). Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	
9.2	Can employees explain the reporting procedures for incidents (including near miss), occupational illness, and work refusals? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to explain the process for reporting incidents (including near miss), occupational illness, and work refusals. Points are awarded based on the percentage of positive responses. **Provide details/example(s).**	
9.3	Are employees reporting incidents, occupational illnesses and work refusals? **(5 points)**		**Verified by review of documentation.** Review completed incident, occupational illness, and work refusal reports that support reporting is taking place. Points are awarded based on 100% positive indicators from documentation. This question may be marked not applicable (n/a) if there were no incidents in the previous 12 months. Provide justification. **Provide details/example(s).**	
9.4	Are employees reporting near misses? **(5 points)**		**Verified by review of documentation.** Review completed near miss reports to support that reporting is taking place.	

Classification: Protected A

			Points are awarded based on 100% positive indicators from documentation. If the employer is considered low hazard AND did not have a near miss in the previous 12 months, this question may be marked not applicable (n/a). Provide justification. **Provide details/example(s).**	
9.5	Is there a procedure for investigating incidents (including near miss), occupational illness, and work refusals? **(5 points)**		**Verified by review of documentation.** The procedure must include: • how to investigate incidents (near misses), occupational illness, work refusals • how to identify root causes • the requirement to implement corrective actions Points are awarded based on 100% positive indicators from documentation. **Provide details/example(s).**	
9.6	Have the individuals leading investigations been trained in investigation techniques? **(0-5 points)**		**Verified by review of completed investigation records and training records.** Review training records of individuals who have completed investigation reports and confirm they have received training. Points are awarded based on the percentage of positive indicators. If third party investigators are brought in, full points may be awarded, but documented evidence of this must exist. **Provide details/example(s).**	
9.7	Do managers/supervisors participate in investigations? **(0-10 points)**		**Verified by manager/supervisors interviews.** Not all managers/supervisors need to actively participate in incident investigation. However, all must be able to describe managers/supervisors are involved in the investigation process. If the organization does not have supervisors, this question can be asked to only managers. Points are awarded based on the percentage of positive responses.	

Classification: Protected A

			Provide details/example(s).	
9.8	Do workers participate in the investigation process? **(0-10 points)**		**Verified by worker interviews.** Not all workers need to actively participate in the incident investigation process. However, all workers must be able to describe how workers participate in the investigation process. Note: Participation must be more than the injured worker or witness. Points are awarded based on the percentage of positive responses. **Provide details/example(s).**	
9.9	Do investigations: a. Identify underlying factors? **(0-5 points)** b. Recommend corrective actions? **(0-5 points)**		**Verified by reviewing completed investigation reports.** a. Investigations must identify the underlying factors (root causes) resulting from deficiencies in the health and safety system. b. Corrective actions must be designed to implement system changes that will prevent reoccurrence. (e.g. Advising employees to "be more careful" is not an acceptable corrective action.) Points are awarded based on the percentage of reviewed investigation reports that identify causes and recommend corrective action. If there have been no investigations required in the previous 12 months, refer to blank investigation forms or the investigation process. **Provide details/example(s).**	
9.10	Are corrective actions identified in investigation reports implemented to prevent reoccurrence? **(0-5 points documentation)** **(0-10 points observation)**		**Verified by review of documentation and observing results of corrective actions implemented.** If corrective actions include administrative controls, implementation may be confirmed through documentation (e.g. training, memos, safety bulletins, etc.).	

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			For corrective actions that are observable, award points that confirms implementation compared to the corrective actions identified. Score: 0-5 points for documentation 0-10 points for observation Documentation points are awarded based on the percentage of corrective actions reviewed in question 9.9b that can be verified as implemented. Observation points are awarded based on the percentage of implemented observable corrective actions reviewed in 9.9b. If corrective actions are not observable, the observation portion of this question may be marked not applicable (n/a). Provide justification. **Provide details/example(s).**	
9.11	Are investigations completed in a timely manner? **(0-5 points)**		**Verified by review of investigation reports.** Consider the complexity of the investigation to determine timeliness (i.e. length of time that the investigations were completed in relation to the date of the incident). If no investigations have been required in the previous 12 months, review the process to determine that the employer indicates timeliness. Points are awarded based on percentage of positive indicators. **Provide details/example(s).**	
9.12	Do managers/supervisors ensure investigations are complete as required by the investigation procedures? **(0-5 points)**		**Verified by review of investigation reports.** Investigation reports should be complete, including identifying causes and implementing corrective actions as outlined in the investigation procedure verified in question 9.5. Points are awarded based on percentage of positive indicators. **Provide details/example(s).**	

Classification: Protected A

9.13	Are completed investigation reports/results communicated to employees? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to describe how investigation results are communicated. Points are awarded based on the percentage of positive responses. **Provide details/example(s).**	
TOTAL POINTS POSSIBLE: 100				

Total points possible:	100	-	Points not applicable (N/A)	Click or tap here to enter text.	=	Total points:	Click or tap here to enter text.
Total points scored:	Click or tap here to enter text.	÷	Total points:	Click or tap here to enter text.	X 100	Final score %:	Click or tap here to enter text.

Classification: Protected A

ELEMENT 10: SYSTEM ADMINISTRATION

System administration provides an evaluation of the overall effectiveness of the occupational health and safety management systems (OHSMS).

	Questions	Score	Instructions	Notes
10.1	Is there a system to confirm: a. Management communicates health and safety issues to workers? **(0-10 points)** b. Workers can provide feedback on health and safety issues? **(0-10 points)**		**Verified by worker interviews**. a. Interviewees must be able to describe how employees are advised of health and safety issues by management (e.g. newsletter, safety meetings, emails, posted bulletins, posters, etc.). b. Interviewees must be able to describe how they are able to offer feedback on health and safety issues (e.g. health and safety meetings, suggestion boxes, contacts with supervisor, etc.) Points are awarded based on percentage of positive response. **Provide details/example(s).**	
10.2	Is health and safety information readily available to employees? **(0-5 points)**		**Verified by employee interviews.** Health and safety information (e.g. hazards assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC meeting minutes, etc.) is readily available to employees. Points are awarded based on percentage of positive responses. **Provide details/example(s).**	
10.3	Are health and safety records/statistics analyzed to identify trends on at least an annual basis? **(10 points)**		**Verified by review of documentation.** Health and safety records/statistics can be done in many different ways including company specific monthly, quarterly or annual health and safety reports, analysis of injury reports, or graphical reports of Health and safety statistics to show trends.	

Classification: Protected A

			Notes must provide details/examples of the records/statistics being analyzed, and any trends/gaps identified by the employer. Points are awarded based on 100% positive indicators from documentation. **Provide details/examples.**	
10.4	Is senior management/management held accountable for the implementation of the OHSMS? **(5 points)**		**Verified by senior manager and manager interviews.** Interviewees must describe their involvement in improving the performance of the OHSMS (including review, initiating improvements, and setting strategic direction) and how they are held accountable. Points are awarded based on a minimum 80% positive interview results. **Provide details/example(s).**	
10.5	Is an OHSMS evaluation or action plan completed at least annually? **(5 points)**		**Verified by review of previous evaluations.** Evaluations or action plans must be completed annually to support continuous improvement. Points are awarded based on 100% positive indicators from documentation. If the company did not perform a COR or SECOR audit or maintenance option the previous year, this question may be marked not applicable (n/a). Provide justification. **Provide details/example(s).**	
10.6	Are results from the OHSMS evaluation or action plan communicated to employees? **(0-10 points)**		**Verified by employee interviews.** Interviewees must be able to describe how the evaluation or action plan results are communicated to them. Points are awarded based on percentage of positive responses. If the company did not perform a COR or SECOR audit or maintenance option the previous year, this question may be marked not applicable (n/a). Provide justification. **Provide details/example(s).**	

Classification: Protected A

10.7	Was a plan developed to address identified OHSMS deficiencies from the previous evaluation? **(0-5 points)**		**Verified by review of documentation.** To award points for this question, a plan must have been developed to address deficiencies identified in the past year. A plan format must include: • measureable action items, • proposed completion dates, and • individuals responsible for follow-up. If the company did not perform a COR or SECOR audit or maintenance option the previous year, this question may be marked not applicable (n/a). Provide justification. **Provide details/example(s).**	
10.8	Has the plan been implemented? **(0-10 points)**		**Verified by review of documentation.** Verify if the items identified in question 10.7 have been initiated or implemented. Points awarded are based on the percentage of items initiated and/or completed on the plan. This question may be marked not applicable (n/a) if question 10.7 has been marked not applicable. Provide justification. **Provide details/example(s).**	
TOTAL POINTS POSSIBLE: 70				

Total points possible:	70	-	Points not applicable (N/A)	Click or tap here to enter text.	=	Total points:	Click or tap here to enter text.
Total points scored:	Click or tap here to enter text.	÷	Total points:	Click or tap here to enter text.	X 100	Final score %:	Click or tap here to enter text.

Classification: Protected A

SUMMARY SCORE SHEET

Employer Name:	Click or tap here to enter text.	**Date of Audit:**	Click or tap here to enter text.
Lead Auditor:	Click or tap here to enter text.	**Additional Auditors:**	Click or tap here to enter text.
WCB Account(s) in Scope:	Click or tap here to enter text.	**Industry Code(s) in Scope:**	Click or tap here to enter text.

Element	Total Points Possible	Points not Applicable (N/A)	Total Points Available	Total Points Scored	Percentage
1. Management Leadership and Organizational Commitment	100				
2. Hazard Assessment	155				
3. Hazard Control	130				
4. Joint Health and Safety Committee and Health and Safety Representatives	95				
5. Qualifications, Orientation and Training	90				
6. Other Parties at or in the Vicinity of the Work Site	50				
7. Inspections	80				
8. Emergency Response	75				
9. Incident Investigation	100				
10. System Administration	70				
Total Audit Points	945				

Classification: Protected A

SECTION D

Audit Summary Report

Classification: Protected A

1. Management Leadership and Organizational Commitment

Element Score %:	Click or tap here to enter text.	Total Points:	Click or tap here to enter text.	Points Scored:	Click or tap here to enter text.
Existing Strengths:					
Click or tap here to enter text.					
Suggestions for Improvements:					
Click or tap here to enter text.					

Classification: Protected A

2. Hazard Assessment

Element Score %:	Click or tap here to enter text.	Total Points:	Click or tap here to enter text.	Points Scored:	Click or tap here to enter text.
Existing Strengths:					
Click or tap here to enter text.					
Suggestions for Improvements:					
Click or tap here to enter text.					

Classification: Protected A

3. Hazard Control

Element Score %:	Click or tap here to enter text.	Total Points:	Click or tap here to enter text.	Points Scored:	Click or tap here to enter text.

Existing Strengths:
Click or tap here to enter text.

Suggestions for Improvements:
Click or tap here to enter text.

Classification: Protected A

4. JOINT HEALTH AND SAFETY COMMITTEE (HSC) AND/OR HEALTH AND SAFETY REPRESENTATIVE (HR REPRESENTATIVE)

ELEMENT SCORE %:	Click or tap here to enter text.	TOTAL POINTS:	Click or tap here to enter text.	POINTS SCORED:	Click or tap here to enter text.
EXISTING STRENGTHS:					
Click or tap here to enter text.					
SUGGESTIONS FOR IMPROVEMENTS:					
Click or tap here to enter text.					

Classification: Protected A

5. Qualifications, Orientation and Training

Element Score %:	Click or tap here to enter text.	**Total Points:**	Click or tap here to enter text.	**Points Scored:**	Click or tap here to enter text.

Existing Strengths:
Click or tap here to enter text.

Suggestions for Improvements:
Click or tap here to enter text.

Classification: Protected A

6. Other Parties at or in the Vicinity of the Work Site

Element Score %:	Click or tap here to enter text.	Total Points:	Click or tap here to enter text.	Points Scored:	Click or tap here to enter text.
Existing Strengths:					
Click or tap here to enter text.					
Suggestions for Improvements:					
Click or tap here to enter text.					

Classification: Protected A

7. INSPECTIONS

ELEMENT SCORE %:	Click or tap here to enter text.	TOTAL POINTS:	Click or tap here to enter text.	POINTS SCORED:	Click or tap here to enter text.
EXISTING STRENGTHS:					
Click or tap here to enter text.					
SUGGESTIONS FOR IMPROVEMENTS:					
Click or tap here to enter text.					

Classification: Protected A

8. Emergency Response

Element Score %:	Click or tap here to enter text.	Total Points:	Click or tap here to enter text.	Points Scored:	Click or tap here to enter text.

Existing Strengths:
Click or tap here to enter text.

Suggestions for Improvements:
Click or tap here to enter text.

Classification: Protected A

9. Incident Investigation

Element Score %:	Click or tap here to enter text.	Total Points:	Click or tap here to enter text.	Points Scored:	Click or tap here to enter text.

Existing Strengths:
Click or tap here to enter text.

Suggestions for Improvements:
Click or tap here to enter text.

Classification: Protected A

10. System Administration

Element Score %:	Click or tap here to enter text.	Total Points:	Click or tap here to enter text.	Points Scored:	Click or tap here to enter text.
Existing Strengths:					
Click or tap here to enter text.					
Suggestions for Improvements:					
Click or tap here to enter text.					

Classification: Protected A

SECTION E

Validation Templates

Classification: Protected A

INTERVIEW INSTRUCTIONS

The following instructions should be followed when using the interview record forms. They are designed so that a minimal amount of writing is required.

The column "**QUESTION #**" indicates the question number in the audit instrument that needs to be validated through interviews.

The column "**QUESTION AND COMMENTS**" provides the basic question that needs to be answered. It also has space allocated for recording responses.

The "**RESPONSE**" column is to indicate whether the interviewee was positive (+), negative (-), or non-committal (n.c.) in his/her responses. Non-committal responses will be counted as a negative, or a "no," when calculating response rates for each question.

Questions that have the "RESPONSE" column shaded are for the auditor's information and are not scored.

STEPS	
1	Introduce and explain the interview process and purpose to the interviewee.
2	Discuss some of the interviewee's background information, so that questions can be asked in a manner that relates to the individual's job. Make key word notes in the "Background Information" space.
3	Ask the questions on the form. Re-word them if needed. Expand on them if you didn't get enough information. Record key words and comments in the space under the question.
4	Once the question is finished, place a "tick" mark in the space under the "RESPONSE" column that best reflects the interviewee's answer.

Continue in this manner for all of the interviews. One set of interview record forms may be all that is needed to record all interview responses for an employee group (i.e. worker, supervisor, etc.).

All employee groups indicated in the audit question must be interviewed. Interview results are then combined to be able to calculate the percentage of positive responses. In order to achieve representative findings, interviews should not be discontinued.

Classification: Protected A

Not all questions are asked to an employee group but to a certain role within the organization (i.e. HSC/HS representative, lead). Ensure to confirm with the interviewee if they fall under a specific role before proceeding with the interview.

For all-or-none questions, if the percentage of positive responses is less than what is stated in the auditor instructions, no points are awarded.

For range-of-points questions, the percentage of positive responses is used to calculate the proportion of points to award out the total points available for the specific question.

If validation of a question requires two or more employee groups (e.g. worker, supervisor) to be interviewed, combine all the +, -, and n.c. responses for the applicable groups to calculate the percentage of positive responses for the audit question.

Remember – **All interview records are completely confidential.** Destroy the records once the report is completed and approved by the Certifying Partner.

EXAMPLE # 1

All-or-none scoring – for question 1.9 (5 points)

10 employees interviewed

Auditor instruction for scoring – Full points awarded for at least 80% positive responses from employees interviewed.

QUESTION NO.	QUESTIONS AND COMMENTS	RESPONSE		
		+	-	n.c.
1.9	**How does senior management (i.e. the boss/the owner) communicate to you that health and safety is important? How often?** At staff meetings. Through newsletter. At Christmas luncheon	𝍸 | | |	|	|

Of the 10 employees interviewed, 8 responded positively, 1 negatively, and 1 did not know. This is an 80% positive response, therefore the full 5 points are awarded.

Classification: Protected A

EXAMPLE # 2

Range of Points question - for question 1.4 (0-5 points)

10 employees interviewed

Auditor instruction for scoring – Points are awarded based on the percentage of positive responses from interviews.

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
1.4	**What are some of the key points listed in the Health and Safety Policy?** Talks about commitment. Outlines responsibilities.	𝍸 |	|||	|

Of the 10 employees interviewed, 6 responded positively, 3 negatively, and 1 was non-committal. This is a 60% positive response. Therefore, 3 points out of a possible 5 points are awarded. This is calculated based on 60% proportion of the 5 available points (5 x .60 = 3).

Classification: Protected A

SENIOR MANAGEMENT INTERVIEW TEMPLATE

QUESTION NO.	QUESTION and COMMENTS	RESPONSE		
		+	-	n.c.
Background Information: *What areas are you responsible for?* *How long have you worked here?* *How long have you been in this position?* *Do you take a lead role in formal hazard assessments?* *Do you directly supervise workers?* *Are you on the HS Committee or are you the HS representative?*				
1.3	How do you ensure employees are made aware of your H&S policy?			
1.4	What are some of the key points listed in the Health and Safety Policy?			
1.6	a. Can you provide some examples of how the three OHS Rights (*right to be informed, right to participate, and right to refuse dangerous work*) apply to the work you do? b. Can you provide some examples of company and legislated health and safety responsibilities that have been assigned to you?			
1.8	Can you explain how you are held accountable for your health and safety roles and responsibilities? *Examples can include performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.*			
1.9	How do you communicate to employees that health and safety is important? How often?			
1.10	What company health and safety activities do you participate in?			
1.13	What resources are provided to implement and improve the health and safety system?			

Classification: Protected A

	Examples can include paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.			
2.5	What are some of the highest hazard tasks associated with your company's operations?			
2.10	Hazard Assessment Lead – When are formal hazard assessments reviewed? *Auditor to determine if interviewee would be considered a lead for the purpose of hazard assessment review.* ***Hazard assessment leads*** *are those that lead the hazard assessment process. N/A if they are not.*			
3.5	How are changes to hazard controls communicated to you?			
3.6	What hazard controls do you use?			
4.3	How did you designate your HS representative? *If the employer is only required to have an HSC, this question may be marked not applicable (n/a).*			
4.6	HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities? *Auditor to determine if interviewee would be considered a Health and Safety Committee (HSC) member or the Health and Safety Representative (HS representative). N/A if they are not.*			
4.7	What health and safety activities are performed by the HSC or HS representative?			

Classification: Protected A

4.9	How can you provide feedback regarding health and safety concerns and complaints to your committee members or health and safety representative?			
5.6	When an employee is hired or assigned a new job, task, or when an operational change affects their work, what type of training is provided?			
7.5	Describe how employee observations are incorporated into the inspection process.			
8.3	What type of training have you received in emergency response? (Examples: fire control, rescue, first aid, lock down, shelter in place.)?			
8.4	What are your emergency response responsibilities?			
9.2	What is the process you follow for reporting incidents (including near misses), occupational illness or work refusals?			
9.13	How do you communicate the results of incident investigations to employees?			
10.2	How is health and safety information made available to you and your employees?			
10.4	Describe your involvement in the performance of the health and safety management system (e.g. develop a health and safety plan for the upcoming year, provide resources for health and safety initiatives, etc.). How are you held accountable for the OHSMS?			
10.6	How do you communicate the results of health and safety system evaluations or action plans to employees?			

Classification: Protected A

MANAGEMENT/SUPERVISOR INTERVIEW TEMPLATE

QUESTION NO.	QUESTION and COMMENTS	RESPONSE		
		+	-	n.c.
Background Information: *What areas are you responsible for?* *How long have you worked here?* *How long have you been a manager/supervisor?* *Do you take a lead role in formal hazard assessments?* *Do you directly supervise workers?* *Are you on the HS Committee or are you the HS representative?*				
1.3	How do you ensure employees are made aware of the policy?			
1.4	What are some of the key points listed in the Health and Safety Policy?			
1.6	a. Can you provide some examples of how the three OHS Rights (*right to be informed, right to participate, and right to refuse dangerous work*) apply to the work you do? b. Can you provide some examples of company and legislated health and safety responsibilities that have been assigned to you by your employer?			
1.7	What are your responsibilities to ensure the health and safety of employees under your supervision?			
1.8	Can you explain how you are held accountable for your health and safety roles and responsibilities? *Examples can include performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.*			
1.9	How does senior management (i.e. the boss/the owner) communicate to you that health and safety is important? How often?			

Classification: Protected A

1.10	What activities do senior management participate, to demonstrate they are committed to the company's HSMS?			
1.13	What resources does senior management provide to implement and improve the health and safety system? *Examples can include paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.*			
2.5	What are some of the highest hazard tasks associated with your company's operations? *Only ask this question if it is determined the interviewee is the highest level of management within the scope of the audit.*			
2.6a	How does management participate in the formal hazard assessment process?			
2.6b	How do supervisors participate in the formal hazard assessment process?			
2.6c	How does the HSC and/or HS representative participate in the formal hazard assessment process? *Auditor to determine if the interviewee would be considered a HSC member or the HS representative. N/A if they are not.*			
2.10	Hazard Assessment Lead – When are formal hazard assessments reviewed? *Auditor to determine if interviewee would be considered a lead for the purpose of hazard assessment review.* ***Hazard assessment leads*** *are those that lead the hazard assessment process. N/A if they are not.*			
2.14	How do you involve affected employees in the site-specific hazard assessment process?			

Classification: Protected A

3.5	How are changes to hazard controls communicated to you?			
3.6	What hazard controls do you use?			
3.7	How do you enforce the use of the established hazard controls?			
4.3	How was the HS Representative designated? *If the employer is only required to have an HSC, this question may be marked not applicable (n/a).*			
4.6	HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities? *Auditor to determine if interviewee would be considered a Health and Safety Committee (HSC) member or the Health and Safety Representative (HS representative). N/A if they are not.*			
4.7	What health and safety activities are performed by the HSC or HS representative?			
4.9	How can you provide feedback regarding health and safety concerns and complaints to your committee members or health and safety representative? HSC member – How can employees bring forward health and safety concerns/complaints to the committee? *Only ask if interviewee would be considered a Health and Safety Committee (HSC) member*			
4.10	Can you explain how the HSC members and/or HS representative make health and safety recommendations to management?			
5.1	How does the company verify that employees have the qualifications required to do the job for which they are being hired?			

Classification: Protected A

	Examples can include degrees, diplomas, certificates, trade certificates, apprenticeship program, diplomas, driver's licenses, etc.			
5.3	How does your company ensure employees receive orientations prior to starting regular duties?			
5.4	What type of training have you received to support your role as a manager/supervisor?			
5.6	When an employee is hired or assigned a new job, task, or when an operational change affects their work, what type of training is provided?			
5.8	When and how are competency assessments completed?			
6.3	Explain how you monitor the health and safety performance of other employers and deal with issues of non-compliance?			
6.5	a. How do you communicate with external work site parties regarding their health and safety responsibilities while on site? b. How do you communicate with external work site parties regarding work site hazards and controls? c. How do you communicate with external work site parties when changes are made to a site that may impact their health and safety? *Work site parties can include other employers (including visitors, prime contractors, supplies, service providers, etc.)*			
6.6	How is health and safety information made available to affected external work site parties?			
7.5	Describe how employee observations are incorporated into the inspection process. *Supervisors are not asked this question.*			
7.6	What are the steps you take to ensure deficiencies identified during an inspection will be corrected – both immediate corrective actions and corrective actions that may take longer?			

Classification: Protected A

8.3	What type of training have you received in emergency response? (Examples: fire control, rescue, first aid, lock down, shelter in place)?			
8.4	What are your emergency response responsibilities?			
9.2	What is the process you follow for reporting incidents (including near misses), occupational illness or work refusals?			
9.7	How do mangers/supervisors participate in the investigation process?			
9.13	How are incident investigation results communicated to employees?			
10.2	How is health and safety information made available to you?			
10.4	*Only ask managers this question.* Describe your involvement in the performance of the health and safety management system (e.g. develop a health and safety plan for the upcoming year, provide resources for health and safety initiatives, etc.). How are you held accountable for the OHSMS?			
10.6	How do you communicate the results of health and safety system evaluations or action plans to employees?			

Classification: Protected A

WORKER INTERVIEW TEMPLATE

QUESTION NO.	QUESTION and COMMENTS	RESPONSE		
		+	-	n.c.
Background Information: *What work do you do?* *What department are you in?* *How long have you been with the organization?* *Do you take a lead role in the formal hazard assessment process?* *Are you on the HSC or are you the HS representative?*				
1.4	What are some of the key points listed in the Health and Safety Policy?			
1.6	a. Can you provide some examples of how the three OHS Rights (r*ight to be informed, right to participate, and right to refuse dangerous work*) apply to the work you do? b. Can you provide some examples of company and legislated health and safety responsibilities that have been assigned to you by your employer?			
1.8	How are you held accountable for your health and safety roles and responsibilities? *Examples can include performance appraisals, discipline policy/process for non-performance, letters from the employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.*			
1.9	How does senior management (i.e. the boss/the owner) communicate to you that health and safety is important? How often?			
1.10	What activities do senior management participate in, to demonstrate they are committed to the company's HSMS?			
1.13	What resources does senior management provide to implement and improve the health and safety system?			

Classification: Protected A

	Examples can include paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.			
2.6c	How does the HSC and/or HS representative participate in the formal hazard assessment process? *Auditor to determine if the interviewee would be considered a HSC member or the HS representative. N/A if they are not.*			
2.7	How are you involved in the formal hazard assessment process? *Auditor may have to explain formal hazard assessments, as the employer may use different terminology.*			
2.10	Hazard Assessment Lead – When are formal hazard assessments reviewed? *Auditor to determine if interviewee would be considered a lead for the purpose of hazard assessment review.* ***Hazard assessment leads*** *are those that lead the hazard assessment process. N/A if they are not.*			
2.14	How are you involved in the site-specific hazard assessment process?			
2.15	How do you report new hazards, including unsafe or unhealthy conditions and practices?			
3.5	How are changes to hazard controls communicated to you?			
3.6	What hazard controls do you use?			
3.7	How do mangers/supervisors ensure you are using the established hazard controls to perform your work safely?			

Classification: Protected A

3.10	When and how is defective equipment, vehicles, facilities, or tools is/are removed or serviced for repair?			
4.3	Who is your HS representative and how were you informed they were designated? *Auditor to confirm the HS representative is a worker*.			
4.6	HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities? *Auditor to determine if interviewee would be considered a Health and Safety Committee (HSC) member or the Health and Safety Representative (HS representative). N/A if they are not.*			
4.7	What health and safety activities are performed by the HSC or HS representative?			
4.9	How can you provide feedback regarding health and safety concerns and complaints to your committee members or health and safety representative? HSC/HS representative – how can employees bring forward health and safety concerns or complaints to you? *Auditor to determine if interviewee would be considered a Health and Safety Committee (HSC) member or the Health and Safety Representative (HS representative).*			
5.3	Did you manager/supervisor ensure you received an orientation? When was your orientation provided? *Examples can include on the first day, training prior to the first day, prior to starting my duties, etc.*			
5.6	What type of training did you receive when you were hired, when a new task was assigned, or when there were operational changes that affected your work?			

Classification: Protected A

8.3	What type of training have you received in emergency response? (Examples: fire control, rescue, first aid, lock down, shelter in place)?			
8.4	What are your emergency response responsibilities?			
9.2	What is the process you follow for reporting incidents (including near misses), occupational illness or work refusals?			
9.8	How do workers participate in the investigations process?			
9.13	How are the results from incident investigations communicated to you?			
10.1	a. How are health and safety issues communicated to you by management? b. How can you provide feedback on health and safety issues?			
10.2	How is health and safety information made available to you?			
10.6	How are the results from health and safety system evaluations or action plans been communicated to you?			

Classification: Protected A

Document List

This list has been developed directly from the Partnerships audit instrument. Examples of specific types of documentation that may be used for validation are listed.

QUESTIONS	DOCUMENTATION TO REVIEW
1.1	Health and Safety Policy.
1.5	Written statement of responsibilities, job descriptions, employee contracts, and manuals, staff handbooks, etc. Cannot be the health and safety policy
1.12	Health and Safety meeting minutes.
2.1	Inventory of job positions, task or job inventories, organizational chart, staff listings. Compare to formal hazard assessments
2.2 – 2.4, 3.1	Completed formal hazard assessment forms. These may be titled formal hazard assessments, job safety analysis, etc. Note that site specific hazard assessments cannot be used to score these questions.
2.8	Training records of individuals conducting formal hazard assessments. Course material for hazard assessment training.
2.9	Formal hazard assessment policy and/or process.
2.11	Documents outlining the policy/process and procedure for conducting site specific hazard assessments.
2.12, 2.13	Completed site specific hazard assessments.
3.3	Completed formal hazard assessment forms, job procedures, work practices, rules, job schedule or rotation of workers, training records.
3.8	Documents outlining the policy and/or process for the preventative maintenance process, this includes applicable maintenance schedules.
3.9	Preventative maintenance records of equipment, tools, and PPE. Work order records, defective equipment tags, written procedures/policy regarding the removal of defective equipment.

Classification: Protected A

3.11, 3.13	Violence Prevention Plan that includes policies and procedures
3.12, 3.13	Harassment Prevention Plan that includes policies and procedures
4.1 – 4.4, 4.8, 4.12, 4.13	HSC and/or HSR policies, procedures, terms of reference, meeting minutes, etc.
4.5	Training records of HSC members and/or HS representatives
4.11	Documentation that supports corrective action were completed in a timely manner, e.g. feedback forms, emails, HSC meeting minutes, communications, etc.
5.1	Application forms (blank), hiring records, training records, copies of trade certificates/diplomas/degrees, proof of apprenticeship program, driver's license, etc.
5.2,	Orientation records, orientation checklist, orientation package/contents.
5.4, 5.5	Department/job specific training material and training records.
5.7, 5.9	Completed competency assessments. Completed refresher training.
6.1	Policy and/or process to address the protection of others not under the employer's direction.
6.2, 6.3	Policy and/or process for monitoring, evaluating and selecting other employers
6.4	Orientation records, orientation checklist, orientation package/contents for visitors, other employees
6.7	Process for non-compliance of other employers at the work site.
7.1, 4.13	Health and Safety Policy and Procedures Manual, Inspection Policy and/or Process, inspection records, inspection schedule.
7.2	Inspection checklist (blank and completed), inspection reports.
7.3	Training records of individuals designated to conduct inspections.
7.4, 4.13	Completed inspection reports, checklists, or forms.

Classification: Protected A

8.1, 8.2	Emergency Response Plans and/or Procedure
8.5	Emergency Response drill records, minutes of meetings, emergency response table-top review exercises.
8.6	Drill - Emergency response records, minutes of meetings documenting review of drills, documents outlining corrective action or change in procedure as a result of the drills.
8.7	Actual Emergency - Response records, minutes of meetings documenting review of actual emergencies, documents outlining corrective action or change in procedure as a result of the actual emergency.
8.8	First aid regulations, first aid certificates, first aid training records, shift schedules of certified first aiders. Legislation related to first aid to compare employer's documents.
9.1	Incident reporting procedure and/or process, reporting form (blank/completed).
9.4	Completed near miss and incident forms.
9.5	Incident investigation procedures.
9.6	Training records of individuals conducting investigations, investigation training course material.
9.3, 9.9 – 9.12	Investigation report forms (completed), investigation reports, memos outlining implementation of corrective action, minutes of meetings outlining results of investigation.
10.3	Company specific monthly, quarterly or annual health and safety reports, analysis of injury reports, graphical reports of health and safety statistics to show trends.
10.5	Previous health and safety system evaluations.
10.7, 10.8	Health and safety action plans.

Classification: Protected A

AUDIT OBSERVATION TOUR TEMPLATE

The audit observation tour is an important component of the audit validation process. It is done for two reasons:

- To verify information obtained from documentation and interviews,
- To verify adherence to established organization standards.

INSTRUCTIONS:

- The auditor walks through the worksite(s) and verifies through observation the items identified in the audit questions outlined below.
- As the items are observed, the auditor notes their location and uses the "Notes" column to record what they saw.
- An employee from the organization being audited must accompany the auditor during the observation tour. This is important in the event that on-the-spot changes need to be made in response to conditions observed (e.g. the existence of dangerous work).

OBSERVATION TOUR CHECKLIST					
Q#	**Question**	**YES**	**NO**	**N/A**	**Examples**
Management Leadership and Organizational Commitment					
1.2	Health ad Safety Policy is readily available to employees either in paper form, downloaded or stored electronically.				
1.11	Health and Safety Legislation is readily available to employees either in paper form, downloaded or stored electronically.				
Hazard Control					
3.2	Select several engineering controls from formal hazard assessment documents and record them below. Confirm their availability through observations. Ensure engineering controls identified in relation to highest priority hazards have been included in the sample.				

Classification: Protected A

3.6	Select several controls (identified during employee interviews) from each category and record them below. Confirm through observation that employees are using them.				
	Engineering Controls: - - -				
	Administrative Controls: - - -				
	Personal Protective Equipment: - - -				
Joint Work Site Health and Safety Committee (HSC) and/or Health and Safety Representative (HS representative)					
4.14	Names and contact information of the HSC and/or HS representative(s) are posted or readily available.				
Inspections					
7.7	Select a sample of corrective actions identified on Inspection Checklists/Forms and record them below. Confirm their implementation through observation.				
Emergency Response					
8.9	First aid supplies and services are available.				
	First Aid Kits meet legislative requirements.				

Classification: Protected A

	First Aid Kits are fully stocked.				
	Vehicle First Aid Kits are available.				
	Vehicle First Aid Kits meet legislative requirements.				
Incident Investigation					
9.10	Select a sample of corrective actions identified on Incident Investigation reports and record them below. Confirm their implementation through observation.				
Additional Items – Random Observations					

Classification: Protected A