



COR Auditor's Guidelines

2023



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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		DIO	Auditor Note Expectations	Points based on positives:
1.1	Is there a written Health and Safety Policy signed by the current senior manager?	D	<p>Verified by reviewing written policy.</p> <p>To award the 5 points, the policy must be signed by the current senior manager, and must include:</p> <ul style="list-style-type: none"> • 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. <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>(5 points)</p>
1.2	Is the Health and Safety policy readily available to employees?	O	<p>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.</p> <p>Notes must describe where the policy is located, and how it is made accessible to all employees at that location.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on the percentage of locations the policy was available.</p> <p>(0-5 points)</p>
1.3	Is the health and safety policy communicated to employees?	I	<p>Verified by senior manager, manager, and supervisor interviews.</p> <p>Interviewees must be able to describe how they ensure that the policy is communicated to employees.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of positive responses.</p> <p>(0-5 points)</p>

1.4	Are employees aware of the health and safety policy's content?	I	<p>Verified by employee interviews.</p> <p>Employees must be able to explain, in general terms, the policy's content.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on the percentage of positive responses.</p> <p>(0-5 points)</p>
1.5	Have specific health and safety responsibilities been written for all levels?	D	<p>Verified by reviewing documentation, other than the policy (e.g. job descriptions, and health and safety manuals, staff handbooks, etc.).</p> <p>There must be responsibilities written for all applicable employee levels:</p> <ul style="list-style-type: none"> • Senior Managers • Managers • Supervisors • Workers <p>Provide details/example(s).</p>	<p>Points awarded based on the percentage of positive indicators.</p> <p>(0-10 points)</p>
1.6	<p>Do employees understand their:</p> <p>a. Individual OHS rights (0-5 points)</p> <p>b. health and safety responsibilities (0-5 points)</p>	I	<p>Verified by employee interviews.</p> <p>Employees must be able to identify the three OHS rights (right to know, right to participate, right to refuse dangerous work). Employees must be able to explain their health and safety responsibilities (both company and legislated).</p> <p>Provide details/examples.</p>	<p>Points are awarded based on the percentage of positive responses.</p> <p>a. 0-5 points b. 0-5 points</p>
1.7	Do managers and supervisors understand their responsibility for the health and safety of the workers under their supervision?	I	<p>Verified by manager and supervisor interviews.</p> <p>Managers and supervisors must be able to describe how they ensure the health and safety of the employees under their supervision.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on a minimum 80% positive responses.</p> <p>(5 points)</p>
1.8	Are employees evaluated on their	I	<p>Verified by employee interviews.</p> <p>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:</p>	<p>Points are awarded based on the</p>



	individual health and safety accountabilities?		<ul style="list-style-type: none"> • Performance appraisals • Discipline policy/process for non-performance • Letters from employer • Positive reinforcement by supervisors • Job safety observations • Management and supervisor reviews, etc. <p>Provide details/example(s).</p>	percentage of positive responses. (0-10 points)
1.9	Does senior management communicate to employees, at least annually, the organization's commitment to health and safety?	I	<p>Verified by employee interviews.</p> <p>Notes must include examples of how senior management communicates health and safety commitment.</p> <p>Provide details/examples.</p>	Points are awarded based on a minimum 80% positive responses. (10 points)
1.10	Does senior management demonstrate commitment by participating in health and safety activities?	I	<p>Verified by employee interviews.</p> <p>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.).</p> <p>Provide details/examples.</p>	Points are awarded based on a minimum 80% positive responses (10 points)
1.11	Is current health and safety legislation readily available at all work sites?	O	<p>Verified through observation at work sites.</p> <p>The current occupational health and safety legislation (e.g. federal and/or provincial) appropriate to the operation of the work site(s) must be readily available.</p> <p>Provide details/example(s).</p>	Points are awarded based on 100% positive indicators from observations. (5 points)
1.12	Does management participate in meetings where health and safety is discussed?	D	<p>Verified by meeting minutes.</p> <p>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.</p> <p>Provide details/example(s).</p>	Points are awarded based on the percentage of positive indicators of sampled meeting minutes.

				(0-10 points)
1.13	Does the employer provide resources needed to implement and improve health and safety?	I	<p>Verified by employee interviews.</p> <p>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.).</p> <p>Provide details/examples.</p>	<p>Points are awarded based on the percentage of positive responses.</p> <p>(0-10 points)</p>
TOTAL POINTS POSSIBLE: 100				

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		DIO	Instructions	Points based on positives:
2.1	Have all jobs/positions been identified for the formal hazard assessment process?	D	<p>Verified by reviewing documentation.</p> <p>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.</p> <p>Notes must include examples of the jobs/positions identified, and any that were missed.</p> <p>Sampling is not acceptable for this question.</p>	<p>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.</p> <p>(0-10 points)</p>
2.2	Has the employer compiled a list of tasks associated with each job/position?	D	<p>Verified by review of formal hazard assessments.</p> <p>The various tasks associated with each job/position must be identified. Notes must include examples, and list tasks that were missed.</p> <p>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.</p>	<p>(0-20 points)</p>

			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?	D	<p>Verified by review of formal hazard assessments.</p> <p>Confirm that both health and safety hazards have been identified for tasks where applicable. (confirmed by question 2.2).</p> <p>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.</p> <p>Consider the four categories for health and safety hazards, which include:</p> <ul style="list-style-type: none"> • Physical (e.g. radiological, working at heights, lifting heavy loads, extreme temperatures, violence, ergonomics, etc.) • Chemical (e.g. fumes, vapours, gases, waste products, etc.) • Biological (e.g. bodily fluids, viruses, bacteria, moulds, etc.) • Psychological (e.g. harassment and bullying, stress, fatigue, etc.) <p>Score: 0-10 points for health hazards 0-10 points for safety hazards</p> <p>Note: All hazard categories may not be applicable to every task identified on formal hazard assessments.</p> <p>Points are awarded for each hazard type based on the percentage of tasks for which hazards have been identified. The maximum score allowed for this question will be determined by the total percentage awarded in question 2.2.</p> <p>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.</p> <p>Provide details/example(s).</p>	(0-20 points)



2.4	Have the identified health and safety hazards been evaluated according to risk?	D	<p>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.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on the percentage of health and safety hazards that have been assessed/prioritized.</p> <p>The maximum percentage allowed for this question cannot exceed the average percentage awarded in question 2.3.</p> <p>(0-10 points)</p>
2.5	Is senior management knowledgeable about the highest hazard tasks related to their operations?	I	<p>Verified by senior manager interviews.</p> <p>Senior management must be knowledgeable of the highest hazard tasks related to their operations (identified in question 2.4).</p> <p>Provide details/examples.</p>	<p>Points are awarded based on a minimum 80% positive responses.</p> <p>(10 points)</p>
2.6	<p>Do the following participate in the formal hazard assessment process?</p> <ul style="list-style-type: none"> a. Managers (5 points) b. Supervisors (5 points) c. HSC/HS representative (5 points) 	I	<p>Verified by manager/supervisor and HSC/HS representative interviews.</p> <p>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.</p> <p>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.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on a minimum 80% positive responses.</p> <ul style="list-style-type: none"> a. 5 points b. 5 points c. 5 points
2.7	Have workers participated in the development, and/or review of the formal hazard assessments.	I	<p>Verified by worker interviews.</p> <p>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.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on the percentage of positive responses.</p> <p>(0-10 points)</p>



2.8	Are employees designated to lead the formal hazard assessment process trained?	D	<p>Verified by review of formal hazard assessments and training records.</p> <p>Employees who lead the formal hazard assessment process (e.g. managers, supervisors, team leaders, etc.) must be trained.</p> <p>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.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of positive indicators.</p> <p>(0-5 points)</p>
2.9	Is there a written policy and/or process to review formal hazard assessments?	D	<p>Verified by review of formal hazard assessment policy and/or process.</p> <p>Documentation must confirm a requirement to review formal hazard assessments, and includes the following criteria:</p> <ul style="list-style-type: none"> • On a predetermined frequency to keep the results up-to-date • 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 <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>(5 points)</p>
2.10	Are formal hazard assessments reviewed as per the policy and/or process?	I	<p>Verified by hazard assessment lead interviews.</p> <p>Hazard assessment leads are those that lead the hazard assessment process (e.g. managers, supervisors, team leaders, etc.).</p> <p>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.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on percentage of positive responses.</p> <p>(0-5 points)</p>
2.11	Does the employer have a process for conducting site-specific hazard assessments when:	D	<p>Verified by review of documentation.</p> <p>A policy and/or process and procedures for conducting site-specific hazard assessments must be in place to award points for this question.</p> <p>Question “a” cannot be marked not applicable (n/a).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>a. 5 points</p>



	<p>a. A new activity has been temporarily introduced at the work site?</p> <p>b. Work is conducted at a temporary/mobile work site (whether owned by the employer or not)?</p>		<p>If the employer does not have temporary/mobile work sites, question “b” may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/example(s).</p>	<p>b. 5 points</p>
2.12	<p>Have site-specific hazard assessments been:</p> <p>a. conducted before work begins on the day of the job?</p> <p>b. repeated if changes are introduced?</p>	D	<p>Verified by review of completed site-specific hazard assessments</p> <p>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.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>a. 5 points</p> <p>b. 5 points</p>
2.13	<p>Have controls been identified for site specific hazard assessments?</p>	D	<p>Verified by review of documentation.</p> <p>Site-specific hazard assessments must identify controls.</p> <p>If site specific hazard assessments were not required in the last 12 months, this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of positive indicators.</p> <p>(0-5 points)</p>
2.14	<p>Do site-specific hazard assessments involve affected employees at the work site?</p>	I	<p>Verified by manager/supervisor and worker interviews.</p> <p>Interviewees must be able to describe how they participate in the site specific hazard assessment process.</p> <p>If site specific hazard assessments were not required in the last 12 months, this question may be marked not applicable (n/a). Provide justification.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of positive responses.</p> <p>(0-10 points)</p>
2.15	<p>Is there a system in place for workers to report newly identified hazards?</p>	I	<p>Verified by worker interviews.</p> <p>Workers must be able to describe the system to report hazards, such as unsafe or unhealthy conditions or practices.</p>	<p>Points are awarded based percentage of positive responses.</p> <p>(0-10 points)</p>



			Provide details/examples.	
TOTAL POINTS POSSIBLE: 155				



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. Three methods of control are: 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		DIO	Instructions	Points based on positives:
3.1	Have controls been identified for the hazards listed in the formal hazard assessments?	D	<p>Verified by review of formal hazard assessments.</p> <p>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.</p> <p>Provide details/example(s).</p>	<p>The maximum percentages allowed for this question will be determined by the percentage awarded in question 2.3.</p> <p>See question 2.3 for an example on calculating score.</p> <p>(0-10 points)</p>
3.2	Have the identified engineering controls been implemented?	O	<p>Verified by observation.</p> <p>Refer to question 3.1 to obtain a sample of engineering controls, and verify through observation that they have been implemented.</p> <p>Auditors must include some controls for highest hazard items in the sample to verify they have been given priority.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on the percentage of engineering controls sampled from the formal hazard assessment that have been observed.</p> <p>(0-20 points)</p>
3.3	Have the identified administrative controls been implemented?	D	<p>Verified by review of documentation</p>	<p>Points are awarded based on the percentage of</p>



			<p>Refer to question 3.1 obtain a sample of administrative controls to verify through a review of documentation.</p> <p>Auditors must include some controls for highest hazard items in the sample to verify they have been given priority.</p> <p>Provide details/example(s).</p>	<p>administrative controls sampled from the formal hazard assessments that have been verified through documentation.</p> <p>(0-20 points)</p>
3.4	Have the identified personal protective equipment (PPE) controls been implemented?	O	<p>Verified by observation.</p> <p>Refer to question 3.1 to obtain a sample of controls, and verify through observation that they have been implemented.</p> <p>Auditors must include some controls for highest hazard items in the sample to verify they have been given priority.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on the percentage of controls sampled from the formal hazard assessment that have been observed.</p> <p>(0-20 points)</p>
3.5	Are changes to hazard controls communicated to affected employees?	I	<p>Verified by employee interviews.</p> <p>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.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on percentage of positive response.</p> <p>(0-5 points)</p>
3.6	Are employees using the established hazard controls?	I, O	<p>Verified by employee interviews and observation.</p> <p>Interviewees must confirm their use of hazard controls. Observe employees performing their jobs, and verify they are using the established hazard controls identified in the interviews.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on the percentage of positive responses and positive indicators from observations.</p> <p>0-5 points for interviews</p> <p>0-10 points for observations</p>



3.7	Do managers/supervisors enforce the use of hazard controls?	I	<p>Verified by managers/supervisor and worker interviews.</p> <p>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.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/examples.</p>	Points are awarded based on the percentage of positive responses. (0-5 points)
3.8	Is there a process in place for preventative maintenance of equipment, vehicles, facilities, and tools?	D	<p>Verified by review of policy and/or process documents.</p> <p>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.</p> <p>Provide details/example(s).</p>	Points are awarded based on 100% positive indicators from documentation. (5 points)
3.9	Is the preventative maintenance process in use?	D	<p>Verified by review of documentation.</p> <p>Documentation must confirm that preventative maintenance is being performed according to the applicable schedules as identified in question 3.8.</p> <p>Provide details/example(s).</p>	Points are awarded based on the percentage of positive indicators. (0-5 points)
3.10	Is there a system that ensures defective equipment, vehicles, facilities, and tools are taken out of service?	I	<p>Verified by worker interviews.</p> <p>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.).</p> <p>Provide details/example(s).</p>	Points are awarded based on the percentage of positive responses. (0-10 points)
3.11	Does the Violence Prevention Plan meet legislated requirements?	D	<p>Verified by review of documentation.</p> <p>Documentation must confirm the employer's Violence Prevention Plan meets legislated requirements (Alberta) or Federal legislation for federally regulated employers.</p> <p>Provide details/example(s).</p>	Points are awarded based on 100% positive indicators (5 points)
3.12	Does the Harassment Prevention Plan meet legislated requirements?	D	<p>Verified by review of documentation</p>	Points are awarded based on 100% positive indicators



			Documentation must confirm the employer's Harassment Prevention Plan meets legislated requirements (Alberta) or Federal legislation for federally regulated employers. Provide details/example(s).	(5 points)
3.13	Have the Violence and Harassment plans been reviewed as per legislated requirements?	D	Verified by review of documentation The violence and harassment plans must be reviewed as per legislated requirements (Alberta) or Federal legislation for federally regulated employers. Provide details/example(s).	Points are awarded based on 100% positive indicators (5 points)
TOTAL POINTS POSSIBLE: 130				



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		DIO	Instructions	Points based on positives:
4.1	Do the terms of reference for the HSC include all legislated requirements?	D	<p>Verified by review of documentation.</p> <p>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.</p> <p>If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% indicators from documentation.</p> <p>(5 points)</p>
4.2	Is the HSC established as per legislated requirements?	D	<p>Verified by review of documentation</p> <p>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.</p> <p>If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% indicators from documentation.</p> <p>(5 points)</p>
4.3	Has a HS representative been designated as per legislated requirements?	I	<p>Verified by employee interviews.</p> <p>An employer needs to designate a HS representative as per legislated requirements (Alberta) or Federal legislation for federally regulated employers. Employees need to be informed if this process has occurred.</p>	<p>Points are awarded based on percentage of positive responses.</p> <p>(0-5 Points)</p>



			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)?	D	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. Provide details/example(s).	Points are awarded based on 100% positive indicators from documentation (5 Points)
4.5	Have the HSC members and/or the HS representative(s) been trained in their duties and responsibilities?	D	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. Provide details/example(s).	Points are awarded based on percentage of positive indicators. (0-10 points)
4.6	Do the HSC members and/or HS representative(s) understand their duties and responsibilities?	I	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. Provide details/examples.	Points are awarded based on percentage of positive responses. (0-10 points)
4.7	Do HSC members and/or the HS representative(s) participate in health and safety activities?	I	Verified by employee interviews. Interviewees must be able to confirm the committee members and/or representative(s) are involved in health and safety activities. Provide details/examples.	Points are awarded based on the percentage of positive responses. (0-10 points)
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?	D	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. Provide details/example(s).	Points are awarded based on 100% positive indicators from documentation. (5 points)

4.9	How do employees bring forward health and safety concerns and complaints?	I	<p>Verified by employee interviews.</p> <p>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.</p> <p>Provide details/example(s).</p>	Points are awarded based on the percentage of positive responses. (0-10 points)
4.10	Is a process in place for the HSC and/or HS representative(s) to make health and safety recommendations to management?	I	<p>Verified by manager/supervisor interviews</p> <p>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.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/examples.</p>	Points are awarded based on the percentage of positive responses. (0-10 points)
4.11	Are health and safety concerns/complaints received by the HSC/HS Representative resolved in a timely manner?	D	<p>Verified by review of documentation.</p> <p>Consider the complexity of the concerns/complaints to determine timeliness.</p> <p>This question may be marked “n/a” if there were no concerns/complaints in the previous 12 months. Provide justification.</p> <p>Provide details/example(s).</p>	Points are awarded based on percentage of positive indicators. (0-5 Points)
4.12	Does the HSC hold meetings as identified in the terms of reference?	D	<p>Verified by review of documentation.</p> <p>Review committee meeting minutes to confirm the meeting frequency is being met as per the HSC Terms of Reference.</p> <p>If the employer is only required to have a HS Representative(s), this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/example(s).</p>	Points are awarded based on percentage of positive indicators from documentation. (0-5 Points)
4.13	Does the Joint Health and Safety Committee/HS representative review the employers work site inspection documentation?	D	<p>Verified by documentation.</p> <p>Review any meeting minutes, inspection records or other documentation that can verify that the HSC/HS representative have reviewed inspection documentation.</p> <p>Provide details/example(s).</p>	Points are awarded based on percentage of positive indicators. (0-5 points)

<p>4.14</p>	<p>Are the names and contact information of the HSC members and/or the HS representative(s) readily available?</p>	<p>O</p>	<p>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. Provide details/examples.</p>	<p>Points are awarded based on the percentage of work sites that have contact readily available. (0-5 points)</p>
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TOTAL POINTS POSSIBLE: 95



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		DIO	Instructions	Points based on positives:
5.1	Is there a process to ensure employees are qualified for the position for which they are being considered?	D, I	<p>Verified by review of documentation and manager/supervisor interviews.</p> <p>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.).</p> <p>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.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>Interview points are awarded based percentage of positive responses.</p> <p>5 points for documentation</p> <p>0-10 points for interviews</p>
5.2	Does the orientation process cover OHS rights, and critical health and safety information?	D	<p>Verified by review of orientation documentation.</p> <p>The OHS rights, and critical health and safety information must be reviewed with the employee. These must, at minimum include:</p> <ul style="list-style-type: none"> • Right to know • Right to participate • Right to refuse dangerous work • Emergency response procedures • Rules of enforcement • High risk hazards • Hazard reporting • Incident reporting 	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>(5 points)</p>

			<ul style="list-style-type: none"> • Violence and Harassment <p>Provide details/example(s).</p>	
5.3	Do managers/supervisors ensure orientations were conducted prior to employees starting regular duties?	I	<p>Verified by manager/supervisor and worker interviews.</p> <p>Managers/supervisors and workers must be able to describe the process used to ensure workers have received orientation prior to employees starting regular duties.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based percentage of positive responses.</p> <p>(0-10 points)</p>
5.4	Are managers/supervisors provided with training to support them in their role?	D, I	<p>Verified by review of training documents and manager/supervisor interviews.</p> <p>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.).</p> <p>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.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/example(s).</p>	<p>Documentation points are awarded based on percentage of positive indicators. Interview points are awarded based on percentage of positive responses.</p> <p>(0-5 points documentation)</p> <p>(0-10 points interview)</p>
5.5	Does job-specific training include hazards and controls as well as a practical demonstration?	D	<p>Verified by review of training documents.</p> <p>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.</p> <p>Due to the nature of some tasks, practical demonstrations might not be suitable.</p> <p>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.).</p> <p>Provide details/example(s).</p>	<p>Documentation points are awarded based on percentage of positive indicators.</p> <p>(0-10 points documentation)</p>

5.6	Do employees receive job specific training when they are assigned new tasks, or when an operational change affects their work?	I	<p>Verified by employee interviews.</p> <p>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.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on percentage of positive responses.</p> <p>(0-10 points)</p>
5.7	Is there a process to assess competency of new and re-assigned workers?	D	<p>Verified by reviewing documentation.</p> <p>Verify that the employer has a process on how they determine the competency of their workers (e.g. on 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.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based percentage of positive indicators.</p> <p>(0-10 points)</p>
5.8	Are competency assessments conducted?	I	<p>Verified by manager/supervisor interviews.</p> <p>Managers and supervisors must be able to indicate how they ensure competency assessments are conducted as required by the process in 5.7.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/example(s).</p>	<p>If 5.7 is awarded no points, this question is scored 0. Points are awarded based on percentage of positive responses.</p> <p>(0-5 points)</p>
5.9	Is required refresher training provided?	D	<p>Verified by reviewing documentation.</p> <p>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.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of positive indicators.</p> <p>(0-10 points)</p>

TOTAL POINTS POSSIBLE: 90



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	Points based on positives:
6.1	Is a process in place to address the protection of others not under the employer’s direction?	D	<p>Verified by review of documentation.</p> <p>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.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>(5 points)</p>
6.2	Is a process in place that includes criteria for evaluating and selecting other employers?	D	<p>Verified by review of documentation.</p> <p>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.</p> <p>If the auditor can confirm the audited employer does not use other employers, this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>(5 points)</p>
6.3	Is a process in place that includes a system for regularly monitoring and addressing non-compliance with other employers	D, I	<p>Verified by review of documentation and manager/supervisor interviews.</p> <p>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.</p> <p>The contracting employer must have a process to deal with other employers when there is non-compliance to their OHSMS.</p> <p>If the auditor can confirm the audited employer does not use other employers, this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation. Interview points are based on percentage of positive responses.</p> <p>(5 points documentation)</p> <p>(0-5 points interview)</p>



6.4	<p>Are health and safety orientations provided to:</p> <ul style="list-style-type: none"> a. Visitors? b. Other employers? 	D	<p>Verified by review of documentation.</p> <p>Confirm orientations are provided to other employers, and visitors (e.g. visitor logs with safety information identified, contractor sign off, etc.)</p> <p>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).</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <ul style="list-style-type: none"> a. 5 points b. 5 points
6.5	<p>Does the employer communicate with external work site parties regarding:</p> <ul style="list-style-type: none"> a. Their health and safety responsibilities while on site? b. Work site hazards and controls? c. When there are changes to the site? 	I	<p>Verified by interviewing managers/supervisors.</p> <p>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.</p> <p>Work site parties can include other employers, suppliers, prime contractors, etc. conducting activities at a work site or receiving products.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on the percentage of positive responses.</p> <ul style="list-style-type: none"> a. 0-5 points b. 0-5 points c. 0-5 points
6.6	<p>Is health and safety information readily available to affected external work site parties?</p>	I	<p>Verified by manager/supervisor interviews.</p> <p>Health and safety information is readily available to affected external work site parties.</p> <p>Examples may include hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC and/or HS representative meeting minutes.</p> <p>Work site parties can include other employers, suppliers, prime contractors, etc. conducting activities at a work site or receiving products.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of positive responses.</p> <p>(0-5 points)</p>
<p>TOTAL POINTS POSSIBLE: 50</p>				



ELEMENT 7: INSPECTIONS

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

Questions		DIO	Instructions	Points based on positives:
7.1	<p>Is there an inspection process that states the frequency of inspections and includes the following:</p> <ul style="list-style-type: none"> a. All areas of the operation? b. All employee levels? 	D	<p>Verified by review of inspection process.</p> <p>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.</p> <p>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.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on percentage positive indicators from documentation.</p> <ul style="list-style-type: none"> a. (0-5 points) b. (0-5 points)
7.2	<p>Are checklists or forms used for formal inspections?</p>	D	<p>Verified by review of completed inspection checklists or forms.</p> <p>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.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>(5 points)</p>
7.3	<p>Have individuals leading formal inspections received training?</p>	D	<p>Verified by review of inspection and training records.</p> <p>Identify employees leading inspections, and verify they have completed training.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on percentage positive indicators from documentation.</p> <p>(0-10 points)</p>
7.4	<p>Are formal inspections carried out in accordance with the policy and/or process :</p>	D	<p>Verified by review of inspection records.</p> <ul style="list-style-type: none"> a. The frequency in the policy and/or process is being met for all areas of the operation. 	<p>Points are awarded based on percentage positive indicators from documentation.</p>

			<p>b-d. Records must show participation from each level stated in the policy and/or process is being met (question 7.1).</p> <p>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.</p> <p>Provide details/example(s).</p>	<p>a. (0-5 points) b. (0-5 points) c. (0-5 points) d. (0-5 points)</p>
7.5	Do management inspections include a component of employee observation?	I	<p>Verified by senior manager/manager interviews.</p> <p>Senior managers/managers must be able to describe how they include observations of OHS behaviors and conditions during their inspections.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of positive responses.</p> <p>(0-5 points)</p>
7.6	Is there a system to correct deficiencies identified through formal inspections?	I	<p>Verified by manager/supervisors' interviews.</p> <p>Interviewees must be able to describe the how they ensure deficiencies identified through formal inspections will be corrected.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of positive responses.</p> <p>(0-5 points)</p>
7.7	Have deficiencies identified through formal inspections been corrected?	O	<p>Verified by observations.</p> <p>Observe whether sampled deficiencies identified in the inspection reports have been corrected.</p> <p>Provide details/examples.</p>	<p>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.</p> <p>(0-25 points)</p>



TOTAL POINTS POSSIBLE: 80

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	Points based on positives:
8.1	Have written emergency response plans been developed for potential emergencies?	D	<p>Verified by review of emergency response plans applicable to the operations.</p> <p>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:</p> <ul style="list-style-type: none"> • Fire • Severe weather • Medical emergencies • Hazardous materials release • Violence • Suspicious persons • And other situations appropriate for the nature of the work being performed <p>Provide details/examples of emergencies identified.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of positive indicators.</p> <p>(0-10 points)</p>
8.2	<p>Do written emergency response plans include:</p> <ol style="list-style-type: none"> a. Communication systems? b. Emergency phone numbers? c. List of emergency response personnel? d. Appropriate Response? e. Monitoring the effectiveness of the plan? 	D	<p>Verified by review of emergency response plans and/or procedures.</p> <ol style="list-style-type: none"> 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, lockdown, muster point, shelter in place, equipment, etc.). e. A requirement to monitor the effectiveness of the plan through drills and actual responses. 	<p>Points are awarded based on 100% positive indicators from documentation for each sub-point.</p> <ol style="list-style-type: none"> a. (2 points) b. (2 points) c. (2 points) d. (2 points) e. (2 points)



			Notes must include examples of auditor findings to support the scores for each part of the question. Provide details/examples.	
8.3	Have employees received emergency response training appropriate to their individual responsibility?	I	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. Provide details/example(s).	Points are awarded based on the percentage of positive responses. (0-10 points)
8.4	Do employees understand their responsibilities under the emergency response plan?	I	Verified by employee interviews Interviewees must be able to describe how they would respond in the event of an emergency. Provide details/example(s).	Points are awarded based on the percentage of positive responses. (0-10 points)
8.5	Are emergency response drills conducted?	D	Verified by review of records. Records of drills must be kept. Drills are <i>required</i> 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 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. Provide details/example(s).	Points are awarded based on the percentage of positive indicators. (0-10 points)
8.6	Have deficiencies in the emergency response plan identified through a drill been corrected?	D	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. If points have not been awarded in question 8.5, then 0 points must be

			<p>This question may be marked not applicable (n/a) only if deficiencies were not identified from drills. Provide justification.</p> <p>Provide details/examples.</p>	<p>awarded for this question.</p> <p>(0-5 points)</p>
8.7	Have deficiencies in the emergency response plan identified through an actual emergency response been corrected?	D	<p>Verified by review of emergency response documentation.</p> <p>Notes must contain examples of how identified issues were corrected.</p> <p>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.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on percentage of positive indicators.</p> <p>(0-5 points)</p>
8.8	Do the numbers of employees trained in first aid meet legislated requirements?	D	<p>Verified by review of documentation.</p> <p>Refer to legislation (Alberta) or federal legislation if federally regulated employers, and review first aid certificates. To award points, the auditor must verify that legislated first aid requirements have been met across all shifts.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>(5 points)</p>
8.9	Do first aid equipment, supplies and facilities meet legislated requirements?	O	<p>Verified by observation.</p> <p>Equipment, supplies and facilities must meet the identified legislative requirements (Alberta) or Federal legislation for federally regulated employers</p> <p>The auditor must verify that legislated first aid obligations have been met at all visited sites and facilities.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from observations.</p> <p>(10 points)</p>
TOTAL POINTS POSSIBLE: 75				

ELEMENT 9: INCIDENT INVESTIGATION

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

Questions		DIO	Instructions	Points based on positives:
9.1	Is there a process that requires the reporting of incidents (including near miss), occupational illness, and work refusals?	D	<p>Verified by review of documentation.</p> <p>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.).</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>(5 points)</p>
9.2	Can employees explain the reporting procedures for incidents (including near miss), occupational illness, and work refusals?	I	<p>Verified by employee interviews.</p> <p>Interviewees must be able to explain the process for reporting incidents (including near miss), occupational illness, and work refusals.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of positive responses.</p> <p>(0-10 points)</p>
9.3	Are employees reporting incidents, occupational illnesses and work refusals?	D	<p>Verified by review of documentation.</p> <p>Review completed incident, occupational illness, and work refusal reports that support reporting is taking place.</p> <p>This question may be marked not applicable (n/a) if there were no incidents in the previous 12 months. Provide justification.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>(5 points)</p>
9.4	Are employees reporting near misses?	D	<p>Verified by review of documentation.</p> <p>Review completed near miss reports to support that reporting is taking place.</p> <p>If the employer is considered low hazard <u>AND</u> did not have a near miss in the previous 12 months, this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>(5 points)</p>

9.5	Is there a procedure for investigating incidents (including near miss), occupational illness, and work refusals?	D	<p>Verified by review of documentation.</p> <p>The procedure must include:</p> <ul style="list-style-type: none"> • how to investigate incidents (near misses), occupational illness, work refusals • how to identify root causes • the requirement to implement corrective actions <p>Provide details/example(s).</p>	Points are awarded based on 100% positive indicators from documentation. (5 points)
9.6	Have the individuals leading investigations been trained in investigation techniques?	D	<p>Verified by review of completed investigation records and training records.</p> <p>Review training records of individuals who have completed investigation reports and confirm they have received training.</p> <p>Provide details/example(s).</p>	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. (0-5 points)
9.7	Do managers/supervisors participate in investigations?	I	<p>Verified by manager/supervisors' interviews.</p> <p>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.</p> <p>If the organization does not have supervisors, this question can be asked to only managers.</p> <p>Provide details/example(s).</p>	Points are awarded based on the percentage of positive responses. (0-10 points)
9.8	Do workers participate in the investigation process?	I	<p>Verified by worker interviews.</p> <p>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.</p> <p>Note: Participation must be more than the injured worker or witness.</p> <p>Provide details/example(s).</p>	Points are awarded based on the percentage of positive responses. (0-10 points)



<p>9.9</p>	<p>Do investigations:</p> <ul style="list-style-type: none"> a. Identify underlying factors? (0-5 points) b. Recommend corrective actions? (0-5 points) 	<p>D</p>	<p>Verified by reviewing completed investigation reports.</p> <ul style="list-style-type: none"> 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.) <p>If there have been no investigations required in the previous 12 months, refer to blank investigation forms or the investigation process.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of reviewed investigation reports that identify causes and recommend corrective action.</p> <ul style="list-style-type: none"> a. (0-5 points) b. (0-5 points)
<p>9.10</p>	<p>Are corrective actions identified in investigation reports implemented to prevent reoccurrence?</p>	<p>D, O</p>	<p>Verified by review of documentation and observing results of corrective actions implemented.</p> <p>If corrective actions include administrative controls, implementation may be confirmed through documentation (e.g. training, memos, safety bulletins, etc.).</p> <p>For corrective actions that are observable, award points that confirms implementation compared to the corrective actions identified.</p> <p>Score: 0-5 points for documentation 0-10 points for observation</p> <p>If corrective actions are not observable, the observation portion of this question may be marked not applicable (n/a). Provide justification.</p> <p>Provide details/example(s).</p>	<p>Documentation points are awarded based on the percentage of corrective actions reviewed in question 9.9b that can be verified as implemented.</p> <p>Observation points are awarded based on the percentage of implemented observable corrective actions reviewed in 9.9b.</p> <ul style="list-style-type: none"> (0-5 points documentation) (0-10 points observation)



9.11	Are investigations completed in a timely manner?	D	<p>Verified by review of investigation reports.</p> <p>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).</p> <p>If no investigations have been required in the previous 12 months, review the process to determine that the employer indicates timeliness.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on percentage of positive indicators.</p> <p>(0-5 points)</p>
9.12	Do managers/supervisors ensure investigations are complete as required by the investigation procedures?	D	<p>Verified by review of investigation reports.</p> <p>Investigation reports should be complete, including identifying causes and implementing corrective actions as outlined in the investigation procedure verified in question 9.5.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on percentage of positive indicators.</p> <p>(0-5 points)</p>
9.13	Are completed investigation reports/results communicated to employees?	I	<p>Verified by employee interviews.</p> <p>Interviewees must be able to describe how investigation results are communicated.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on the percentage of positive responses.</p> <p>(0-10 points)</p>
<p>TOTAL POINTS POSSIBLE: 100</p>				



ELEMENT 10: SYSTEM ADMINISTRATION

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

Questions		DIO	Instructions	Points based on positives:
10.1	<p>Is there a system to confirm:</p> <ul style="list-style-type: none"> a. Management communicates health and safety issues to workers? b. Workers can provide feedback on health and safety issues? 	I	<p>Verified by worker interviews.</p> <ul style="list-style-type: none"> 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.) <p>Provide details/example(s).</p>	<p>Points are awarded based on percentage of positive response.</p> <ul style="list-style-type: none"> a. (0-10 points) b. (0-10 points)
10.2	<p>Is health and safety information readily available to employees?</p>	I	<p>Verified by employee interviews.</p> <p>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.</p> <p>Provide details/example(s).</p>	<p>Points are awarded based on percentage of positive responses.</p> <p>(0-5 points)</p>
10.3	<p>Are health and safety records/statistics analyzed to identify trends on at least an annual basis?</p>	D	<p>Verified by review of documentation.</p> <p>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.</p> <p>Notes must provide details/examples of the records/statistics being analyzed, and any trends/gaps identified by the employer.</p> <p>Provide details/examples.</p>	<p>Points are awarded based on 100% positive indicators from documentation.</p> <p>(10 points)</p>
10.4	<p>Is senior management/management held</p>	I	<p>Verified by senior manager and manager interviews.</p>	<p>Points are awarded based on a minimum</p>



	accountable for the implementation of the OHSMS?		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. Provide details/example(s).	80% positive interview results. (5 points)
10.5	Is an OHSMS evaluation or action plan completed at least annually?	D	Verified by review of previous evaluations. Evaluations or action plans must be completed annually to support continuous improvement. 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).	Points are awarded based on 100% positive indicators from documentation. (5 points)
10.6	Are results from the OHSMS evaluation or action plan communicated to employees?	I	Verified by employee interviews. Interviewees must be able to describe how the evaluation or action plan results are communicated to them. 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).	Points are awarded based on percentage of positive responses. (0-10 points)
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 <u>must</u> include: <ul style="list-style-type: none"> • measurable 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?		Verified by review of documentation.	



	(0-10 points)	<p>Verify if the items identified in question 10.7 have been initiated or implemented.</p> <p>Points awarded are based on the percentage of items initiated and/or completed on the plan.</p> <p>This question may be marked not applicable (n/a) if question 10.7 has been marked not applicable. Provide justification.</p> <p>Provide details/example(s).</p>	
TOTAL POINTS POSSIBLE: 70			



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.



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.



GLOSSARY OF TERMS

Audit	<p>An evaluation of an organization’s health and safety management system against an approved standard.</p> <p>Audit Types:</p> <p>Baseline Audit: an evaluation using a standard audit instrument and intended as a preliminary review of an 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 (COR).</p> <p>Maintenance Audit: a formal health and safety evaluation conducted by a certified auditor for an employer to maintain their COR status between recertifications.</p> <p>Qualification Audit: a formal health and safety evaluation conducted by an auditor candidate pursuing auditor certification.</p>
Auditor	An individual certified by a Certifying Partner to conduct health and safety audits.
Audit Start Date	The date the auditor receives access (on or off site) to an employer’s health and safety documentation for the purpose of auditing the employer’s health and safety management system. This can be paper or electronic. This does not include activities to define the audit scope.
Audit End Date	The date the auditor concludes the review of documentation, interviews, and observations for the purpose of auditing the employer’s health and safety management system.
Best Practice	An agreed-upon method for conducting a specified task - usually established by industries, trades, or groups of peers.
Boilerplating	This practice involves copying all or a portion of an audit report from one audit and then re-using it for another audit, making very few changes.
Code of Ethics	Statement which defines the ethical behaviors expected from a group or individual.
Code of Practice	Selection of appropriate regulations and procedures specific to hazardous work.
Competent Worker	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.



Continuous Improvement	Always striving to innovate, implement and improve on current conditions.
Contractor	A person, partnership or group of persons who, through a contract, an agreement or ownership, directs the activities of one or more employers or self-employed persons involved in work at a work site.
Critical Task	A task with high potential for serious loss or injury.
Documentation Review	A validation method used in 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).
Harassment	Any single incident or repeated incident of objectionable or unwelcome conduct, comment, bullying or action by a person that the person knows or ought reasonably to know will or would cause offence or humiliation to a worker, or adversely affects the worker's health and safety.
Hazard	<p>A situation, condition or thing that may be dangerous to health and safety. These can include physical, chemical, biological, or psychological hazards that have the potential to cause harm.</p> <p>Health Hazard: Has the potential to cause an acute or chronic condition, illness, or disease from exposure (e.g. noise, dust, heat, etc.).</p> <p>Safety Hazard: Has the potential to cause immediate injury (e.g. shear points, working at heights, etc.).</p>
Hazard Assessment	<p>A written process to recognize existing and potential hazards at work before they cause harm to people or property.</p> <p>Formal Hazard Assessment: Involves a step-by-step, ongoing process to identify hazards, evaluate risk (in order to prioritize hazards), and determine and assess control measures for an organization's overall operations.</p> <p>Site-Specific Hazard Assessment: The process to check for the introduction of any unexpected hazards, or hazards for which additional controls may be needed. These are used when:</p> <ul style="list-style-type: none"> • work is conducted at temporary/mobile work sites, • workers are conducting activities at a work site not owned by their employer, and/or • a new activity has been temporarily introduced at the work site.
Hazard Control	<p>Methods used to eliminate or control loss:</p> <p>Engineering Controls: Preferred method of hazard control if elimination is not possible; physical controls are implemented at the design, installation, or engineering stages (e.g. guards, auto shutoff, etc.).</p>



	<p>Administrative Controls: Processes developed by the employer to control hazards not eliminated by engineering controls (e.g. safe work policies, practices and procedures, job scheduling or rotation, etc.).</p> <p>Personal Protective Equipment (PPE): equipment used, or clothing worn by a person for protection from health 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.</p>
Health and Safety	Health and safety includes physical, psychological, and social well-being.
Health and Safety Program	A coordinated system of procedures, processes and other measures designed to be implemented by organizations in order to promote continuous OHS improvement, as required by the OHS Legislation.
Health and Safety Representative (HS representative)	A worker who is designated as the health and safety representative for an employer as required by OHS Legislation.
Occupational Health and Safety Management System (OHSMS)	A health and safety management system is a mature OHS program that is fully integrated into the culture, values, identity, and everyday operations of a workplace. A health and safety management system is led by employers, enacted by everyone in a workplace, and continually evaluated and improved through regular, formal assessments
Incident	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	A validation method used in a health and safety audit to gather and verify information about an organization's health and safety system. Includes either formal discussion using standard questions, or a questionnaire.
Job	The position or role a person has in an organization.
Job Inventory	A list of all jobs produced from a systematic review of the organization's operations.
Job Specific Training	Training provided to support the safe and healthy performance of tasks related to a job.
Legislation	Provincial or federal government standards in the form of written acts, regulations, and codes.

Joint Work Site Health and Safety Committee (HSC)	A committee composed of workers and employer representatives as required by OHS Legislation.
Manager	A person who directs (and/or supervises) the affairs of a business, office, or organization.
Near Miss	An undesired event that under slightly different circumstances could have resulted in personal harm, property damage, or loss.
Observation	A validation method used in a health and safety audit designed to allow an auditor to observe and verify specific conditions at a work site.
Orientation	A process used to familiarize employees to an organization and communicate the employer's expectations and critical information about a new job or situation.
Policy	The documented principles by which an organization is guided in its management of affairs and overall commitment.
Readily Available Documentation	Documentation that can be accessed in paper form or is downloaded or stored electronically.
Records	Employer documents retained on file as proof of activities.
Risk	The chance of injury, damage, or loss.
Right to Refuse Dangerous Work	A worker may refuse to do particular work at a work site if the worker believes on reasonable grounds that there is a dangerous condition at the work site or that the work constitutes a danger to the worker's health and safety or to the health and safety of another worker or another person.
Root Cause	The absence of a best practice or failure to apply knowledge that would have prevented the problem. The process and/or management level deficiencies 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.
Self-Employed Person	A person who is engaged in an occupation but is not in the service of an employer for that occupation.



Senior Manager	The most senior person(s) accountable for the operation under the scope of the audit.
Site Familiarization	Brief escorted tour or discussion to allow the auditor to become familiar with the work site(s) and any areas where special caution is required.
Supervisor	A person who has charge of a work site or authority over a worker. Supervisor is a function, not necessarily a job or job title.
Temporary Staffing Agency	An employer who retains workers and deploys or facilitates the placement of those workers with other employers.
Task	Any activity related to a specific job.
Team Audit	More than one auditor participating in the audit.
Templating	This practice involves using pre-crafted ready-made notes and recommendations for multiple audit reports. These notes and recommendations may be modified to include some specific findings but are for the most part unoriginal.
Train (or any similar word or term)	Give information and explanation to a worker with respect to a particular subject-matter and to require a practical demonstration that the worker has acquired knowledge or skill related to the subject-matter.
Unsafe Act	Inappropriate action taken by a person that could result in loss.
Unsafe Condition	A condition that could result in loss.
Violence	Threatened, attempted or actual conduct of a person that causes or is likely to cause physical or psychological injury or harm, and includes domestic or sexual violence.
Visitor	Any person present at the work site who is not under the direct control of the employer (e.g. courier). This does not include customers (e.g. students, hotel guests, etc.).
Worker	For COR audit purposes, any person engaged in a job who is not a manager or supervisor. This may include volunteers.
Worker Participation	Active involvement of workers in work site health and safety activities such as safety discussions, inspections, investigations, health and safety committees, etc.
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.



Work Site Parties	Every workplace is unique and any of the following can be considered a work site party: employers, supervisors, workers, suppliers, service providers, owners, contractors, prime contractors, temporary staffing agencies, and self-employed persons. Reference OHS Legislation.
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Organizational chart -the requirement for the organization chart is that everyone is included so their positions and the reporting structure. Not specific names but titles so they know who reports to who.

Clarification regarding HS representatives and HS Committees as per Partnerships OHS Policy - A ‘supervisor’ or management staff are to be included in determining the threshold for application of HSC or HSR. An individual working at a site can be a ‘worker’ party in a certain situation and a ‘supervisor’ in another situation - depending on the work involved. The application of the legislation is that it is the total number of workers at every level must be included when determining if a committee or rep is required. Please refer to <https://www.alberta.ca/work-site-health-safety-committees.aspx> for more information in determining if your organization requires a HS representative or a HS Committee.

Strength: Should be provided for each element where at least 1 question has scored 100%. Strengths must:

- Be meaningful
- Contain company specific information/detail
- Include detail as to how and/or why the statement is considered a strength to the organization and/or their OHSMS.

Suggestions for Improvement : Must be provided for each question which has scored below 85%. Suggestions must:

- Be worded as recommendations only
- Be meaningful
- Contain company specific information/detail
- Include an outcome and/or benefit

