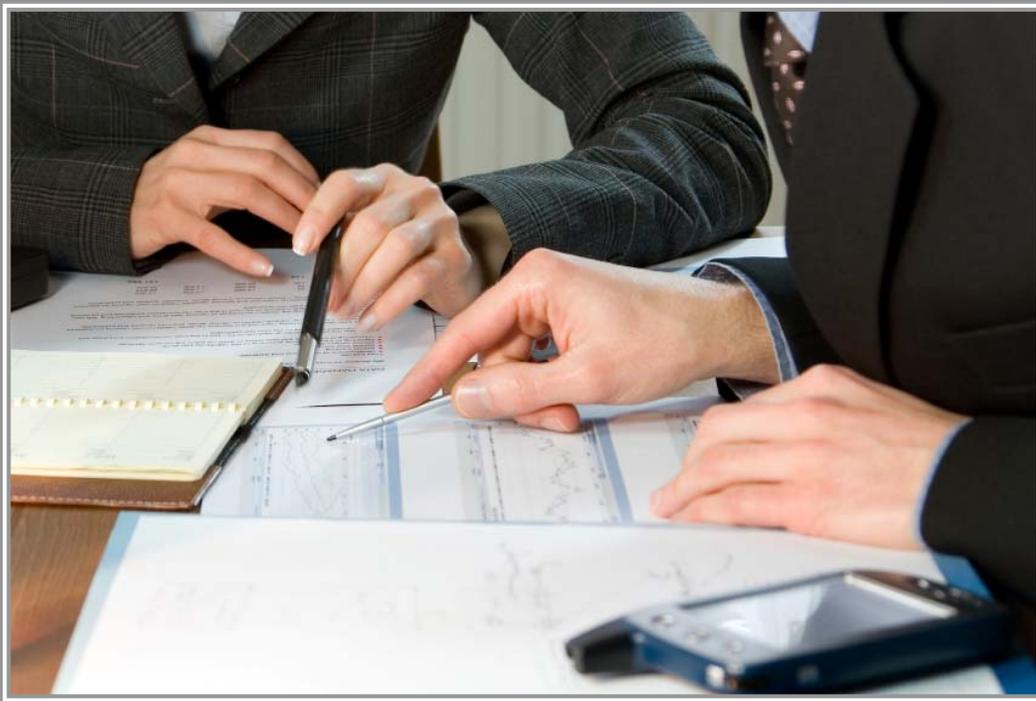


# AUDIT INSTRUMENT PACKAGE



**Alberta** Employment and  
Immigration

*Meets requirements of  
Partnerships Audit Instrument Standard*

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# **SECTION A**

# **INTRODUCTION**

*(Audit Instrument Package)*

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# ***INTRODUCTION***

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***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 worksite 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 program may vary. The frequency will depend on:

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

***Thank you for choosing the Partnerships Audit Instrument for evaluating your organization. If you have questions or suggestions for improvement, we encourage you to contact the Partnerships Team at (780) 427-8842 or toll free at 1-800-427-8842.***

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# ***INSTRUCTIONS***

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The Partnerships Health and Safety System Audit Instrument is designed for use in auditing health and safety systems.

## **MAINTAINING CONFIDENTIALITY**

When people are interviewed, formally or informally, 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. It is also the only way to ensure that you are getting accurate information.

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**

Scoring on the audit form is straightforward. For **all-or-none questions**, the auditor gives full marks if the question can be answered with a YES, and no marks if the answer is NO. Unless auditor instructions indicate otherwise, questions can be answered with a YES when positive indicators are 70% or greater. Part marks are given only where **auditor judgment** (a range-of-points) in scoring is indicated. Points are awarded based on the percentage of positive indicators.

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. If instructions indicate verification "by documentation or interviews," points are awarded based only on *one* of the noted validation techniques. In all cases, the auditor must clearly indicate what validation technique was used to score each question, and the percentage positive indicators found.

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.

### **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

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

#### 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 that will be evaluated, and taken with someone knowledgeable with the whole operation.
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 have been pre-arranged at the pre-audit meeting. Use the <b>Interview Record Forms</b> 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 conducting a check of conditions at the worksite. 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-Evaluation 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 the major strengths and recommendations, and answering any questions. An audit score should not be divulged at the meeting, but you can inform attendees that a final report will be forwarded in a reasonable amount of time.
8.	Final Report	Once you have left the site you will prepare a final report that the organization can use for improving its health and safety system. It should be completed in a reasonable amount of time. You can use the <b>Audit Report</b> template (Section D) to provide a summary of all the audit findings. <b>The audit report, completed audit instrument with auditor notes, and pre-audit information must be submitted to the Certifying Partner within 45 days after the completion of the audit.</b>

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# ***GLOSSARY***

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Audit	<p>An evaluation of an organization's health and safety management system against an approved standard.</p> <p>Baseline Audit: an evaluation using the approved audit instrument, and intended as a preliminary review of the employer's health and safety system.</p> <p>Certification Audit: a formal health and safety evaluation conducted by a certified auditor external to the employer to achieve a Certificate of Recognition. (Does not apply to the SECOR program.)</p> <p>Group Audit: more than one employer account covered in the scope of the audit</p> <p>Maintenance Audit: a formal health and safety evaluation conducted by a certified auditor for an employer to maintain their COR status between re-certifications.</p> <p>Qualification Audit: a formal health and safety evaluation conducted by an auditor candidate pursuing auditor certification.</p> <p>Team Audit: more than one auditor participating in the audit.</p>
Auditor	<p>An individual certified by a Certifying Partner to conduct health and safety audits.</p>
Best Practice	<p>An agreed-upon method for conducting a specified task - usually established by industries, trades or groups of peers.</p>
Code of Ethics	<p>Statement which defines the ethical behaviors expected from a group or individual.</p>
Code of Practice	<p>Selection of appropriate regulations and procedures specific to hazardous work.</p>
Competent Worker	<p>Person who is adequately qualified, suitably trained, and with sufficient experience to safely perform work without supervision or with only a minimal degree of supervision.</p>
Continuous Improvement	<p>Always striving to innovate, implement and improve on current conditions.</p>
Contractor	<p>An individual or employer hired under contract to provide materials or services to another individual or employer.</p>
Critical Job	<p>A job with high potential for serious loss or injury.</p>

Documentation Review	Part of a health and safety audit, designed to determine if an employer has the required processes, policies, and procedures in place, and if adequate records are being kept.
Employee	Anyone who works for an organization (e.g. senior managers, managers, supervisors, and workers).
Hazard	<p>A situation, condition, or behavior that has the potential to cause an injury or loss.</p> <p>Health Hazard: a physical, chemical, biological or psychological hazard which may cause acute or chronic health effects in exposed employees (e.g. noise, dust, heat, ergonomics, etc.).</p> <p>Safety Hazard: a substance, process, action or condition which may endanger the immediate safety of employees (e.g. chemical burns, shear points, slips and falls, etc.).</p>
Hazard Assessment	A process used to identify and evaluate the health and safety hazards associated with job tasks. Provides a method for prioritizing health and safety hazards.
Hazard Control	<p>Method used to eliminate or control loss</p> <p><i>Engineering Controls: Preferred method of hazard control if elimination is not possible; physical controls implemented at the design, installation, or engineering stages (e.g. guards, auto shutoff, etc.).</i></p> <p><i>Administrative Controls: Processes developed by the employer to control hazards not eliminated by engineering controls (e.g. safe work policies, practices and procedures, job scheduling or rotation, and training).</i></p> <p><i>Personal Protective Equipment (PPE): equipment used or clothing worn by a person for protection from health or safety hazards associated with conditions at a work site (e.g. gloves, safety glasses, fall protection, etc.). Used when engineering or administrative methods cannot fully control the hazards.</i></p>
Imminent Danger	<p>In relation to any occupation,</p> <p>(a) a danger that is not normal for that occupation, or</p> <p>(b) a danger under which a person engaged in that occupation would not normally carry out the person's work.</p>
Incident (Accident)	An undesired, unplanned, unexpected event that results, or has the potential to result, in physical harm to a person or damage to property (loss or no loss).
Inspection	A planned, systematic evaluation or examination of an activity or work site, checking or testing against established standards.

Interview	Part of a health and safety audit. A method used to gather and verify information about an organization's health and safety system. Includes either formal discussion using standard questions, or a questionnaire.
Job Inventory	A comprehensive list of jobs/tasks produced from a systematic review of all jobs/tasks in the work area.
Legislation	Provincial or federal government standards in the form of written acts, regulations, and codes.
Manager	A person who administers and/or supervises the affairs of a business, office, or organization.
Observation	Part of a health and safety audit designed to allow an auditor to observe and verify specific conditions at a work site.
Policy	The documented principles by which an organization is guided in its management of affairs.
Records	Employer documents retained on file.
Risk	The chance of injury, damage, or loss.
Root Cause	The underlying or basic factors which contribute to an incident.
Safe Work Practice	A written set of guidelines which establish a standard of performance for an activity or work process.
Safe Work/Safe Job Procedure	A written, step-by-step instruction of how to perform a task from beginning to end.
Site Familiarization	Brief escorted tour or discussion to allow the auditor to become familiar with the worksite(s) and any areas where special caution is required.
Supervisor	Anyone who directs the work of another.
Unsafe Act	Inappropriate action taken by a person that could result in loss.
Unsafe Condition	A condition that could result in loss.
Visitor	Any person present at the work site who is not under the direct control of the employer (e.g. courier).
Work Site	A location where a worker is, or is likely to be, engaged in any occupation and includes any vehicle or mobile equipment used by a worker in an occupation.
Worker	An employee supervised by a manager or supervisor/foreman.

# **SECTION B**

# **AUDIT INSTRUMENT**

*(Audit Instrument Package)*

# Partnerships Audit Instrument (July 2009)

## 1. MANAGEMENT LEADERSHIP AND ORGANIZATIONAL COMMITMENT

Questions	Score	Instructions	Notes
<p>1.1 Is there a written Health and Safety Policy for the organization?</p> <p><b>(5 points)</b></p>		<p><b>Verified by reviewing written policy.</b></p> <p>Must be a policy document.</p> <p>To award the 5 points, the policy <b>must include:</b></p> <ul style="list-style-type: none"> <li>- declaration of management commitment to health and safety</li> <li>- overall goals and objectives</li> <li>- general responsibilities of managers, supervisors, workers and contractors regarding health and safety</li> <li>- requirement to comply with applicable government regulations</li> <li>- requirement to comply with organization's own health and safety standards</li> </ul>	
<p>1.2 Is the policy signed by the current senior operating officer?</p> <p><b>(2 points)</b></p>		<p><b>Verified by reviewing documentation.</b></p> <p>The signature must be that of the current senior operating officer.</p>	
<p>1.3 Is the policy readily available to employees?</p> <p><b>(0-3 points)</b></p>		<p><b>Verified by observation or employee interviews, as applicable.</b></p> <p>Determine the method used by the employer to make the policy readily available.</p> <p>The current policy may be posted on bulletin boards, in lunchrooms and/or reception areas, and may be in employee handbooks, safety manuals, and/or on computer.</p> <p>Points are awarded based on the percentage of positive observations, or on the percentage of positive responses from interviews.</p>	

Questions		Score	Instructions	Notes
1.4	<p>Are employees aware of the policy's content?</p> <p><b>(0-5 points)</b></p>		<p><b>Verified by employee interviews.</b></p> <p>Employees should be able to explain, in general terms, the policy content.</p> <p>Points are awarded based on the percentage of positive responses from interviews.</p>	
1.5	<p>Have specific health and safety responsibilities been written for:</p> <p>a. Managers? <b>(5 points)</b></p> <p>b. Supervisors? <b>(5 points)</b></p> <p>c. Workers? <b>(5 points)</b></p> <p>d. Contractors? <b>(5 points)</b></p>		<p><b>Verified by reviewing documentation,</b> other than the policy (e.g. contracts, job descriptions, and program manuals).</p> <p>Depending on size or nature of the organization, one or more of these categories may not be applicable (n/a).</p>	
1.6	<p>Are the following aware of their specific health and safety responsibilities covered by legislation and departmental policy:</p> <p>a. Managers? <b>(0-5 points)</b></p> <p>b. Supervisors? <b>(0-5 points)</b></p> <p>c. Workers? <b>(0-5 points)</b></p> <p>d. Contractors? <b>(0-5 points)</b></p>		<p><b>Verified by employee and contractor interviews.</b></p> <p>Points may be awarded even though specific written responsibilities (in question 1.5) are not in place.</p> <p>Points are awarded based on the percentage of positive responses from interviews.</p> <p>Depending on size or nature of organization, one or more of these categories may be not applicable (n/a).</p>	
1.7	<p>Are employees evaluated on their individual health and safety performance?</p> <p>a. Managers? <b>(0-5 points)</b></p> <p>b. Supervisors? <b>(0-5 points)</b></p> <p>c. Workers? <b>(0-5 points)</b></p>		<p><b>Verified by employee interviews.</b></p> <p>Employees at all levels should be able to explain how their occupational health and safety performance is evaluated. Some examples are performance appraisal, discipline process for non-performance, letters from the employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.</p> <p>Points are awarded based on the percentage of positive responses from interviews.</p>	

Questions		Score	Instructions	Notes
1.8	Does the senior operating officer communicate to employees, at least annually, the organization's commitment to health and safety? <b>(5 points)</b>		<b>Verified by employee interviews to determine how this is done.</b> Points are awarded for at least 70% positive response from employees interviewed.	
1.9	Do the most senior managers on-site tour the work site to reinforce health and safety practices and behaviors: Every 6 months? <b>(10 points)</b> <b>OR</b> Yearly? <b>(5 points)</b>		<b>Verified by employee interviews.</b> Senior manager tours can be concurrent with other business purposes. Not all sites need to be included in the tours. Points are awarded for at least 70% positive response from employees interviewed.	
1.10	Is relevant, current health and safety legislation readily available at work sites? <b>(5 points)</b>		<b>Verified through observation at work sites.</b> Copy(s) of current occupational health and safety legislation (federal, provincial, and municipal) appropriate to the operation of the work site(s) should be present on site. Points are awarded for at least 70% positive response from observations.	
1.11	Is there a process in place that addresses contractor health and safety while on site? <b>(5 points)</b>		<b>Verified by interviewing contractors on site and reviewing documentation.</b> Points are awarded for at least 70% positive response from persons interviewed and documentation to confirm the process. If no contractors are on site, then the score is based on documentation. For example, look for a documented contractor orientation program that ensures all contractors are oriented to the hazards at their site.	
1.12	Is there a process in place that addresses visitor health and safety while on site? <b>(5 points)</b>		<b>Verified by review of documentation or employee interviews.</b> An external auditor is considered a visitor on site. Points are awarded based on at least 80% positive indicators from documentation or interviews.	

Questions		Score	Instructions	Notes
1.13	Does the employer provide the health and safety resources needed (workers, equipment methods, materials, and money) to implement and improve health and safety? a. Managers? (0-5 points) b. Supervisors? (0-5 points) c. Workers? (0-5 points)		<b>Verified by employee interviews.</b> Points are awarded based on the percentage of positive interview responses.	
<b>TOTAL POINTS POSSIBLE: 115</b>				

**Audit Score**

Total points possible 115 - Points not applicable (N/A) \_\_\_\_\_ = Total points \_\_\_\_\_

Total points scored =

(divided by) \_\_\_\_\_ x 100 = FINAL SCORE \_\_\_\_\_ %

Total points possible =

## 2. HAZARD IDENTIFICATION AND ASSESSMENT

Questions	Score	Instructions	Notes
<p>2.1</p> <p>a. Does the employer have a list of all jobs carried out at the work site? <b>(0-15 points)</b></p> <p>b. Has the employer compiled a list of all tasks associated with each job? <b>(0-15 points)</b></p>		<p><b>Verified by reviewing documentation.</b></p> <p>A list of employee occupations/jobs should be in place, and the various tasks within those occupations/jobs should be identified.</p> <p>Points are awarded based on the percentage of jobs and tasks inventoried.</p>	
<p>2.2</p> <p>Are health and safety hazards identified for the jobs and tasks? <b>(0-30 points)</b></p>		<p><b>Verified by reviewing documentation</b> to determine if there is a system in place to identify hazards associated with the jobs and tasks (refer to question 2.1).</p> <p>Both health and safety hazards should be identified to ensure that ergonomic risks, exposure to chemicals, noise, heat stress, etc. are addressed. Consider road safety if driving is a component of the job inventory.</p> <p>Points are awarded based on the percentage of jobs and tasks for which hazards have been identified compared to the total number of jobs and tasks identified. In other words, the <b>maximum</b> score allowed for this question will be determined by the <b>total</b> score awarded in question 2.1.</p> <p>For example, if only 50% of the points were awarded in question 2.1, question 2.2 will be scored out of 15 (50% of the original 30 points available for the question).</p>	

Questions	Score	Instructions	Notes
2.3	Have the health and safety hazards been evaluated according to risk?  <b>(0-30 points)</b>	<p><b>Verified by reviewing documentation.</b></p> <p>There must be a system/process for evaluating risk.</p> <p>System should include an assessment of the:</p> <ul style="list-style-type: none"> <li>- Potential consequences of exposure to the hazard (severity).</li> <li>- Likelihood of an incident occurring (probability).</li> <li>- Degree of exposure to the hazard (frequency).</li> </ul> <p>This evaluation could be qualitative (High, Medium, Low, A, B, C) or quantitative (3, 2, 1).</p> <p>Points are awarded based on the percentage of hazards that have been evaluated compared to the health and safety hazards identified in question 2.2. In other words, the <b>maximum</b> score allowed for this question will be determined by the percentage score awarded in question 2.2. (See question 2.2 for example.)</p>	
2.4	Are identified health and safety hazards prioritized according to risk?  <b>(0-30 points)</b>	<p><b>Verified by reviewing documentation</b> to determine if there is a system to assess the evaluated hazards and rank them from the highest to lowest. In other words, the <b>maximum</b> score allowed for this question will be determined by the percentage score awarded in question 2.3.</p>	
2.5	Are workers involved in health and safety hazard identification and assessment?  <b>(10 points)</b>	<p><b>Verified by review of hazard assessment documentation and interviewing workers</b> to confirm whether worker involvement in the formal hazard assessment process is meaningful.</p> <p>At least 70% of those interviewed must be aware of worker involvement to award points. Not all workers need to be involved. Worker involvement could be through health and safety committees, teams, safety representatives, projects, pre-job planning, etc.</p>	

Questions	Score	Instructions	Notes
2.6	Are key employees trained in the process of hazard identification and assessment?  <b>(0-10 points)</b>	<b>Verified by review of documentation and interviewing key employees.</b> Key employees lead the hazard assessment process (team leaders, etc.). Score: 0-5 points for documentation 0-5 points for interviews Points are awarded based on the percentage of positive indicators.	
2.7	Are the health and safety hazard assessments reviewed when changes to the operation are implemented?  <b>(0-30 points)</b>	<b>Verified by records review and employee interviews.</b> Documentation may include meeting minutes, supervisor's log book, assessment documents, etc. Changes to the operation could include the introduction of new equipment, processes, products, materials, etc. Score: 0-10 points for documentation 0-20 points for interviews Interview points are awarded based on the percentage of positive indicators.	
	<b>TOTAL POINTS POSSIBLE: 170</b>		

**Audit Score**

Total points possible   170   - Points not applicable (N/A)            = Total points           

Total points scored =

(divided by)                            x 100 = FINAL SCORE            %

Total points possible =

### 3. HAZARD CONTROL

	Questions	Score	Instructions	Notes
3.1	Have hazard controls been identified and implemented? a. Engineering? <b>(0-25 points)</b> b. Administrative? <b>(0-25 points)</b> c. Personal Protective Equipment (PPE)? <b>(0-15 points)</b>		<p><b>Verified by review of documentation and observation, as appropriate.</b> Verification process involves looking at the recommended hazard control measure in the hazard assessment document and verifying, through either observation or documentation that controls have been put into place.</p> <p>Points are awarded based on the percentage of controls implemented compared to the number of hazards identified in question 2.4. The <b>maximum</b> score allowed for this question will be determined by the percentage score awarded in question 2.4.</p>	
3.2	Are workers involved in establishing the control of health and safety hazards?  <b>(10 points)</b>		<p><b>Verified by worker interviews.</b></p> <p>At least 70% of workers interviewed must be aware of worker involvement in the development, review or implementation of controls. Worker involvement could be through health and safety committees, teams, safety representative, etc.</p> <p>Not all workers need to be involved, but the auditor must confirm that workers were involved in the formal hazard control process.</p>	
3.3	Are employees using controls developed for identified health and safety hazards?  <b>(15 points)</b>		<p><b>Verified by employee interviews and observation.</b></p> <p>Compare/observe employee performance against hazard controls developed in question 3.1.</p> <p>Points awarded based on any combination of interviews and observations to achieve 90% positive response.</p>	

Questions		Score	Instructions	Notes
3.4	<p>Is there a process for maintaining equipment and preventing the use of defective equipment?</p> <p><b>(10 points)</b></p>		<p><b>Verified by review of documentation and worker interviews.</b></p> <p>Review maintenance and work order records. Interview workers to confirm defective equipment is removed for repair.</p> <p>Points awarded based on any combination of interviews and documentation to achieve 70% positive response.</p>	
3.5	<p>Does management enforce the use of engineering controls?</p> <p><b>(0-10 points)</b></p>		<p><b>Verified by worker interviews and observation.</b></p> <p>Interview workers (0-5 points). Interview points are awarded based on the percentage of positive responses.</p> <p>Observation (0-5 points). On the observation tour, observe whether management is enforcing the use of engineering controls. Observation points are awarded based on the percentage of positive observations.</p>	
3.6	<p>Does management enforce the use of safe work procedures, rules, and work practices?</p> <p><b>(0-10 points)</b></p>		<p><b>Verified by worker interviews and observation.</b></p> <p>Interview workers (0-5 points) Interview points are awarded based on the percentage of positive responses.</p> <p>Observation (0-5 points) On the observation tour, observe whether management is enforcing the use of safe work procedures, rules and work practices when there is a violation. Observation points are awarded based on the percentage of positive observations.</p>	
3.7	<p>Is the required PPE available?</p> <p><b>(10 points)</b></p>		<p><b>Verified by observation and worker interviews.</b></p> <p>Auditor must observe that the PPE identified in the hazard control document (refer to question 3.1) is readily available for employee use.</p> <p>Points are awarded based on at least 90% positive indicators using any combination of observation and interviews.</p>	

Questions		Score	Instructions	Notes
3.8	Where Personal Protective Equipment (PPE) is used as a method of control, are employees trained in the use, care, and maintenance of the protective equipment? <b>(0-15 points)</b>		<b>Verified by observation and employee interviews.</b> Interview employees (0-5 points) Interview points are awarded based on the percentage of positive responses indicating that training was provided.  Observation (0-10 points) Observation points are awarded based on the percentage of positive observations confirming that PPE is used, cared for and maintained properly and as instructed.	
3.9	Is the use of PPE enforced? <b>(0-15 points)</b>		<b>Verified by review of documentation, observation and worker interviews.</b>  The key here is enforcement.  Documentation review (0-5 points) Determine if there is a management system in place, (e.g. written document, discipline process), and if it is followed.  Interview workers (0-5 points). Interview points are awarded based on the percentage of positive responses. Use interviews to verify that the management system is followed.  Observation (0-5 points). On the observation tour, observe whether management is enforcing the use of PPE. Observation points are awarded based on the percentage of positive observations.	
<b>TOTAL POINTS POSSIBLE: 160</b>				

**Audit Score**

Total points possible   160   - Points not applicable (N/A)            = Total points           

Total points scored =

(divided by)                            x 100 = FINAL SCORE            %

Total points possible =

#### 4. ONGOING INSPECTIONS

	Questions	Score	Instructions	Notes
4.1	<p>Is there a formal written process that includes frequency of formal inspections by:</p> <ul style="list-style-type: none"> <li>a. Managers? <b>(5 points)</b></li> <li>b. Supervisors? <b>(5 points)</b></li> <li>c. Workers? <b>(5 points)</b></li> </ul>		<p><b>Verified by review of documentation.</b></p> <p>Process could be in the form of a policy, plan, procedures, etc.</p> <p>Frequency is established by the employer based on the health and safety hazards.</p> <p>Inspections should be done at least annually.</p>	
4.2	<p>Are formal health and safety inspections carried out in accordance with the process by:</p> <ul style="list-style-type: none"> <li>a. Managers? <b>(5 points)</b></li> <li>b. Supervisors? <b>(5 points)</b></li> </ul>		<p><b>Verified by review of documentation</b> (e.g. inspection records), <b>and by management and supervisor interviews.</b> Must also verify the frequency of inspections is being followed (reference question 4.1).</p> <p>Formal documentation must exist to award points.</p> <p>Verify through interviews that inspections are carried out by the individuals, and at the frequency indicated in the documentation. At least 70% of those interviewed must confirm that the process is followed.</p> <p>Depending on size and nature of the organization, there may not be managers or supervisors. In either case, one of these categories may not be applicable (n/a).</p>	
4.3	<p>Are workers involved in the inspections?</p> <p><b>(15 points)</b></p>		<p><b>Verified by worker and supervisor interviews.</b></p> <p>There must be evidence of worker involvement in inspections to award points (e.g. doing inspections)</p> <p>At least 70% of those interviewed at each site must be aware of worker involvement. Not all workers need to be involved.</p>	

	Questions	Score	Instructions	Notes
4.4	<p>Are the individuals designated to conduct formal inspections given appropriate training? <b>(0-10 points)</b></p>		<p><b>Verified by documentation and employee interviews.</b></p> <p>Documentation review (0-5 points) Review training records to verify training is appropriate. Points are awarded based on the percentage of individuals who have received the appropriate training.</p> <p>Interview workers (0-5 points). Interview designated individuals to confirm they have received the appropriate training. Interview points are awarded based on the percentage of positive responses.</p>	
4.5	<p>Is a site/operation specific checklist used for the inspection? <b>(0-10 points)</b></p>		<p><b>Verified by review of documentation.</b> (e.g. inspection reports).</p> <p>A site specific inspection checklist must be in place at all operational sites/areas (could be work sites, departments, operations, etc.).</p> <p>Points are awarded based on the percentage of operational sites/areas using the checklist.</p>	
4.6	<p>Are inspection reports reviewed and signed off by management? <b>(5 points)</b></p>		<p><b>Verified by review of inspection reports.</b></p> <p>The report must be signed off by the manager, at least one level above the supervisor responsible for the area.</p> <p>Points are awarded if at least 90% of inspection reports have been reviewed and signed off by management.</p>	

	Questions	Score	Instructions	Notes
4.7	<p>Are deficiencies identified in the inspection report corrected in a timely manner?</p> <p><b>(0-15 points)</b></p>		<p><b>Verified by review of documentation, employee interviews, and observation.</b></p> <p>Points are awarded based on the percentage of deficiencies corrected.</p> <p>Documentation review (0-5 points) Documentation should include a timeframe for correction (that is as soon as practical), and who is responsible. Verification that work was completed (e.g. work orders, purchase orders, memos, etc.) should also be available.</p> <p>Interview workers (0-5 points). Interview management, supervisors and workers to verify corrective action is done for those actions that cannot be observed, and determine whether corrective action is completed in a timely manner.</p> <p>Observations (0-5 points) On the observation tour, observe whether deficiencies identified in the documentation have been corrected.</p>	
4.8	<p>Is there a system in place whereby employees can report unsafe or unhealthy conditions and practices?</p> <p><b>(5 points)</b></p>		<p><b>Verified by a review of documentation and employee interviews.</b></p> <p>The evidence of a reporting system is verified by first reviewing documentation (policy, procedure) to confirm there is a process, <u>and</u> then through interviews to confirm awareness.</p> <p>Points are awarded based on at least 80% positive indicators using any combination of documentation and interview results.</p>	
4.9	<p>Does the system for reporting unsafe or unhealthy conditions and practices ensure action is taken by management in a timely manner?</p> <p><b>(0-10 points)</b></p>		<p><b>Verified by interviewing employees.</b></p> <p>Interview points are awarded based on the percentage of positive responses indicating that timely action was taken, and could include informing employees of the corrective action taken.</p>	
	<p><b>TOTAL POINTS POSSIBLE: 95</b></p>			

**Audit Score**

Total points possible 95 - Points not applicable (N/A) \_\_\_\_\_ = Total points \_\_\_\_\_

Total points scored =

(divided by) \_\_\_\_\_ x 100 = FINAL SCORE \_\_\_\_\_ %

Total points possible =

## 5. QUALIFICATIONS, ORIENTATION AND TRAINING

Questions	Score	Instructions	Notes
<p>5.1</p> <p>Is there a process in place to ensure employees have the qualifications and training to perform their jobs in a healthy and safe manner?</p> <p><b>(15 points)</b></p>		<p><b>Verified by review of documentation</b> (e.g. training records, application forms, hiring records and employee records) <b>and employee interviews.</b></p> <p>Documentation must exist to verify a process is in place (can include things like, degrees, diplomas, certificates, trade certificates, apprenticeship program diplomas, etc.).</p> <p>Interviews should confirm that qualifications and training are reviewed as part of the hiring process, and are felt by workers to be appropriate for the job.</p> <p>Points are awarded based on at least 70% positive indicators using any combination of documentation and interview results.</p>	
<p>5.2</p> <p>Are critical health and safety issues addressed before the employee starts his/her normal job responsibilities?</p> <p><b>(0-15 points)</b></p>		<p><b>Verified by reviewing orientation documentation and by employee interviews.</b></p> <p>Critical issues must include:</p> <ul style="list-style-type: none"> <li>• Organization Rules/Enforcement</li> <li>• Right to Refuse Unsafe Work</li> <li>• Emergency Response</li> <li>• Incident Notification</li> <li>• Critical Hazards</li> </ul> <p>Score: 0-5 points – Documentation 0-10 points – Interviews</p> <p>Points are awarded based on the percentage of positive indicators.</p>	

Questions		Score	Instructions	Notes
5.3	Is the new employee orientation completed within the first week of employment? <b>(0-15 points)</b>		<b>Verified by reviewing records and interviewing employees.</b> Look for orientation documentation.  Score: 0-5 points – Documentation 0-10 points – Interviews  Points are awarded based on the percentage of positive indicators.	
5.4	Does the new employee orientation cover employer health and safety policies and procedures? <b>(10 points)</b>		<b>Verified by reviewing documentation and employee interviews.</b>  Documentation includes orientation records and orientation contents. Interviews should support that the material is covered. Points are awarded for at least 70% positive indicators using any combination of documentation and interview results.	
5.5	Do employees receive the job-specific training required to perform their jobs/assignments in a healthy and safe manner? <b>(0-15 points)</b>		<b>Verified by reviewing training program/training records and employee interviews.</b>  Job specific training could include working with a competent person until competency can be demonstrated (e.g. buddy system).  Points are awarded based on percentage positive indicators. Both health and safety issues must be dealt with to obtain full points.  Documentation review (0-5 points) Examples of job specific training include training on safe work procedures, PPE, ergonomics, use of equipment, WHMIS, first aid, defensive driving, TDG, etc. One way of doing this is to look for a match between job descriptions and training received.  Interviews (0-10 points) Interviews should confirm whether the training received is appropriate for workers to perform their jobs/assignments in a healthy and safe manner.	

Questions	Score	Instructions	Notes
5.6	Is on-going training provided as required? <b>(0-15 points)</b>	<p><b>Verified by reviewing documentation and employee interviews.</b></p> <p>An organization may choose to set timelines for ongoing training on some of these subjects, or as legislated.</p> <p>Points are awarded based on the percentage of positive indicators.</p> <p>Documentation review (0-5 points) Documentation must show on-going training, refreshers, and recertification in job-specific training (e.g. skills upgrading, WHMIS, First Aid, Defensive Driving, TDG, maintenance procedures, respiratory protection, etc.).</p> <p>Interviews (0-10 points) Interviews should verify that on-going training is provided.</p>	
5.7	When employees are transferred or assigned new tasks, do they receive job-specific training? <b>(0-15 points)</b>	<p><b>Verified by reviewing training records and interviewing employees.</b></p> <p>Job-specific training could include working with a competent person until competency can be demonstrated.</p> <p>Score: 5 points – Documentation 0-10 points – Interviews</p> <p>Points are awarded based on the percentage of positive indicators.</p>	
<b>TOTAL POINTS POSSIBLE: 100</b>			

**Audit Score**

Total points possible 100 - Points not applicable (N/A) \_\_\_\_\_ = Total points \_\_\_\_\_

Total points scored =

(divided by) \_\_\_\_\_ x 100 = FINAL SCORE \_\_\_\_\_ %

Total points possible =

## 6. EMERGENCY RESPONSE

Questions		Score	Instructions	Notes
6.1	<p>a. Is there a written emergency response plan for each work site appropriate to the hazards at the site? <b>(0-15 points)</b></p> <p>b. Does the plan include:</p> <ul style="list-style-type: none"> <li>- Communication procedures? <b>(0-5 points)</b></li> <li>- Emergency phone numbers? <b>(0-5 points)</b></li> <li>- List of responsible emergency response personnel? <b>(0-5 points)</b></li> <li>- Evacuation procedures? <b>(0-5 points)</b></li> </ul>		<p><b>Verified by review of emergency response plans for each work site.</b> On mobile sites, plans may be kept in vehicles.</p> <p>Emergency response is taking immediate action to deal with injuries, fires, motor vehicle incidents, bomb scares, chemical spills, explosions, etc.</p> <p>a. Review the plan and award points by percentage of plan completion.</p> <p>b. Each piece of supporting information needs to be evaluated for completeness. Award points based on the positive indicators.</p>	
6.2	<p>Do employees at the site understand their responsibilities under the plan? <b>(20 points)</b></p>		<p><b>Verified by interviewing employees at the site.</b></p> <p>Requires at least a general understanding of emergency response.</p> <p>Points are awarded based on at least 90% positive responses from interviews.</p>	
6.3	<p>Are employees given emergency response training appropriate to their individual responsibility? <b>(0-10 points)</b></p>		<p><b>Verified by employee interviews.</b></p> <p>Deals with specific training required to implement the emergency response plan on site.</p> <p>Points are awarded based on the percentage of positive responses from interviews.</p>	

Questions		Score	Instructions	Notes
6.4	Are emergency response drills conducted annually or more often, as required? <b>(10 points)</b>		<b>Verified by review of documentation. If no documentation exists, interview employees.</b>  Deals with planned drills, not an actual response. For example, an emergency response drill could include a full blown implementation of the emergency response plan, review of the emergency response plan at meetings, part of an operation, table-top review, practice drills, etc.  Points are awarded if documentation indicates that at least 70% of sites are conducting drills, or (if no documentation exists) by at least 70% positive responses from interviews.	
6.5	Are emergency response records kept? <b>(5 points)</b>		<b>Verified by review of emergency response records</b> (e.g. First Aid Record Book).  This question cannot be marked as "n/a." In the absence of an actual emergency response, employers should at least have records of emergency response drills.	
6.6	Are all records of emergency responses, including drills, reviewed to correct deficiencies? <b>(10 points)</b>		<b>Verified by review of documentation.</b>  This question cannot be marked as "n/a." In the absence of an actual emergency response, employers should at least have records of emergency response drills.	
6.7	Is the appropriate number of employees trained in first aid, as required by legislation? <b>(10 points)</b>		<b>Verified by review of documentation.</b>  Check legislation and review first aid certificates. To award points, the auditor must verify that legislated first aid requirements have been met across all shifts.	
6.8	Do first aid supplies and facilities meet legislated requirements? <b>(10 points)</b>		<b>Verified by observation.</b>  Check supplies and facilities against first aid regulation. To award points, the auditor must verify that legislated first aid requirements have been met at all visited sites and facilities.	
<b>TOTAL POINTS POSSIBLE: 110</b>				

**Audit Score**

Total points possible 110 - Points not applicable (N/A) \_\_\_\_\_ = Total points \_\_\_\_\_

Total points scored =

(divided by) \_\_\_\_\_

x 100 = FINAL SCORE \_\_\_\_\_ %

Total points possible =

## 7. INCIDENT INVESTIGATION

Questions		Score	Instructions	Notes
7.1	Is there a written procedure that requires the reporting of occupational incidents and illness? <b>(10 points)</b>		<b>Verified by review of documentation.</b> Documentation should require the reporting of all types (i.e. incidents, illness) to award full points.	
7.2	Are employees aware of their responsibilities to report work-related incidents and illness? <b>(0-10 points)</b>		<b>Verified by employee interviews.</b> Interview points are awarded based on the percentage of positive responses.	
7.3	Is there a written procedure for investigating occupational incidents and illnesses? <b>(15 points)</b>		<b>Verified by review of documentation.</b> Documentation must require the investigation of all types (i.e. incidents, illnesses) to award full points.	
7.4	Is there an investigation report form? <b>(5 points)</b>		<b>Verified by review of documentation.</b> The form must systematically record incident or occupational illness occurrence information, including the circumstances, causes, corrective actions, and follow-up.	
7.5	Have the persons conducting investigations been trained in investigation techniques? <b>(0-15 points)</b>		<b>Verified by review of documentation and employee interviews.</b> Check training records of those persons required to conduct investigations, and interview them to confirm training received is appropriate to conduct investigations.  If trained investigators are brought in, full points may be awarded. Proof must exist.  Points are awarded based on the percentage of positive indicators using any combination of documentation and interview results.	

Questions		Score	Instructions	Notes
7.6	Are workers involved in the investigation process? <b>(0-10 points)</b>		<b>Verified by review of investigation documentation and worker interviews.</b>  There must be evidence of worker involvement in investigations to score points. Involvement should include more than the injured worker or witnesses.  Score: 0-5 points for documentation 0-5 points for interviews  Points are awarded based on the percentage of positive indicators.	
7.7	Do investigations focus on: a. Identifying root causes? <b>(0-10 points)</b> b. Recommending corrective action? <b>(0-10 points)</b>		<b>Verified by reviewing completed investigation report forms.</b>  Points are awarded based on the percentage of reviewed investigation reports that focus on identifying root causes and recommending corrective action.	
7.8	Are supervisors held responsible and accountable for the investigation process? <b>(0-10 points)</b>		<b>Verified by review of investigation documentation and by employee interviews.</b>  Score: 0-5 points for documentation 0-5 points for interviews  Points are awarded based on the percentage of positive indicators.	
7.9	Are investigation reports reviewed and signed off by management? <b>(5 points)</b>		<b>Verified by reviewing completed investigation reports.</b>  The report must be signed off by the manager at least one level above the supervisor responsible for the area.  Points are awarded if at least 90% of investigation reports were reviewed and signed off by management.	

Questions	Score	Instructions	Notes
7.10	Are completed investigation reports/results shared with employees? <b>(0-10 points)</b>	<b>Verified by reviewing documentation and by employee interviews.</b>  Documentation could be health and safety meeting minutes, investigation reports posted on bulletin boards, notes on investigation reports. Results shared should not contain personal information pertaining to the affected parties.  Score: 0-5 points for documentation 0-5 points for interviews  Points are awarded based on the percentage of positive indicators.	
7.11	Are corrective actions taken to prevent recurrence? <b>(0-15 points)</b>	<b>Verified by interviewing workers and observing corrective action where applicable.</b>  Points are awarded based on the percentage of corrective actions implemented.	
	<b>TOTAL POINTS POSSIBLE: 125</b>		

**Audit Score**

Total points possible 125 - Points not applicable (N/A) \_\_\_\_\_ = Total points \_\_\_\_\_

Total points scored =

(divided by) \_\_\_\_\_ x 100 = FINAL SCORE \_\_\_\_\_ %

Total points possible =

## 8. PROGRAM ADMINISTRATION

Questions	Score	Instructions	Notes
8.1	<p>Is there a system to ensure:</p> <p>a. Health and safety issues are communicated to employees? <b>(15 points)</b></p> <p>b. Feedback on health and safety issues from employees <b>(15 points)</b></p> <p>c. Follow-up on health and safety issues <b>(15 points)</b></p>	<p><b>Verified through review of documentation and by employee interviews</b> (e.g. newsletter, records of safety meetings, records of toolbox meetings, bulletins, hazard identification and assessment records, suggestion boxes, etc.).</p> <p>a. Identify how employees are advised of health and safety issues, and confirm this is being done.</p> <p>b. Identify how employees are enabled to offer feedback on health and safety issues, and confirm employee awareness of the system.</p> <p>c. Identify how follow-up is done, and confirm that employees are aware of it.</p> <p>Points are awarded based on at least 70% positive indicators using any combination of documentation and interview results.</p>	
8.2	<p>Does the employer have a system to control contractor health and safety? <b>(0-5 points)</b></p>	<p><b>Verified by reviewing documentation and by interviewing contractors.</b></p> <p>Documents could be minutes of toolbox, health and safety committee meetings, unit or team meetings, where applicable.</p> <p>If contractors are not utilized this question is not applicable.</p> <p>Points are awarded based on the percentage of positive indicators, using any combination of documentation and interview results.</p>	
8.3	<p>Does management participate in the planned health and safety meetings? <b>(5 points)</b></p>	<p><b>Verified by review of documentation.</b></p> <p>To award points there must be documented evidence of management participation.</p>	
8.4	<p>Are records of health and safety meetings kept? <b>(10 points)</b></p>	<p><b>Verified by review of documentation.</b></p> <p>Records to review include attendance records, agendas, minutes, etc.</p>	

Questions		Score	Instructions	Notes
8.5	Are records pertaining to the organization's health and safety system kept for a minimum three-year period? <b>(10 points)</b>		<b>Verified by review of documentation records</b> (e.g. hazard assessment records, inspection reports, training records, investigation reports, etc.).  If the employer's system has not been in place for 3 years, records should be available since the start up of the health and safety system. (If less than 1 year's worth of documentation is available for review, the auditor must make note of this.)	
8.6	Are health and safety statistics maintained? <b>(10 points)</b>		<b>Verified by review of documentation.</b>  Identify the types of statistics maintained by the employer (e.g. frequency rate, severity rate, cost per claim, audiometric stats, pulmonary stats, air quality, blood levels, first aid, etc.).  If the employer's system has not been in place for 3 years, records should be available since the start up of the health and safety system.	
8.7	Are records or statistics analyzed to identify trends and needs? <b>(10 points)</b>		<b>Verified by review of documentation.</b>  Identify examples of the statistics being analyzed, and any trends/needs identified by the employer.	
8.8	Is the health and safety system evaluated at least annually through the use of an audit process? <b>(5 points)</b>		<b>Verified by review of previous audits.</b>  This could include internal or external audits.  If this is the employer's first health and safety audit, this question is not applicable (n/a).	
8.9	Has an action plan been developed as a result of the previous audit? <b>(10 points)</b>		<b>Verified by review of previous audits.</b>  If this is the employer's first health and safety audit, this question is not applicable (n/a).	

Questions		Score	Instructions	Notes
8.10	Has the action plan been implemented? (0-15 points)		<p><b>Based on items in the action plan, verify implementation by observation, review of documentation, or employee interviews.</b></p> <p>Points are awarded based on the percentage of items in the action plan (refer to question 8.9) that have been implemented to date.</p> <p>If this is the employer's first health and safety audit, this question is not applicable (n/a).</p>	
<b>TOTAL POINTS POSSIBLE: 125</b>				
Audit Score				
<p>Total points possible <u>125</u> - Points not applicable (N/A) _____ = Total points _____</p> <p>Total points scored = <input type="text"/></p> <p>(divided by) _____ x 100 = FINAL SCORE _____ %</p> <p>Total points possible = <input type="text"/></p>				
<b>TOTAL AUDIT POINTS: 1000</b>				

## SUMMARY SCORE SHEET

Employer Name: \_\_\_\_\_

Date of Audit: \_\_\_\_\_

Lead Auditor: \_\_\_\_\_

Additional Auditor(s): \_\_\_\_\_

Scope of Audit:     WCB Number(s) \_\_\_\_\_

                          Industry Code(s) \_\_\_\_\_

                          Facilities/Worksite \_\_\_\_\_

Element Number	Total Points Possible	Points not Applicable (N/A)	Total Points	Total Points Scored	Percentage
1. Management Leadership and Organizational Commitment	115				
2. Hazard Identification and Assessment	170				
3. Hazard Control	160				
4. Ongoing Inspections	95				
5. Qualifications, Orientation and Training	100				
6. Emergency Response	110				
7. Incident Investigation	125				
8. Program Administration	125				
<b>Total Audit Points</b>	<b>1000</b>				

# **SECTION C**

# **SAMPLE INTERVIEW QUESTIONS**

*(Audit Instrument Package)*

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# ***INTERVIEW INSTRUCTIONS***

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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 NO.**” 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.

The order of questions on the interview sheets are not in numerical order by audit question. The order of questions on the interview sheets is based on the most logical progression of the interview process.

<b>STEPS</b>	
1	Introduce and explain the interview process and purpose to the interviewee.
2	Discuss some of the interviewee’s <u>background information</u> , 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 “ <b>RESPONSE</b> ” column that best reflects the interviewee’s opinion.

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.).

When interviews are finished, you must determine the overall answer to each evaluation question based on the instructions for scoring for that specific question.

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 auditor judgment (range-of-points) questions, the percentage of positive responses is used to calculate the proportion of points to award out of 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 1.8 (5 points)

10 employees interviewed

Auditor instruction for scoring – Full points awarded for at least 70% positive responses from employees interviewed.

QUESTION NO.	QUESTIONS AND COMMENTS	RESPONSE		
		+	-	n.c.
1.8	<p><b>Does senior management/your boss/the owner ever communicate to employees that health and safety is important? How do they do this and how often?</b></p> <p>At staff meetings. Through newsletter. At Christmas luncheon</p>	<p>++++   </p>	<p>  </p>	<p> </p>

Of the 10 employees interviewed, 7 responded positively, 2 negatively, and 1 did not know. This is a 70% positive response, therefore the full 5 points are awarded.

**EXAMPLE # 2**

**Auditor judgment 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	<p><b>Does this organization have a health and safety policy? In your own words what does it say?</b></p> <p>Talks about commitment. Outlines responsibilities.</p>	<p>++++  </p>	<p>   </p>	<p> </p>

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 ( $5 \times .60 = 3$ ).

*NOTE: All employee groups indicated in the audit question must be interviewed, and the interview results combined to be able to calculate the percentage of positive responses.*

## SENIOR MANAGEMENT INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
	<u>Background Information:</u> <i>What areas are you responsible for? How long have you worked here? How long have you been in this position?</i>			
1.4	Does your organization have a Health and Safety Policy? What does it say?			
1.3	How are employees made aware of the policy?			
1.6	Do you have any specific health and safety responsibilities? Could you describe them? (Examples: arranging health and safety meetings, reviewing incident reports, inspections, etc.)  What responsibilities do you have under the <i>Occupational Health and Safety Act and Regulation</i> ?			

## SENIOR MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
1.7	How do you evaluate your manager's health and safety performance?			
1.8	How do you personally communicate the importance of health and safety to your employees? How often?			
1.9	Do you tour the work site to reinforce health and safety practices and behaviors? How often?			
1.11	How is contractor safety dealt with on the work site?			
1.12	How is visitor safety dealt with on the work site?			

## SENIOR MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
1.13	Describe some of the ways you have ensured sufficient resources are allocated to health and safety.			
4.8a	Is there a system in place where employees can report unsafe conditions? What is it?			
4.8b	What happens when unsafe conditions are reported?			
6.2	What are the emergency response procedures for this work site? (Example: What would you do if...?) What are your responsibilities?			

## SENIOR MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
<b>6.4</b>	Are emergency drills held? When was the last one?			
<b>8.1a</b>	What system is in place to ensure communication with employees regarding health and safety issues?			
<b>8.10</b>	Has the health and safety system been audited before? What process has been used to deal with issues identified during the last audit?			

## MANAGEMENT INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
	<u>Background Information:</u> <i>What areas are you responsible for? How long have you worked here? How long have you been a manager?</i>			
<b>1.4</b>	Does your organization have a Health and Safety Policy? What does it say?			
<b>1.3</b>	How do you ensure employees are made aware of the policy?			
<b>1.6</b>	Do you have any specific health and safety responsibilities? Could you describe them? (Examples: reviewing incident reports, inspections etc.)  What responsibilities do you have under the <i>Occupational Health and Safety Act and Regulation</i> ?			

## MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
1.7	Is your health and safety performance evaluated? How?			
	How do you evaluate the health and safety performance of supervisors within your area of responsibility?			
1.8	Does senior management/your boss/the owner ever communicate to employees that health and safety is important? How do they do this and how often?			
1.9	Do senior managers tour the work site to reinforce health and safety practices and concerns? How often?			

## MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
1.11	How is contractor safety dealt with on the work site?			
1.12	How is visitor safety dealt with on the work site?			
1.13	Do you feel senior management allocates sufficient resources to health and safety? Can you provide examples?			
2.6	Is training provided in the process of hazard identification and assessment? Who is trained? What does it consist of?			

## MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
2.7	<p>When changes are made to operations – for example a new piece of equipment is purchased or existing procedures are modified – is there a review of the original hazard assessment to assess the impact of the change?</p> <p>Who is responsible for the review of hazard assessments? When? (Auditor may have to explain hazard assessments, as the employer may use different terminology.)</p>			
3.2	Are employees involved in establishing the control methods for identified hazards? How?			
3.3	Do employees follow control measures once they have been implemented?			
3.5	How are engineering controls enforced?			

## MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
3.6	How are administrative controls (safe work procedures, rules and practices) enforced?			
3.9	How is the use of personal protective equipment enforced?			
3.8	Do you provide training to employees in the use, care and maintenance of personal protective equipment? What types of things are covered in the training?			
4.2	Are formal inspections carried out on a regular basis? Do you have any involvement with the inspection process? What is your role?			

## MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
4.4	What type of training is given to individuals designated to conduct or participate in formal inspections?			
4.7	What process is in place to help ensure deficiencies identified during inspections are dealt with in a timely manner?			
4.8	Is there a system in place that allows employees to report unsafe conditions? What is it?			
4.9	What happens after employees report unsafe conditions?			

## MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
5.1	How do you ensure employees have the appropriate qualifications for their job?			
5.2	Are critical issues such as evacuation procedures, first aid services and fire response covered in new worker orientation? When is this information provided?			
5.3	Do you have a general health and safety orientation for new workers? When does it occur?			
5.4	What is covered in the new worker health and safety orientation?			

## MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
5.5	What job specific training is given to workers?			
5.6	What type of ongoing or refresher training is provided to employees?			
5.7	When a worker is assigned a new job or task, what type of training is provided to the worker before they carry out their new responsibility?			
6.2	What are the emergency response procedures for your areas? (Example: What would you do if...?) What are your responsibilities in the event of an emergency?			

## MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
6.3	Who is trained in emergency response? (Examples: fire control, rescue, first aid)			
6.4	Are emergency drills conducted? When was the last one?			
7.2	What happens when a work-related incident or illness occurs? (I.e. What is the process? How are incidents or illnesses reported?)			
7.6	If an incident/illness occurs, does a formal investigation take place? Who is involved in the investigation process?			

## MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
7.5	Are persons conducting investigations trained? What does the training consist of?			
7.11	Can you describe some of the preventive actions taken to prevent recurrence of an incident or illness?			
7.8	Who is responsible and accountable for the investigation process?			
7.10	What do you do with the results of incident investigations?			

## MANAGEMENT INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
8.1a	How do you advise employees about health and safety issues?			
8.1b	Do you have the opportunity to provide feedback on health and safety issues?			
8.1c	How are issues dealt with?			
8.10	Has the health and safety system been audited before? Have items been addressed which were identified during the previous health and safety audit?			

## SUPERVISOR INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
	<u>Background Information:</u> <i>How long have you worked here? How long have you been a supervisor? What area do you work in?</i>			
1.4	Does your organization have a Health and Safety Policy? What does it say?			
1.3	How did you first learn about the Health and Safety Policy?			
1.6	Do you have any specific health and safety responsibilities? Could you describe them? (Examples: inspect, organize tool box meetings, investigate, train, etc.)  What responsibilities do you have under the <i>Occupational Health and Safety Act and Regulation</i> ?			

## SUPERVISOR INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
<b>1.7</b>	Is your health and safety performance evaluated? How?			
	How do you evaluate the health and safety performance of employees within your area of responsibility?			
<b>1.8</b>	Do senior management/your boss/the owner ever communicate to employees that health and safety is important? How do they do this, and how often?			
<b>1.9</b>	Does senior management tour the work site to reinforce health and safety practices and concerns? How often?			
<b>1.11</b>	How is contractor safety dealt with on the work site?			

## SUPERVISOR INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
<b>1.12</b>	How is visitor safety dealt with on the work site?			
<b>1.13</b>	Do you feel management allocates sufficient resources to health and safety? Can you provide examples?			
<b>2.6</b>	Is training provided in the process of hazard identification and assessment? Who is trained? What does it consist of?			
<b>2.7</b>	When changes are made to operations – for example a new piece of equipment is purchased or existing procedures are modified – is there a review of the original hazard assessment to assess the impact of the change?  Who is responsible for the review of hazard assessments? When? (Auditor may have to explain hazard assessments, as the employer may use different terminology.)			

## SUPERVISOR INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
3.2	Are employees involved in establishing the control methods for identified hazards? How?			
3.3	Do employees follow control measure once they have been implemented?			
3.5	How are engineering controls enforced?			
3.6	How are administrative controls (safe work procedures, rules and practices) enforced?			

## SUPERVISOR INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
<b>3.9</b>	How is the use of personal protective equipment enforced?			
<b>3.4</b>	Is there a process used to maintain equipment? What is it?			
<b>3.8</b>	Do you provide training to employees in the use, care and maintenance of personal protective equipment? What types of things are covered in the training?			
<b>3.7</b>	Is personal protective equipment made available to workers?			

## SUPERVISOR INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
4.2	Are formal inspections carried out on a regular basis? Do you have any involvement with the inspection process? What is your role?			
4.3	Are workers involved in health and safety inspections? What is their role?			
4.4	What type of training is given to individuals designated to conduct or participate in formal inspections?			
4.7	Do you feel deficiencies identified in inspections are dealt with in a timely manner? Is there a process to ensure this happens? What is it?			

## SUPERVISOR INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
<b>4.8</b>	Is there a system in place where employee's can report unsafe conditions? What is it?			
<b>4.9</b>	What happens after employees report unsafe conditions?			
<b>5.1</b>	How do you ensure employees have the appropriate qualifications for their job?			
<b>5.2</b>	Are critical issues, such as evacuation procedures, first aid services, fire response, covered in new worker orientation? When is this information provided?			

## SUPERVISOR INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
5.3	Do you have a general health and safety orientation for new workers? When does it occur?			
5.4	What is covered in the new worker health and safety orientation?			
5.5	What job specific training is given to workers?			
5.6	What type of ongoing or refresher training is provided to employees?			

## SUPERVISOR INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
5.7	When a worker is assigned a new job or task, what type of training is provided to the worker before they carry out their new responsibilities?			
6.2	What are the emergency response procedures for your area? (Example: What would you do if...?) What are your responsibilities in the event of an emergency?			
6.3	What training in emergency response have you received? (Examples: fire control, rescue, first aid.)? Who else on site is trained?			
6.4	Are emergency drills conducted? When was the last one?			

## SUPERVISOR INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
7.2	What happens when a work-related incident or illness occurs? (I.e. What is the process? How are incidents or illnesses reported?)			
7.6	If an incident/illness occurs, does an investigation take place? Who is involved in the investigation process?			
7.5	Are persons conducting investigations trained? What does the training consist of?			
7.11	Can you describe some of the corrective actions taken to prevent recurrence of an incident or illness?			

## SUPERVISOR INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
<b>7.8</b>	Who is responsible and accountable for the investigation process?			
<b>7.10</b>	What do you do with the results of incident investigations?			
<b>8.1a</b>	How do you advise employees about health and safety issues?			
<b>8.1b</b>	Do you have the opportunity to provide feedback on health and safety issues?			

## SUPERVISOR INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
<b>8.1c</b>	How are issues dealt with?			
<b>8.10</b>	Has the health and safety system been audited before? Have items been addressed which were identified during the previous health and safety audit?			

## WORKER INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
	<u>Background Information:</u> <i>What do you do? What department are you in? How long have you been with the organization?</i>			
1.4	Does this organization have a Health and Safety Policy? In your own words, what does it say?			
1.3	How did you learn about the Health and Safety Policy?			
1.6	Do you have any specific health and safety responsibilities? Could you describe them? (Examples: inspections, reporting, attending health and safety meetings, etc.)  What responsibilities do you have under the <i>Occupational Health and Safety Act and Regulation</i> ?			

## WORKER INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
1.7	How is your health and safety performance evaluated?			
1.8	Do senior management/your boss/the owner ever communicate to employees that health and safety is important? How do they do this, and how often?			
1.9	Does senior management tour the work site to reinforce health and safety practices and behaviors? How often?			
1.12	How is visitor safety dealt with on the work site?			
1.13	Do you feel management allocates sufficient resources to health and safety? Can you provide examples?			

## WORKER INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
2.5	<p>Are you involved in hazard assessments? What is your involvement? (Auditor may have to explain hazard assessment, as the employer may use different terminology.) (If yes, go to question 2.6.)</p> <p>Do you know if any of your co-workers have been involved in hazard assessment?</p>			
2.6	<p>(Ask only if worker was involved in the hazard assessment process.)</p> <p>Were you trained in the process of hazard identification and assessment? What type of training was it?</p>			
2.7	<p>When changes are made to operations, for example a new piece of equipment is purchased or existing procedures are modified, is there a review of the original hazard assessment to assess the impact of the change?</p> <p>Who is responsible for the review of hazard assessments? When? (May have to explain hazard assessments.)</p>			

## WORKER INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
3.2	Are you or any other workers involved in establishing control methods for identified health or safety hazards? Can you give an example? (Examples: developing safe work procedures, changing a process, determining proper personal protective equipment.)			
3.4	How is equipment maintained? What happens when equipment is identified as defective?			
3.8	Do you need to use any personal protective equipment for your job? What kinds? (Give examples if necessary.)			
	How were you trained in the use, care and maintenance of your personal protective equipment?			

## WORKER INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
3.7	Is the required personal protective equipment available?			
3.3	Do you feel control measures that have been implemented are appropriate protection? Do you and your peers use the control measures?			
3.5	How does management enforce the use of engineering controls?			
3.6	How does management enforce administrative controls (safe work procedures, rules and practices)?			

## WORKER INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
3.9	How does management enforce the use of personal protective equipment?			
4.2	Do managers/supervisors conduct formal inspections in your area? How often?			
4.3	Are workers involved in health and safety inspections? What is your role? How often are inspections conducted?			
4.4	What type of training is given to individuals designated to conduct or participate in formal inspections?			

## WORKER INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
4.7	Do you feel deficiencies identified in inspections are dealt with in a timely manner? What is the process to ensure this happens?			
4.8	Is there a system in place to allow employees to report unsafe conditions? What is it?			
4.9	What happens after employees report unsafe conditions?			
5.1	How did your employer ensure you were qualified for your job?			

## WORKER INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
5.2	Were you provided with information about critical issues, such as evacuation procedures, first aid services and emergency response? When was this information provided?			
5.3	Does your employer have general health and safety orientation for new workers? (Auditor may have to explain orientation and give examples.) When does this occur?			
5.4	What is covered in the new worker health and safety orientation?			
5.5	Is job-specific training given to workers who may be exposed to a hazard? (Give an example.) Have you received this type of training? Can you describe it?			

## WORKER INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
5.6	What type of ongoing or refresher training have you been given?			
5.7	When you or a co-worker have been assigned a new job or task, are you provided with job specific training for this new responsibility?			
6.2	What are the emergency procedures for this site? (Example: What would you do if...?) What are your responsibilities in the event of an emergency?			
6.3	What emergency response training have you received? (Examples: first aid, fire fighting, rescue, etc.) On your site, who is trained in emergency response?			

## WORKER INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
6.4	Are emergency drills conducted? When was the last one?			
7.2	What happens when a work-related incident or illness occurs? (I.e. What is the process? How are incidents and illnesses reported?)			
7.6	If an incident/illness occurs, does an investigation take place? Who is involved in the investigation process?			
7.5	Are persons involved with conducting investigations trained? What does the training consist of?			

## WORKER INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
7.8	Who is responsible and accountable for the investigation process?			
7.10	What do you do with the results of incident investigations?			
7.11	Can you describe some of the corrective actions taken to prevent recurrence of an incident or illness?			
8.1a	How are you informed about health and safety issues? Are you satisfied with the extent to which you are kept up to date on health and safety issues and program activity?			

## WORKER INTERVIEW RECORD (cont'd)

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
8.1b	Do you have the opportunity to provide feedback on health and safety issues?			
8.1c	Are the issues dealt with?			
8.10	Has the health and safety system been audited before? Have items identified during the previous health and safety audit been addressed?			

## CONTRACTOR INTERVIEW RECORD

QUESTION NO.	QUESTION AND COMMENTS	RESPONSE		
		+	-	n.c.
	<u>Background Information:</u> <i>What do you do? Have you worked with this employer before? How long have you worked at this site?</i>			
<b>1.11</b>	How is contractor safety dealt with on the work site?			
<b>1.6</b>	Do you have any specific health and safety responsibilities? Could you describe them? (Examples: inspection, reporting, attending health and safety meetings, etc.)			
<b>8.2</b>	How are health and safety issues discussed with you?			

# **SECTION D**

# **AUDIT REPORT**

*(Audit Instrument Package)*



To be completed for each industry code audited.

### Interview Sampling Details

Levels	Total Number of Employees	Number of Employees Interviewed		Departments/Shifts List departments, and (if applicable) shifts below	Employee/ Dept. Totals	Total Employees			# Interviewed		
		In Person	By Questionnaire			Full-Time	Part-Time	Casual	Full-Time	Part-Time	Casual
Managers											
Supervisors											
Workers											
<b>Total Employees</b>											
Contractors											
Visitors											

### Work Site Sampling Details

Work Sites Under Industry being audited	Included in Audit Scope? √	Site Active? √	Number of Employees	Number Interviewed

# 1. MANAGEMENT LEADERSHIP AND ORGANIZATIONAL COMMITMENT

<b>Element Score:</b>	<b>%</b>	<b>Total Points:</b>		<b>Point Scored:</b>	
<b>Existing Strengths:</b>					
<b>Suggestions for Improvements:</b>					

## 2. HAZARD IDENTIFICATION AND ASSESSMENT

<b>Element Score:</b>	<b>%</b>	<b>Total Points:</b>		<b>Point Scored:</b>	
<b>Existing Strengths:</b>					
<b>Suggestions for Improvements:</b>					

### 3. HAZARD CONTROL

<b>Element Score:</b>	<b>%</b>	<b>Total Points:</b>		<b>Point Scored:</b>	
<b>Existing Strengths:</b>					
<b>Suggestions for Improvements:</b>					

#### 4. ONGOING INSPECTIONS

<b>Element Score:</b>	<b>%</b>	<b>Total Points:</b>		<b>Point Scored:</b>	
<b>Existing Strengths:</b>					
<b>Suggestions for Improvements:</b>					

## 5. QUALIFICATIONS, ORIENTATION AND TRAINING

<b>Element Score:</b>	<b>%</b>	<b>Total Points:</b>		<b>Point Scored:</b>	
<b>Existing Strengths:</b>					
<b>Suggestions for Improvements:</b>					

## 6. EMERGENCY RESPONSE

<b>Element Score:</b>	<b>%</b>	<b>Total Points:</b>		<b>Point Scored:</b>	
<b>Existing Strengths:</b>					
<b>Suggestions for Improvements:</b>					

## 7. INCIDENT INVESTIGATION

<b>Element Score:</b>	<b>%</b>	<b>Total Points:</b>		<b>Point Scored:</b>	
<b>Existing Strengths:</b>					
<b>Suggestions for Improvements:</b>					

## 8. PROGRAM ADMINISTRATION

<b>Element Score:</b>	<b>%</b>	<b>Total Points:</b>		<b>Point Scored:</b>	
<b>Existing Strengths:</b>					
<b>Suggestions for Improvements:</b>					

**SECTION E**

**APPENDICES**

*(Audit Instrument Package)*

# Document List

This list has been developed directly from the Partnerships audit instrument. Wherever documentation is required for verification, some specific types of documentation that may be used for validation are listed.

QUESTIONS	DOCUMENTATION TO REVIEW
1.1, 1.2	Health and Safety Policy.
1.5	Written statement of responsibilities, job descriptions, employee contracts, and program manuals.
1.11	Contractor agreements, minutes of contractor meetings, health and safety policy manual, correspondence to contractors.
1.12	Health and Safety Policy Manual, visitor information brochure/package.
2.1	Inventory of job positions, task or job inventories.
2.2, 2.5	Completed hazard assessment forms, job observation checklists, job safety analysis.
2.3, 2.4	Procedure for rating hazards, hazard rating forms (blank and completed).
2.6	Training records of individuals designated to conduct hazard assessments. Course material for hazard assessment training.
2.7	Documents outlining process/procedural changes and updated hazard assessment forms, decisions reached in meeting minutes, memos directing a hazard control be implemented, supervisor's log book.
3.1	Completed hazard assessment forms, job procedures, work practices, rules, job schedule or rotation of workers, training records.
3.4	Preventative maintenance records of equipment, tools, and PPE. Work order records, defective equipment tags, written procedures/policy regarding the removal of defective equipment.
3.9	Policy and Procedure Manual, PPE Policy, discipline procedures.
4.1, 4.2	Health and Safety Policy and Procedures Manual, Inspection Policy, inspection records, inspection schedule.

QUESTIONS	DOCUMENTATION TO REVIEW
4.4	Training records of individuals designated to conduct inspections.
4.5	Inspection checklist (blank and completed), inspection reports.
4.6	Inspection reports.
4.7	Memos outlining timeframe for corrective action, minutes of safety/staff meetings, work orders, purchase orders.
4.8	Policy/procedure of hazard reporting process, form for reporting unsafe conditions.
5.1	Application forms (blank), hiring records, training records, copies of certificates/diplomas.
5.2, 5.3, 5.4	Employee orientation records, orientation checklist, orientation package/contents.
5.5, 5.6, 5.7	Department/job specific training material and training records.
6.1	Emergency response plan, evacuation procedures. Emergency numbers, radio codes, emergency communication procedures, list of emergency response personnel/fire wardens.
6.4	Emergency Response drill records, minutes of meetings, emergency response table-top review exercises.
6.5	Emergency response records, first aid record book.
6.6	Emergency response records, minutes of meetings documenting review of drills, documents outlining corrective action or change in procedure as a result of the drills.
6.7	First aid regulations, first aid certificates, first aid training records, shift schedules of certified first aiders.
7.1	Incident reporting procedure, reporting form (blank/completed).
7.3	Incident investigation procedure.

QUESTIONS	DOCUMENTATION TO REVIEW
7.4	Incident investigation form/report (blank/completed).
7.5	Training records of individuals designated to conduct investigations, investigation training course material.
7.6, 7.7, 7.8, 7.9, 7.10	Investigation report forms (completed), investigation reports, memos outlining implementation of corrective action, minutes of meetings outlining results of investigation.
7.10	Health and safety meeting minutes, investigation reports posted on bulletin boards, notes on investigation reports.
8.1	Employee newsletters, records of health and safety meetings, records of toolbox meetings, minutes of staff meetings, staff communication book, bulletins, hazards identification and assessment records, suggestion boxes.
8.2, 8.3	Minutes of toolbox meetings, health and safety committee meetings, department or team meetings, job site meetings, contractor meetings.
8.4	Agendas, minutes, or attendance records of health and safety meetings.
8.5	Health and safety records – hazard assessment records, inspection reports, training records, investigation reports, hazard reporting records, health assessment records.
8.6	Health and safety statistics – frequency rate, severity rate, cost per claim, audiometric statistics, pulmonary statistics, air quality measurements, blood levels, first aid.
8.7	Company specific monthly, quarterly or annual health and safety reports, analysis of injury reports, graphical reports of health and safety statistics to show trends.
8.8, 8.9	Previous health and safety audits.
8.10	Health and safety action plans.

# AUDIT OBSERVATION TOUR GUIDELINE

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 and observes those things called for in the audit questions outlined below.
- As the items are observed, the auditor notes their location in the "Location" column, and uses the "Notes" column to record what they saw.
- A staff member 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 imminent danger).

AUDIT QUESTION		WHAT TO LOOK FOR	LOCATION(S)	NOTES
1.3	Is the policy readily available to employees?	Health and Safety Policy may be posted on bulletin boards, in lunch rooms or reception areas, or may be accessible on computer or inside safety manuals that are readily available to employees.		
1.10	Is relevant health and safety legislation readily available at work sites?	Copies of Occupational Health and Safety legislation (federal, provincial, municipal) appropriate to the operation of the worksites should be present on site. Some examples could be: <ul style="list-style-type: none"> <li>- Occupational Health and Safety Act</li> <li>- General Safety Regulations</li> <li>- Chemical Hazards Regulations</li> <li>- First Aid Regulations</li> <li>- WHMIS</li> <li>- TDG</li> </ul>		

AUDIT QUESTION		WHAT TO LOOK FOR	LOCATION(S)	NOTES
3.1	Have hazard controls been identified and implemented:  Engineering?  Personal Protective Equipment (PPE)?	Engineering controls and personal protective equipment controls outlined in the hazard assessment documents must be observed. The engineering controls could be ventilation, guarding, substitution, isolation, noise control, etc.  The personal protective equipment controls could be hard hats, steel toed boots, gloves, respiratory masks, etc.		
3.3	Are employees using controls developed for identified health and safety hazards?	Auditor to physically observe employees using the engineering, administrative, and personal protective equipment controls identified and approved in the hazard assessment documents.		
3.5	Does management enforce the use of engineering controls?	Look for compliance with engineering control requirements (i.e. have safety guards been removed). Non-compliance may indicate non-enforcement. When there is non-compliance, note if management in the area responds and enforces the use of control.		
3.6	Does management enforce the use of safe work procedures, rules, and work practices?	Look for compliance with safe work procedures, rules, and work practices. Non-compliance may indicate non-enforcement. When there is non-compliance, note if management in the area responds and enforces use of control.		
3.7	Is the required PPE equipment available?	Auditor must observe that the PPE identified and approved in the hazard assessment document (refer to 3.1) is readily available for employee use.		

AUDIT QUESTION		WHAT TO LOOK FOR	LOCATION(S)	NOTES
3.8	Where PPE is used as a method of control, are employees trained in the use, care and maintenance of the PPE?	PPE observed at the workplace should be clean, properly stored, in good condition, etc. Employees should be able to explain how each article of personal protective equipment is used and how it is maintained.		
3.9	Is the use of PPE enforced?	Look for compliance with PPE requirements. Non-compliance may indicate non-enforcement.		
4.7	Are deficiencies identified in the inspection reports corrected in a timely manner?	Auditor selects items from past inspection checklists and physically observes the workplace to confirm that identified deficiencies have been corrected.		
6.8	Do first aid supplies and facilities meet legislation requirements?	Check to see whether the first aid kit is clean, the right size and stocked appropriately, and that the log book is being used. Check to see whether the first aid room is clean and maintained.		
7.11	Are corrective actions taken to prevent recurrence?	Auditor selects some approved corrective measures from the incident investigation reports and visually confirms that they have been implemented.		
8.10	Has the action plan been implemented?	Auditor must get the action plan from the previous audit and conduct observations to confirm implementation of the action items.		