

MHSA COR Audit Guidelines

Section 1 – Health and Safety Policy and Responsibilities

1.1 Is there is a comprehensive company health and safety policy?

Scoring: (0- 5pts)

Range of Scoring. Award 1 point per criteria achieved in the company health and safety policy statement.

Verified by Documentation

Auditors must read the health and safety policy. The policy must contain these 5 criteria:

1. Current Senior Management **signature**
2. Policy is **dated** within 3 years
3. **Statement(s) of the management commitment** to health and safety that addresses physical, psychological, and social well-being of employees
4. **Statement of health and safety responsibilities** of managers, supervisors, workers, and contractors
5. **Statement of compliance** that all employees will comply with applicable OHS legislation and company's own health and safety program

Auditor Note Requirements:

Answer yes or no. (If no, there can be partial points awarded). State which of the 5 criteria were met. State which of the 5 criteria were not met, if applicable.

1.2 Is the Health and Safety policy readily available to employees?

Scoring: (3 pts)

All or Nothing. Award points if the company health and safety policy is observable and accessible to all employees at each of the company's audited worksites.

Verified by Observation

The current health and safety policy must be visible to all employees at all company worksites. 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.

Auditor Note Requirements:

Answer yes or no. Describe the physical location(s) of the company health and safety policy at the worksite(s). And/or provide a description of the online access to the company health and safety policy to all employees. Explain how the policy is made accessible to all employees.

1.3 Is the health and safety policy communicated to employees?

Scoring: (3pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

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Verified by (SM/M, S and W) Interviews

Interviewees must describe the communication process and how they ensure the health and safety policy is communicated to all employees.

Auditor Note Requirements:

Answer yes or no. Provide 1 example of an interview response of how and when the company's health and safety policy is communicated to employees.

1.4 Are employees aware of the health and safety policy's content?

Scoring: (4 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

The employees do not have to recite the policy. Verify that employees can explain at least 2 of the policy's key points in their own words.

Auditor Note Requirements:

Answer yes or no. Provide 2 examples of the company's health and safety policy content from **(SM/M, S and W)** interview responses.

1.5 Have specific health and safety responsibilities been written for all levels of the company?

Scoring: (4 pts)

All or Nothing. Award points if the company has written health and safety responsibilities for all: senior managers, managers, supervisors and workers, if applicable. If the company does not have health and safety responsibilities for the identified senior managers, managers, supervisors, and workers, score 0 points.

Verified by Documentation

Refer to job descriptions, health and safety manual, employee manual, etc. There must be Health and Safety responsibilities for all levels within the organization. Example:

- Senior Managers
- Managers
- Supervisors
- Workers

Auditor Note Requirements:

Answer yes or no. State one example of a specific health and safety responsibility from each level of the company.

1.6

- a. Do employees at all levels understand their individual OHS rights (right to know, right to participate, and the right to refuse dangerous work)?
- b. Do employees understand their company-assigned health and safety responsibilities?
- c. Are employees knowledgeable about OHS legislation applicable to their work and any work they oversee?

Scoring: (a=3 pts, b=3 pts, and c=3 pts)

All or Nothing. Scoring calculation is automated based on the interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

- a. Employees must be able to identify **the three** OHS rights (right to know, right to participate, right to refuse dangerous work)
- b. Employees must be able to identify **two** company health and safety responsibilities (e.g., reporting incidents, follow working alone procedures, participate in inspections, taking required training, etc.).
- c. Employees must be able to explain **at least two** of their legislated responsibilities that applies to the work they do

Auditor Note Requirements

- a. Answer yes or no. Provide 2 interview examples that employees understood their individual OHS rights from **(SM/M, S, W)** interview responses.
- b. Answer yes or no. Provide 2 interview examples of company assigned health and safety responsibilities from **(SM/M, S, W)** interview responses.
- c. Answer yes or no. Provide 2 interview examples of legislated responsibilities from **(SM/M, S, W)** interview responses.

1.7 Do senior managers / managers and supervisors understand their responsibility for the safety and protection of the workers *under their supervision*?

Scoring: (3 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Senior managers/managers and supervisors must be able to explain **at least 2** of their health and safety responsibilities for the safety and protection of the workers *under their supervision*.

Auditor Note Requirements:

Answer yes or no. Provide 1 **(SM/M, S)** interview example of a senior manager/management, supervisor health and safety responsibility for the safety and protection of the workers *under their supervision*.

1.8 Are employees evaluated on their individual health and safety performance?

Scoring: (3 pts)

All or Nothing. Points are only awarded if documentation and interview criteria are both met.

For Documentation: There must be documented evidence that evaluates employee health and safety performance at all levels of the company.

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For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by Documentation & by (SM/M, S, W) Interviews

For Documentation: This may include:

- Performance appraisals
- Discipline process for non-performance
- Memo with letter from employer
- Positive reinforcement by management
- Job safety observations
- Management and supervisor review

For Interviews: Employees at all levels must be able to explain how they are evaluated on their health and safety performance.

Auditor Note Requirements:

For Documentation: Answer yes or no. Provide 1 example of how employees are evaluated on their health and safety performance.

For Interview: Answer yes or no. Provide 1 **(SM/M, S, W)** interview example of how employees have been evaluated on their health and safety performance.

1.9 Is the current health and safety legislation accessible to all employees?

Scoring: (3 pts)

All or Nothing. Award points if the OHS legislation is current (please refer to www.alberta.ca/ohs for most current version), and observable and accessible to all employees at all the company's worksites. **If selecting N/A, please justify the reason in the note.**

Verified by Observation

Verify during the observation tour that copy(s) of the current Alberta occupational health and safety legislation must be observed to be available to all employees at all the company's worksites.

Auditor Note Requirements:

Answer yes or no. Describe the physical location(s) of the legislation and the dates of the Act, Regulation and Code available in hard copy and/or digital saved copy. Explain how the legislation is made accessible to all employees.

1.10 Does management communicate health and safety issues to employees at least monthly?

Scoring: (3 pts)

All or Nothing. Points are only awarded if documentation and interview criteria are both met.

For Documentation: In the past 12 months there must be at least 10 months in which documented health and safety meetings were conducted. These meetings must be documented with attendees' names and their signatures, meeting content detailed, and signed by senior management.

For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

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Verified by Documentation & by (W) Interview

For Documentation: Monthly health and safety meetings must be conducted with ALL staff – not just ‘high-risk’ employees working with equipment and machinery. Review completed health and safety meeting records. Employees must have verification of attendance. **If the company’s policy frequency for health and safety meetings is greater than monthly, award points if there is 80% or greater compliance.*

For Interviews: Workers must know the frequency that health and safety is communicated. This can be at toolbox meetings, etc.

Auditor Note Requirements

For Documentation: Answer yes or no. State the number of health and safety meetings that have been conducted in the past 12 months. State the frequency when these meetings were scheduled and conducted. Provide the date of 1 health and safety meetings and 2 examples of meeting content.

For Interview: Answer yes or no. Provide the 1 (W) interview example of how often health & safety is communicated.

1.11 Can employees provide feedback on health and safety issues?

Scoring: (3 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (W) Interview

Workers must be able to describe how they are able to give feedback on health and safety issues (e.g. health and safety meetings, toolbox meetings, contact with supervisor, etc.)

Auditor Note Requirements

Answer yes or no. Provide 2 (W) interview examples of how employees can provide feedback on health and safety issues.

**Note: a minimum of 1 suggestion for improvement (SFI) and 1 existing strength (ES) must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 2 – Hazard Assessments – Formal and Field Level

2.1 Does the company organizational chart match the employee job list?

Scoring: (0-10 pts)

Range of Points - Cascading Score. Points are awarded based on the percentage of jobs on the job list that match the organizational chart. Enter the percentage of jobs on the list that match the organizational chart. There may be jobs not filled. Points are not deducted for this. **Scoring for questions 2.2, 2.3, and 2.4 are based on the scoring of this question.**

Verified by Documentation

Compare the organizational chart with the company employee job list. All the same jobs must be listed in both documents.

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This is to ensure there are formal hazard assessments completed for all jobs and none have been missed.

* If there is an afternoon or evening shift, ensure any additional job titles are included.

**The scope of the audit includes employees who work at Alberta COR audit location(s), only. If there are job titles that apply to positions outside of Alberta, disregard them for the purposes of this audit.*

Auditor Note Requirements:

Answer yes or no. (If no, there can be partial points awarded based on the percentage entered). State the number of jobs in the organizational chart and provide 1 example. State the number of jobs in the job list and provide 1 example. State whether all the same jobs listed in the organizational chart are listed in the job list. If not, state the exceptions.

2.2 Does each job have a task list?

Scoring: (0-10 pts as available per the score given to 2.1)

Range of Points – Cascading Score. Points are awarded based on the percentage of task lists identified. Input the percentage of jobs that have task lists. **Score will automatically adjust if less than full points awarded in the previous question.*

Verified by Documentation

Each job must have a list of tasks. This could be done through a spreadsheet matrix, separate lists per job, etc. Task lists may be grouped into an occupation such as Administrative Staff – which could include the jobs of reception, payroll, accounts receivable/payable, etc.

Auditor Note Requirements:

Answer yes or no. (If no, there can be partial points awarded based on the percentage entered). State examples of two jobs that have task lists. State all jobs that do not have a task list, if applicable.

2.3 Do tasks have a formal hazard assessment completed to identify:

- a. health hazards**
- b. safety hazards**

Scoring: (a=5 pts and b=5 pts as available per the score given to 2.2)

Range of Points – Cascading Score. Input the percentage of tasks that have a completed formal hazard assessment identifying:

- a. health hazards.
- b. safety hazards.

**Score will automatically adjust if less than full points awarded in the previous question.*

Verified by Documentation

Review the task lists in question 2.2:

- a. tasks must have a formal hazard assessment completed that identify health hazards.
- b. tasks must have a formal hazard assessment completed that identify safety hazards.

Auditor Note Requirements:

- a. Answer yes or no. (If no, there can be partial points awarded based on the percentage entered) Provide 1 example of a formal hazard assessment completed and an identified health hazard.
- b. Answer yes or no. (If no, there can be partial points awarded based on the percentage entered) Provide 1 example of a formal hazard assessment completed and an identified safety hazard.

2.4 Have the identified health and safety hazards been evaluated based on a risk rating?

Scoring: (0-10 pts as available per the score given to 2.3)

Range of Points – Cascading Score. Points are awarded based on the percentage of tasks that have risk ratings for health and safety hazards. Input the percentage of formal hazard assessments that have a risk rating for all tasks and/or health and safety hazards. **Score will automatically adjust if less than full points awarded in the previous question.*

Verified by Documentation

Review the tasks and health and safety hazards in question 2.3. Ensure they have been assessed with a risk rating system. The risk rating system will determine the order of importance for implementing controls. The risk rating system must also have at *least two different risk factors such as frequency, impact, likelihood, consequence, etc.* The risk rating system may be quantitative (numerical 1-2-3) or may be qualitative (high-medium-low), or a combination of both.

Auditor Note Requirements:

Answer yes or no. (If no, there can be partial points awarded based on the percentage entered). Describe the risk-rating system. Provide 1 example of a health hazard that is evaluated according to risk. Provide 1 example of a safety hazard that is evaluated according to risk. Alternatively, if the task has been risk rated, then provide 1 example of a task and the risk rating assigned.

2.5 Do the following participate in the formal hazard assessment process:

- a. Managers
- b. Supervisors
- c. Workers

Scoring: (a=3 pts, b=3 pts, and c=3 pts)

All or Nothing. Points are only awarded if documentation and interview criteria are both met. For documentation: Documentation must verify involvement in the formal hazard assessment process by:

- a. Managers
- b. Supervisors
- c. Workers

*If the company does not have supervisors, question 2.5b can be marked n/a. **If selecting N/A, please justify the reason in the note.** For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by Documentation & by (SM/M, S, W) Interviews

For Documentation: A review of documents may include completed formal hazard assessments, safety meeting minutes, health and safety committee participation, new employee orientations, etc.

For Interviews: Employees must be able to describe how they or their co-workers participate in the hazard assessment process. Examples of involvement may include the development or review/revision of a safety meeting or joint health and safety committee meeting.

Auditor Note Requirements:

For Documentation: Answer yes or no. Provide 1 documentation example of:

- a. Manager involvement in the formal hazard assessment process.
- b. Supervisor involvement in the formal hazard assessment process. **2.5b can be marked n/a if there are no supervisors in the company.**
- c. Worker involvement in the formal hazard assessment process.

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For Interviews: Answer yes or no.

- a. Provide 1 **(SM/M)** interview example of manager involvement in the formal hazard assessment process.
- b. Provide 1 **(S)** interview example of supervisor involvement in the formal hazard assessment process. **2.5b can be marked n/a if there are no supervisors in the company.**
- c. Provide 1 **(W)** interview example of worker involvement in the formal hazard assessment process.

2.6 Are employees trained who lead the formal hazard assessment process?

Scoring: (3 pts)

All or Nothing. Points are awarded if documentation verifies 'lead' employees have completed training on the hazard assessment process.

Verified by Documentation

Employees who lead the formal hazard assessment process (e.g. managers, supervisors, team leaders, etc.) must be trained. Refer to completed formal hazard assessments to identify involvement of 'lead' employees who oversee the hazard assessment process. Then refer to the training records to determine if these employees have been trained. Training may be done internally or by a third-party provider.

Auditor Note Requirements:

Answer yes or no. State *how* 'lead' employees are trained in the hazard assessment process. Provide 2 examples.

2.7 Is there a policy and/or written process to review formal hazard assessments?

Scoring: (2 pts)

All or Nothing. The company must have a documented policy and/or process that is to be followed for reviewing formal hazard assessments. ALL 6 required criteria must be included.

Verified by Documentation

Documentation **must** confirm that the hazard assessment review policy and/or process includes ALL the following 6 criteria:

1. On a pre-determined frequency to keep results up to date
2. When changes are made to the operation or work-related process
3. When a new work process is introduced
4. When field level hazard assessments identify a new hazard
5. When an inspection identifies a new hazard
6. When an investigation identifies a new hazard

Auditor Note Requirements:

Answer yes or no. State how many of the 6 required criteria were met in the policy and/or written process. State which of the criteria were not met in a policy and/or procedure, if applicable.

2.8 Is there a policy and/or process for conducting field level hazard assessments when:

- a. A new activity has been temporarily introduced
- b. Work is conducted at a temporary/ mobile worksite (whether owned by the employer or not)

Scoring: (a=2 pts and b=2 pts)

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All or Nothing.

- a. Award points if there is a process for conducting field level hazard assessments when a new activity is temporarily introduced. **This question cannot be marked n/a.*
- b. Award points if there is a process for conducting field level hazard assessments when work is conducted at a mobile worksite. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation

- a. **Question "2.8a" cannot be made not applicable (n/a).** A policy and/or process for conducting field level hazard assessments must be in place to evaluate actual and potential hazards introduced by a new activity. This would include any site-specific changes.
- b. A policy and/or process for conducting FLHA's at temporary or mobile worksites must be in place to evaluate actual and potential hazards introduced at the worksites.

Auditor Note Requirements:

- a. Answer yes or no. **This question cannot be marked n/a.** State if there is a policy and/or process for field level hazard assessments when a new activity has been introduced. Describe this process.
- b. Answer yes or no or n/a. If question **2.8b** is not applicable n/a, auditor notes must explain why. State if there is a policy and/or process for field level hazard assessments when work is conducted at a temporary/mobile worksite (whether owned by the employer or not). Describe the policy and/or process.

2.9 Are field level hazard assessments

- a. Conducted before work begins on the day of the job**
- b. Repeated if changes are introduced**

Scoring: (a=2 pts and b=2 pts)

All or Nothing.

- a. Award points if field level hazard assessments are completed before work begins.
- b. Award points if field level hazard assessments are repeated as changes are introduced.

If selecting N/A, please justify the reason in the note.

Verified by Documentation

Review completed field level hazard assessments. Points are awarded if the documentation is in place. * This includes FLHAs completed by contracting employers.

Auditor Note Requirements:

- a. Answer yes or no or n/a. State if field level hazard assessments are done on the day of the job, before work begins. Provide one example and detail the dates/time it was completed.
- b. Answer yes or no or n/a. State if field level hazard assessments are repeated when changes are introduced to the worksite. Provide one example and detail the dates/time it was completed.

2.10 Do field level hazard assessments involve affected employees?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated, based on interview results. Points are awarded if 70% or greater of the interview responses are positive. **If selecting N/A, please justify the reason in the note.**

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Verified by (SM/M, S, W) interviews

Employees must be able to describe how they or their co-workers are involved in the field level hazard assessment process. This question can be marked not applicable (n/a), if the employer has not needed to conduct a field level hazard assessment in the past 12 months.

Auditor Note Requirements:

Answer yes or no or n/a. If this question is n/a then explain why. Provide 1 (SM/M, S, W) interview example of employee involvement in field level hazard assessments.

**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue, a recommendation to remedy the issue and how it will benefit the company.*

Section 3 – Hazard Controls

3.1 In the formal hazard assessments, have hazard controls been identified for health hazards, including Engineered, Administrative, and PPE controls, where applicable?

Scoring: (0-5 pts as available per the score given to 2.3a.)

Range of Scoring – Cascading Score. Input the percentage of hazards for which controls have been identified in question 2.3a. Formal hazard assessments must identify hazard controls for each health hazard identified, including engineered, administrative and PPE controls – where applicable. Points are awarded based on the percentage of hazards for which controls have been identified in question 2.3a. The maximum points allowed for this question will be determined by the percentage awarded in question 2.3a.

Verified by Documentation

(Refer to Questions 2.3a for identified health hazards.) Formal hazard assessments must identify hazard controls for existing and potential **HEALTH** hazards - where applicable. **Examples of Engineered Health Hazard Controls:** ergonomic chairs and mats, levers for machine adjustments, localized ventilation. **Examples of Administrative Health Hazard Controls:** 2-man lifts, safe work protocols, audiometric testing. **Examples of PPE Health Hazard Controls:** supplied air and full-face respirators, disposable and molded earplugs.

Auditor Note Requirements:

Answer yes or no. (If no, there can be partial points awarded based on the percentage entered.) Provide 1 example of an Engineered HEALTH hazard control from the completed formal hazard assessments. Provide 1 example of an Administrative HEALTH hazard control from the completed formal hazard assessments. Provide 1 example of a PPE HEALTH hazard control from the completed formal hazard assessments.

3.2 In the formal hazard assessments, have hazard controls been identified for safety hazards, including Engineered, Administrative, and PPE controls, where applicable?

Scoring: (0-5 pts as available per the score given to 2.3b.)

Range of Scoring – Cascading Score. Input the percentage of hazards for which controls have been identified in question 2.3b. Formal hazard assessments must identify hazard controls for each safety hazard identified, including engineered, administrative and PPE controls – where applicable. Points are awarded based on the percentage of hazards for which

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controls have been identified in question 2.3b. The maximum points allowed for this question will be determined by the percentage awarded in 2.3b.

Verified by Documentation

(Refer to Question 2.3b for identified safety hazards.) Formal hazard assessments must identify hazard controls for existing and potential **Safety** hazards - where applicable. **Examples of Engineered Safety Hazard Controls:** guards on grinders, laser shut off, localized lighting, welding screens, grates on floors and stairs for grip. **Examples of Administrative Safety Hazard Controls:** safety signage, load capacity plates, emergency stop buttons, WHMIS program, worksite inspections, hazard assessments. **Examples of PPE Safety Hazard Controls:** steel toed safety footwear, face-shields, welding helmets.

Auditor Note Requirements:

Answer yes or no. (If no, there can be partial points awarded.) Provide 1 example of an Engineered SAFETY hazard control from the completed formal hazard assessments. Provide 1 example of an Administrative SAFETY hazard control from the completed formal hazard assessments. Provide 1 example of a PPE SAFETY hazard control from the completed formal hazard assessments.

3.3 Have the identified Engineered hazard controls been:

- a. implemented with high-risk hazards given priority
- b. correctly used

Scoring: (a=4 pts and b=4 pts)

All or Nothing.

- a. Points are only awarded if documentation and observation criteria are both met. For Documentation: Implemented engineered controls for both health and safety hazards must be documented. For Observation: The auditor must observe the engineered hazard controls for both health and safety hazards are implemented.
- b. Award points if engineered hazard controls sampled from formal hazard assessments are being correctly used by employees. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation & by Observation

- a. For Documentation: Engineered hazard controls must be identified in a hazard assessment. Health Examples: ergonomic chairs, mats, localized ventilation, sound barriers, etc. Safety Examples: guarding, laser shut off, localized lighting, welding screens, floor grates, stair grips, etc.
For Observation: Identified engineered hazard controls must be implemented.
- b. For Observation: Refer to question 3.1 to obtain a sample of four (4) engineered hazard controls and verify through observation that they are being correctly used. **Auditors must include high hazard items in the sample to verify they have been given priority.*

Auditor Note Requirements:

- c. For Documentation: Answer yes or no. Provide 1 example of an identified health engineered hazard control.
Provide 1 example of a safety engineered hazard control.
For Observation: Answer yes or no. Provide 1 observed example of health engineered hazard controls.
Provide 1 observed example of a safety engineered hazard control.
- d. For Observation: Answer yes or no or n/a. (If n/a, explain why.) Provide 1 observed example of an engineered hazard control in correct use.

3.4 In formal hazard assessments are identified Administrative hazard controls:

- a. implemented with high-risk hazards given priority
- b. correctly used

Scoring: (a=4 pts and b=4 pts)

All or Nothing.

a. Points are only awarded if documentation and observation criteria are both met. Implemented administrative controls for both health and safety hazards must be documented.

b. Award points if administrative hazard controls sampled from formal hazard assessments are being correctly used by employees. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation & by Observation

- a. For Documentation & Observation: Auditors must verify identified administrative hazard controls identified in formal hazard assessments are implemented. **Health Examples:** housekeeping policy, WHMIS training, safety signage. **Safety Examples:** safety rules, safe work procedures, preventative maintenance program.
- b. For Observation: Refer to question 3.1 to obtain a sample of four (4) administrative hazard controls and verify through observation that they are being correctly used. **Auditors must include high hazard items in the sample to verify they have been given priority.*

Auditor Note Requirements:

a. For Documentation: Answer yes or no. Provide 1 example of an implemented health administrative hazard control. Provide 1 example of a safety administrative hazard control.

For Observation: Answer yes or no. Provide 1 observed example of health administrative hazard control.

Provide 1 observed example of a safety administrative hazard control.

b. For Observation: Answer yes or no or n/a. (If n/a, explain why.) Provide 1 observed example of an administrative hazard control in correct use.

3.5 In formal hazard assessments are identified PPE hazard controls:

- a. implemented with high-risk hazards given priority
- b. correctly used

Scoring: (a=4 pts and b=4 pts)

All or Nothing

a. Points are awarded if documentation and observation criteria are both met. Implemented PPE controls for both health and safety hazards must be documented.

b. Award points if all PPE hazard controls sampled from formal hazard assessments are observed being correctly used by employees. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation & by Observation

a. For Documentation: Auditors must verify PPE hazard controls identified in formal hazard assessments are implemented. **Health Examples:** supplied air and full-face respirators, disposable earplugs. **Safety Examples:** steel toed safety footwear, face-shields, welding helmets.

For Observation: Auditors must verify PPE hazard controls identified in formal hazard assessments are implemented.

b. Observation: Refer to question 3.1 to obtain a sample of four (4) PPE hazard controls and verify through observation that they are being correctly used. **Auditors must include high hazard items in the sample to verify they have been given priority.*

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Auditor Note Requirements

- a. For Documentation: Answer yes or no. Provide 1 example of an implemented health PPE hazard control.
Provide 1 example of a safety PPE hazard control.
For Observation: Answer yes or no. Provide 1 observed example of health PPE hazard controls.
Provide 1 observed example of a safety PPE hazard control.
- b. For Observation: Answer yes or no or n/a. (If n/a, explain why.) Provide 1 observed example of a PPE hazard control in correct use.

3.6 Are controls identified from the results of field level hazard assessments?

Scoring: (2 pts)

All or Nothing. Award points if *completed* field level hazard assessments identify hazard controls. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation

Completed field level hazard assessment records must identify hazard controls. This includes FLHAs completed by contracting employers.

Auditor Note Requirements:

Answer yes or no or n/a. (If n/a, explain why.) State if completed field level hazard assessments identify hazard controls. Provide 1 example and the date/time the field level hazard assessment was completed. *This includes any FLHAs conducted by a contracting employer on the employer's worksite.

3.7 Do Senior managers/managers, supervisors enforce the use of hazard controls?

Scoring: (3 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Employees must be able to give examples of how senior managers/managers, supervisors enforce the use of all types of hazard controls. This may be from their own experience or a description of a potential enforcement.

Auditor Note Requirements:

Answer yes or no. Provide 1 (SM/M, S, W) interview example of how senior managers/managers, supervisors enforce the use of hazard controls.

3.8 Are changes to hazard controls communicated to affected employees?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Employees must be able to explain how they are informed of changes 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.

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Auditor Note Requirements:

Answer yes or no. Describe 1 (SM/M, S, W) example of how hazard control changes are communicated to employees.

3.9 Is there a written Violence Prevention Plan as per legislative requirements?

Scoring: (2 pts)

All or Nothing. Award points if ALL 4 criteria are included in the company's Violence Prevention Plan Policy. If the company does not have all 4 criteria, award zero points.

Verified by Documentation

As part of an employer's violence prevention plan, a policy must be in place that includes these 4 criteria:

1. commitment to eliminating or controlling the violence
2. responsibility to investigate any incidents of violence
3. commitment to maintain confidentiality of personal information of those involved, where appropriate.
4. statement that the policy is not intended to discourage a worker from exercising their rights.

Auditor Note Requirements:

Answer yes or no. State which of the 4 criteria are met. Provide 1 statement from the Violence Prevention Plan policy. State which of the 4 criteria were not met, if applicable.

3.10 Are there Violence Prevention Procedures written, as per legislative requirements?

Scoring: (2 pts)

All or Nothing. Award points if ALL 6 criteria are included in the company's Violence Prevention Procedures. If the company does not have all 6 criteria, award zero points.

Verified by Documentation

As part of an employer's violence prevention plan, a procedure must be in place that includes these 6 criteria:

1. the hazards related to specific, general, or potential violence
2. eliminating or controlling the hazard of violence
3. how to obtain immediate assistance when an incident of violence occurs
4. how to report violence
5. investigating an incident of violence, and implementing controls as appropriate
6. informing the parties involved of the results of the investigation, and corrective actions.

Auditor Note Requirements:

Answer yes or no. State which of the 6 criteria are met. Provide 1 statement from the procedure. State which of the 6 criteria were not met, if applicable.

3.11 Are employees trained in the Violence Prevention Plan?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Last updated: January 2023

Verified by (SM/M, S, W) Interviews

Employees must be able to explain, in general terms, the components of the Violence Prevention plan per the training they received. For example, how they report violence and how they would obtain immediate assistance, etc.

Auditor Note Requirements:

Answer yes or no. Describe from (SM/M, S, W) interview responses how employees received training on the violence prevention plan.

3.12 Is there a Harassment Prevention Plan as per legislative requirements?

Scoring: (2 pts)

All or Nothing. Award points if ALL 4 criteria are included in the company's Harassment Prevention Plan Policy. If the company does not have all 4 criteria, award zero points.

Verified by Documentation

As part of an employer's Harassment Prevention Plan, a policy must be in place that includes the following 4 criteria:

1. commitment to eliminating or controlling the harassment
2. responsibility to investigate any incidents of harassment and take corrective actions
3. commitment to maintain confidentiality of personal information of those involved where appropriate.
4. statement that the policy is not intended to discourage a worker from exercising their rights

Auditor Note Requirements:

Answer yes or no. State which of the 4 criteria are met. Provide 1 statement from the Harassment Prevention Plan Policy. State which of the 4 criteria were not met, if applicable.

3.13 Are there Harassment Prevention Procedures written, as per legislative requirements?

Scoring: (2 pts)

All or Nothing. Award points if ALL 3 criteria are included in the company's Harassment Prevention Procedures. If the company does not have all 3 criteria, award zero points.

Verified by Documentation

Documentation must confirm there are Harassment Prevention procedures written for the following 3 criteria:

1. how to report harassment
2. documenting, investigating and preventing harassment
3. informing the parties involved of the results of the investigation, and corrective actions.

Auditor Note Requirements:

Answer yes or no. State which of the 3 criteria are met. Provide 1 statement from the Harassment Prevention Procedures. State which of the 3 criteria were not met, if applicable.

3.14 Are employees trained in the Harassment Prevention Plan?

Scoring: (5 pts)

Last updated: January 2023

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Employees must be able to explain, in general terms, the components of the Harassment Prevention Plan per the training received. For example, how to report harassment, who to report harassment to, the investigation process, disciplinary process, etc.

Auditor Note Requirements:

Answer yes or no. Describe from (SM/M, S, W) interview responses what training was received on the harassment prevention plan.

3.15 Have the Violence and Harassment Plans been reviewed?

Scoring: (2 pts)

All or Nothing. Award points if both the Violence and Harassment Plans have been reviewed in accordance with the 3 criteria, per Alberta OHS legislation. If both prevention plans do not meet the 3 criteria, award zero points.

Verified by Documentation

The violence and harassment plans must be reviewed per legislative requirements:

1. when an incident occurs related to violence and/or harassment; or
2. if the HSC or HS representative recommend a review; or
3. at least every 3 years.

Auditor Note Requirements:

Answer yes or no or. Describe how each plan has been reviewed according to the 3 criteria and reason(s) for review. Include the date(s) of review.

**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 4 – Joint Health & Safety Committee and/or Health & Safety Representatives

4.1 Does the company have a health and safety committee (HSC) and/or health and safety representative(s) (HSR(s))?

Scoring: (2 pts)

All or Nothing. Points are awarded if there is a designated health and safety committee (HSC), if the company has 20 or more employees. A company with less than 20 employees must have a designated HSR.

Verified by Documentation

Documentation must verify that a designated health & safety committee (HSC) is established if the company has twenty (20) or more employees. An HSC may also voluntarily be established by a company that has fewer employees. At a minimum, a company with less than 20 employees must have a health and safety representative (HSR).

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Auditor Note Requirements:

Answer yes or no. State if there is a designated HSC and/or HSR.

4.2 Does the health and safety committee have, at minimum, 50% worker representation?

Scoring: (3 pts)

All or Nothing. Award points if HSC attendance at EACH meeting had at least 50% worker representatives. This question can be n/a for worksites with only an HSR. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation

This question can be n/a for worksites with only an HSR. The HSC must have a minimum of 50% worker representatives (those with no managerial authority). Review all health and safety committee attendance records from the past 12 months to verify that conducted HSC meetings maintained at least 50% worker representation.

Auditor Note Requirements:

Answer yes or no or n/a. (If n/a explain why.) State the total number of HSC meetings at each worksite. State how many HSC meetings at each worksite had at least 50% worker representatives in the attendance.

4.3 Have the names and contact information of the HSC members and/or the HSR(s) been posted?

Scoring: (5 pts)

All or Nothing. Award points if the names and contact information of the HSC members and/or the HSR(s) have been posted at EACH worksite in a visible location for all employees to view.

Verified by Observation

The names and the contact information for the HSC members and/or the HSR(s) must be visibly posted at ALL worksites for all employees to view.

Auditor Note Requirements:

Answer yes or no. State if the names and contact information of the HSC members and/or the HSR(s) are posted at ALL worksites. State which worksites the names and contact information is not posted, if applicable.

4.4 Do the Terms of Reference for the HSC include all legislated & MHSA requirements?

Scoring: (2 pts)

All or Nothing. Award points if the Terms of Reference contain the 8 legislated criteria. This question can be marked n/a for HSR only. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation

If the company has a HSR, this question may be marked not applicable.

A Terms of Reference for the HSC must include these 8 criteria:

1. Outlining the process to select co-chairs
2. Outlining the process to select worker members
3. Establishing a term of office for committee members
4. Outlining the frequency for regular committee meetings and how records will be maintained

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5. Outlining the processes for conducting meetings and forwarding health and safety concerns to the attention of the employer
6. Establishing a process to replace a member during the member's term of office
7. Establishing a dispute resolution process for when the committee cannot agree on a recommendation to the employer
8. Outlining a process to address circumstances where committee members are not fulfilling their duties

Auditor Note Requirements:

Answer yes or no or n/a. (If n/a then explain why.) State which of the 8 criteria are met. State which of the 8 criteria were not met, if applicable.

4.5 Does the company have a policy or procedure that includes guidelines for a Health & Safety Representative as per the legislative requirements?

Scoring: (2 pts)

All or Nothing. Award points if the policy/procedure contains the 4 criteria. If the company has a HSC, this question may be marked n/a. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation

A policy or procedure for the HSR(s) must include:

1. Requirement to appoint a representative(s)
2. Reporting to management
3. Term of office
4. Training Requirements

If the company has a HSC, this question may be marked n/a.

Auditor Note Requirements

Answer yes or no or n/a. (If n/a, explain why.) Provide 2 examples of statements within the HSR procedure(s).

4.6 Have duties been written for the HSC and/or HSR(s)?

Scoring: (2 pts)

All or Nothing. Award points if the written duties contain the 4 legislated criteria.

Verified by Documentation

Duties of the HSC and/or HSR(s) must be written and **must** include these 4 criteria:

1. Responding to workers' health and safety concerns and complaints
2. Participating in hazard identification & control
3. Review inspections of the worksite
4. Making recommendations to improve the health and safety management system

Auditor Note Requirements:

Answer yes or no. State which of the 4 criteria are met. State which of the 4 criteria were not met, if applicable.

4.7 Have the HSC members and/or HSR(s) been trained in their duties and responsibilities?

Scoring: (3 pts)

All or Nothing. Award points if ALL HSC members and/or the HSR(s) have documented proof of training on their duties and responsibilities per legislative requirements.

Verified by Documentation

Review training records for HSC members and/or the HSR(s). Documentation must indicate that HSC members and/or the HSR(s) have received training related specifically to their duties and responsibilities (as a committee member, training will be specified in the Terms of Reference). Review all HSC and/or HSR(s) training records to ensure they have received training to support their duties and responsibilities.

Auditor Note Requirements:

Answer yes or no. Provide 2 examples of documented training received that supports the role of a HSC member and/or HSR and include the training dates.

4.8 Do the HSC members and/or HSR(s) understand their duties and responsibilities?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (HSC/HSR) interviews

The HSC members and/or HSR(s) must be able to describe their general duties and responsibilities. (e.g., participation in hazard identification, investigations, and inspections, development and promotion of hazard controls, handling health and safety concerns, etc.) **Auditors must ensure HSC members/HSR are selected to participate in the interview process.*

Auditor Note Requirements:

Answer yes or no. State 2 (**HSC/HSR – only**) interview examples confirming HSC members and/or HSR(s) understand their duties and responsibilities. *Please Note: if the Auditor is the HSR then award full points. Additionally, all other interviews of non-HSC members/HSR(s) are considered n/a – please provide a note of justification).*

4.9 Is a process in place for the HSC and/or HSR(s) to make health and safety recommendations to management?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S) interviews

Senior managers/managers and supervisors must be able to explain how they receive recommendations from the HSC and/or HSR(s) regarding the health and safety of employees.

Auditor Note Requirements:

Answer yes or no. Describe the general process of how the HSC and/or HSR(s) can make recommendations to management, based on (**SM/M, S**) interview responses.

4.10 Do HSC members and/or the HSR(s) participate in health and safety activities?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Refer to question 4.5 for types of involvement. Employees must be able to confirm the HSC members and/or HSR(s) are involved in health and safety activities. Example: promoting health and safety education and training, reviewing inspections, work refusal records, etc.

Auditor Note Requirements:

Answer yes or no. State 2 (SM/M, S, W) interview examples of health and safety activity participation by HSC members and/or the HSR(s).

4.11 Are regular HSC/HSR meetings conducted?

Scoring: (3 pts)

All or Nothing. Points are only awarded if Documentation and Interview criteria are both met. For Documentation: Award points if there are at least 10 documented HSC meetings in the past 12 months. Alternatively, award points if there are at least 4 documented HSR meetings in the past 12 months. For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by documentation & by (SM/M, S, W) Interviews

For Documentation: Review the HSC/HSR meeting minutes for the past 12 months. Verify there have been at least 10 HSC or 4 HSR meetings documented in the past 12 months. **Per legislative quorum requirements for a valid meeting.*

For Interviews: Employees must know how often the HSC or HSR meetings take place.

Auditor Note Requirements:

For Documentation: Answer yes or no. State the number of documented quorum HSC/HSR meetings conducted in the past 12 months.

For Interviews: Answer yes or no. State 1 (SM/M, S, W) interview response for the frequency of HSC/HSR meetings.

4.12 Are formal inspections completed prior to HSC meetings?

Scoring: (2 pts)

All or Nothing. Award points if formal worksite inspections are completed prior to HSC/HSR meetings. If not, award zero points.

Verified by Documentation

There must be documentation showing that inspections are completed prior to the HSC/HSR meetings and are available for review.

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Auditor Note Requirements:

Answer yes or no. State the number formal worksite inspections conducted prior to the HSC/HSR meetings in the past 12 months. State how many inspections were not completed prior to the HSC/HSR meetings, if applicable.

4.13 Are health and safety concerns/complaints identified by the HSC/HSR corrected in a timely manner?

Scoring: (0-5 pts)

Range of Scoring. One single score is assigned. For Documentation: Award points if the documented evidence identifying concerns/complaints and recommended corrective actions have been implemented/corrected. For Observation: Award points based on the percentage of observable corrective actions that are implemented. **If selecting N/A, please justify the reason in the note.** * *Timely manner – suggested based on priority rating system or action log.*

Verified by Documentation & by Observation

For Documentation: Review committee meeting minutes/action log, etc. for identified concerns/complaints and recommended corrective action and determine how many have been completed. Additional documents that may assist in determining when corrective actions are completed might include work orders, purchase orders, memos, etc.

For Observation: Select 3 examples of concerns/complaints identified and their observable corrective action. Document the dates the concerns/complaints were identified and the dates they were resolved.

Auditor Note Requirements:

For Documentation: Answer yes or no. (If no, there can be partial points awarded). Provide 1 example of an identified HSC/HSR concern/complaint and how it was corrected. State the date the issue was identified. State how the issue was corrected and the date the issue was corrected. Confirm if the concerns/complaints are corrected in a timely manner based on the company parameters.

For Observation: Answer yes or no or n/a. (If n/a then explain why.) Provide 1 example of an identified HSC/HSR concern/complaint that has been implemented.

4.14 Are HSC/HSR meeting minutes readily available to employees?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Verify employee awareness of the HSC/HSR meetings and activities. Interview responses must indicate employees are aware of the activities of the HSC/HSR and how the information is made available.

Auditor Note Requirements:

Answer yes or no. Provide 1 **(SM/M, S, W)** interview example of when and how the health and safety meeting minutes are communicated.

4.15 Is there a system in place for the HSC and/or HSR(s) to address formal employee concerns and complaints related to the health and safety program?

Scoring: (3 pts)

Award points if there is a system in place for the HSC and/or the HSR(s) to address formal employee concerns and complaints about the health and safety program.

Verified by Documentation

There must be a system in place for the receipt, consideration, and disposition of formal concerns and complaints regarding the health and safety of workers that the HSC and/or HSR(s) can apply, as required.

Auditor Note Requirements:

Answer yes or no. State the title of the document and the date issued or last reviewed of the system and/or the procedure.

**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 5 – Training and Competency

5.1 Is there a health and safety training and competency policy?

Scoring: (6 pts)

All or Nothing. Award points if ALL 5 criteria are included in the company's policy. If the company does not have all 5 criteria, award zero points.

Verified by Documentation

The company must have a safety training policy signed by current senior management. The policy must state these 5 criteria:

1. Health and safety training is mandatory and supported by management
2. All employees (newly hired, long-term, promoted/cross-trained) will receive adequate health safety training related specifically to their job duties
3. All employees must be competent or under the direct supervision of a competent person to perform their jobs safely
4. Regular competency assessments for all employees will be conducted
5. Accurate training records will be maintained

Auditor Note Requirements:

Answer yes or no. State which of the 5 training and competency policy criteria are met. State which of the 5 criteria were not met, if applicable.

5.2 Is there a process to ensure employees are qualified for the position for which they are being considered?

Scoring: (3 pts)

Last updated: January 2023

All or Nothing. Points are only awarded if documentation and interview criteria are both met. For Documentation: There must be a documented process to ensure employees are qualified. For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by Documentation & by (SM/M, S) Interviews

For Documentation: A process must be in place to check for qualifications required for the job/tasks (e.g. degrees, diplomas, certificates, trade certificates, apprenticeship program diplomas, in-house work-experience, driver’s licenses, job application forms, hiring records, etc.).

For Interviews: Senior managers/managers and 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.

Auditor Note Requirements:

For Documentation: Answer yes or no. Describe the qualification process to ensure employees are qualified for their position.

For Interviews: Answer yes or no. Provide 1 **(SM/M, S)** interview example of how senior managers/managers, supervisors ensure that employees are qualified for their position.

5.3 Does the orientation process cover OHS rights, and critical health and safety information prior to starting regular duties?

Scoring: (8 pts)

All or Nothing. Award points if ALL 8 criteria are included in the company’s policy. If the company does not have all 8 criteria, award zero points.

Verified by Documentation

The OHS rights, and critical health and safety information must be reviewed with employees prior to beginning regular duties. This must include these 8 criteria:

1. Right to know
2. Right to participate
3. Right to refuse dangerous work
4. Emergency response procedures
5. Enforcement of company rules
6. Critical hazards
7. Hazard reporting
8. Incident reporting

Review completed employee orientation forms from the past 12 months to determine if the process includes all 8 criteria. **If there have been no orientations required in the past 12 months, review the orientation forms to verify that the 8 criteria are included.*

Auditor Note Requirements:

Answer yes or no. State which of the 8 orientation process criteria are met. State which of the 8 criteria were not met, if applicable.

5.4 Do senior managers/managers, supervisors ensure orientations are conducted prior to employees starting regular duties?

Scoring: (2 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S) Interviews

Senior managers/managers and supervisors must be able to describe how they ensure orientations are conducted for new employees prior to them starting regular duties.

Auditor Note Requirements:

Answer yes or no. Provide 1 (SM/M, S) interview response on how senior managers/managers and supervisors ensure orientations are conducted for employees, prior to starting regular duties.

5.5 Have senior managers/managers, supervisors completed health and safety training to support them in their role?

Scoring: (0-4 pts)

Range of Scoring. Award points based on the percentage of senior managers/managers and supervisors that have completed health and safety training specific to their role within the last five years.

Verified by Documentation

Review course training records for ALL senior managers/managers and ALL supervisors, (foremen, lead-hands, team leaders, charge-hands, etc.) to determine who have completed health and safety training – *at the time of this audit*. Training examples: incident investigation, hazard identification, communications, conducting meetings, supervisory techniques, enforcement and discipline, legislation, etc. Specific MHSA courses: Safety Basics, Hazard Assessment, Leading Safety, Navigating OHS Legislation, Principles of Workplace investigation, etc. Training must have been completed in the last five years.

Auditor Note Requirements:

Answer yes or. State 2 examples of training courses attended and the dates completed.

5.6 Do employees receive job-specific training when they are newly hired, assigned new tasks, or affected by work operational changes?

Scoring: (3 pts)

All or Nothing. Points are only awarded if documentation and interview criteria are both met. For Documentation: There must be documentation validating employees receive job-specific training. For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by Documentation & by (SM/M, S, W) Interviews

For Documentation: Employees must receive job-specific training. This must include when employees are:

- newly hired
- assigned new tasks
- when an operational change affects their work

Last updated: January 2023

Employees must be trained in the hazards and controls associated with their job. Examples may include a combination of reviewing policies & procedures, practical demonstrations, safe work practices, hazard assessments and certificate training (e.g. WHMIS 2015, Confined Space Entry, TDG, tasks specialized to the employer, using specialized tools and equipment, etc.).

For Interviews: Employees must be able to describe *how* they/their co-workers receive training when they are:

- newly hired
- assigned new tasks
- affected by work operational changes

Auditor Note Requirements:

For Documentation: Answer yes or no. Provide 2 examples of documentation that verify that employees have received training. Include the dates.

For Interviews: Answer yes or no. Provide 1 **(SM/M, S, W)** interview example of when employees received job-specific training.

5.7 Does job-specific training include a practical demonstration?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (W) Interviews

Training must include a practical demonstration to confirm that workers have acquired the necessary knowledge or skill related to the subject-matter. Certain tasks may require more in-depth demonstration to ensure the worker can competently complete a task (e.g.,

tasks associated with forklifts, ladders, hand tools, pallet wrappers, etc.), whereas other tasks may only require a simple evaluation of understanding.

Auditor Note Requirements:

Answer yes or no. Provide 2 **(W)** interview examples of job-specific training workers received that included a practical demonstration.

5.8 Is there a process to assess employee competency of new and reassigned workers?

Scoring: (3 pts)

All or Nothing. Points are only awarded if documentation and interview criteria are both met. For Documentation:

Documentation must prove there is a process to assess employee competency for new and reassigned workers.

For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by Documentation & by (SM/M, S) Interviews

For Documentation: Reassignment can include a new job, task, or when a worker moves to a new location. Verify there is a process to assess employee competency including new, long-term, and re-assigned employees (e.g. work experience, mentoring, on the job training, task observation, testing, etc.).

Last updated: January 2023

For Interviews: Senior managers/managers and supervisors must be able to describe the process for determining competency of their workers (e.g., on the job training, task observation, tests, etc.). Interview responses must include confirmation that new and reassigned workers have acquired the related knowledge/skills.

Auditor Note Requirements:

For Documentation: Answer yes or no. Describe the process of how the company assesses employee competency for new and reassigned workers.

For Interviews: Answer yes or no. Describe 1 (**SM/M, S**) interview example of how senior managers/managers and supervisors determine the competency of employees.

5.9 Are employee competency assessments conducted?

Scoring: (3 pts)

All or Nothing. Competency assessments must be dated within the past 12 months and completed by the employer for employees assigned to new tasks, and long-term employees.

Verified by Documentation

Competency assessments are conducted at set intervals or when operational changes require it. Verify that employee competency assessments are being conducted as identified by the employer for:

1. Employees assigned to new tasks
2. Long term employees

Auditor Note Requirements:

Answer yes or no. State the frequency the employer has identified for competency assessments. Describe 1 example of a completed competency assessment.

5.10 Is refresher training provided?

Scoring: (4 pts)

All or Nothing. Draw from a sample of refresher training records conducted in the past 12 months. Award points if refresher training is renewed before it expires (where an expiry date exists), periodically (where there are no expiry dates), and consistent with company policy schedules.

Verified by Documentation

Employers must document any refresher training requirements and ensure schedules are met. Refresher training must be conducted at 'set intervals' or when operational changes require it. Refresher training can be done in-house through a supervisor or company trainer. Examples: First Aid, Forklift Safety, Fall Protection, Noise Exposure Training, WHMIS, Rigging, trade certificates, etc., have requirements for re-training/refresher training on a set schedule.

Auditor Note Requirements:

Answer yes or no. Provide 2 examples of job-specific refresher training employees have received. Include the training dates.

Last updated: January 2023

**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 6 – Other Parties At or in the Vicinity of the Worksite

6.1 Is there a policy and/or process in place for the protection of other parties at the worksite, *not under the company's direction?*

Scoring: (4 pts)

All or Nothing. Award points if a policy and/or procedure addresses the health and safety of other parties, at or in the vicinity of the worksite. These parties are specifically not under the direction of the company.

Verified by Documentation

The policy and/or 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.

Auditor Note Requirements:

Answer yes or no. State the title of the policy and/or procedures and the date it was created or last reviewed. Provide 1 statement from the policy and/or procedure.

6.2 Is a process in place that includes criteria for evaluating and selecting other employers?

Scoring: (2 pts)

All or Nothing. Award points if documentation verifies there is a process in place for pre-qualifying and selecting other employers.

Verified by Documentation

The company must identify what requirements are used to evaluate and select other employers in order to allow them to conduct work at the company's worksite. For example, a pre-qualification checklist.

Auditor Note Requirements:

Answer yes or no. Provide a general summary of the documented process that is in place.

6.3 Is a policy and/or process in place that includes a system for monitoring other employers?

Scoring: (3 pts)

All or Nothing. Points are only awarded if documentation and interview criteria are both met. For Documentation: Documentation must verify there is a policy and/or process to monitor health and safety performance of other parties. For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by Documentation & by (SM/M, S) Interviews

For Documentation: Verify a policy and/or process exists to monitor health and safety performance for other employers during the periods of the contracted services.

Last updated: January 2023

For Interviews: Verify that senior managers/managers and supervisors are familiar with the policy and/or process as documented.

Auditor Note Requirements:

For Documentation: Answer yes or no. State the title of the policy and/or procedures and the date it was created or last reviewed. Provide 1 example from the policy and/or procedure.

For Interviews: Answer yes or no. Describe from (SM/M, S) interview responses the policy and/or process in place for monitoring other employers.

6.4 Are health and safety orientations provided to visitors and other employers?

Scoring: (0, 2 or 4 pts)

Range of Scoring. Award points if documentation validates that health and safety orientations are conducted for visitors and other employers prior to the start of work on the company's worksite.

Verified by Documentation

Confirm orientations are provided to visitors and other employers (e.g., visitor logs, contractor sign off, etc.) by reviewing the orientation training records for other parties in the past 12 months.

**If no orientations have been conducted in the past 12 months, ensure the system is in place to do so.*

Auditor Note Requirements:

Answer yes or no. (If no, partial points can be awarded.) Describe how orientations are conducted for visitors and other employers.

6.5 Is there a system in place to ensure that other employers are informed of their assigned health and safety responsibilities while on the employer's worksite?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S) Interviews

Senior managers/managers and supervisors must be able to describe the process in place to ensure other employers are made aware of their assigned health and safety responsibilities. Including: reporting incidents, investigating incidents and reporting unsafe conditions. Worksite parties includes other employers, suppliers, prime contractors, etc. conducting activities at a worksite or receiving products.

Auditor Note Requirements:

Answer yes or no. Describe from (SM/M, S) interview responses, 1 example of how the company communicates health and safety responsibilities to other parties.

6.6 Does the company communicate with external worksite parties:

- a. Regarding worksite hazards and controls?
- b. When there are changes to the worksite?

Scoring: (a=5 pts and b=5 pts)

All or Nothing. 6.6a and 6.6b are scored separately. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S) Interviews

Senior managers/managers and supervisors must be able to describe the process of communicating to external worksite parties and be able to provide examples of how they:

- a. are made aware of worksite hazards and controls
- b. are made aware of any changes that may affect their health and safety

Worksite parties can include other employers, suppliers, prime contractors, etc. conducting activities at a worksite or receiving products.

Auditor Note Requirements:

- a. Answer yes or no. Describe from (SM/M, S) interview responses, how the company communicates worksite hazards and controls to external worksite parties.
- b. Answer yes or no. Describe from (SM/M, S) interview responses, how the company communicates changes to the worksite that may affect external work parties while on site.

6.7 Is health and safety information readily available to affected external worksite parties according to legislative requirements?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S) Interviews

Health and safety information (e.g. hazards assessments, inspections, emergency response procedures, safe work practices/procedures, incident investigations, HSC/HSR meeting minutes etc.) must be readily available to affected external worksite parties.

Worksite parties can include other employers, suppliers, prime contractors, etc. conducting activities at a worksite or receiving products.

Auditor Note Requirements:

Answer yes or no. Describe from (SM/M, S) interview responses, how the company ensures health and safety information is readily available to affected external worksite parties according to legislative requirements.

6.8 Is a process in place to address non-compliance of other employers under the direction of the employer?

Scoring: (3 pts)

All or Nothing. Award points if there is a documented process to address non-compliance of other employers under the direction of the employer.

Verified by Documentation

The company must have a process to deal with other employers when there is non-compliance.

Auditor Note Requirements:

Answer yes or no. Briefly summarize the process of addressing non-compliance of other employers under the direction of the employer.

**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 7 – Preventative Maintenance

7.1 Is there a preventative maintenance policy?

Scoring: (4 pts)

All or Nothing. Award points if ALL 4 criteria are included in the company's policy. If the company does not have all 4 criteria, award zero points.

Verified by Documentation

The policy must contain these 4 criteria:

1. Tools, equipment, vehicles (if applicable) and facilities will be properly inspected and maintained to minimize the risk of injuries, property damage and loss of production
2. Tools and equipment used by the company will meet or exceed CSA or industry standards. Other examples of standards that could be mentioned are ANSI, ASME, NIOSH, OSHA, etc.
3. The policy must require the same standards for employees that provide their own tools, as well as contractors on-site
4. Signed and dated by Senior Management

Auditor Note Requirements:

Answer yes or no. State which of the 4 criteria are met. State which of the 4 criteria were not met, if applicable.

7.2 Are there preventative maintenance processes for tools, equipment, vehicles (may be n/a), and facilities?

Scoring: (3 pts)

All or Nothing. Award points if there is are documented preventative maintenance processes for tools, equipment, vehicles and facilities.

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Verified by Documentation

There must be a documented preventative maintenance process for all applicable criteria:

- tools
- equipment
- vehicles (may be n/a)
- facilities

Documentation must include a process requiring ongoing preventative maintenance for vehicles, equipment, facilities, and tools. (e.g.: overhead doors, cranes, localized ventilation, forklifts, power tools, etc.). There must be maintenance schedules where applicable. Additional maintenance procedures may include a lockout/tagout repair program.

Auditor Note Requirements:

Answer yes or no. State if there are preventative maintenance processes for tools, equipment, vehicles (vehicles may be n/a – justify in notes), and facilities. State if any are absent, if applicable. Provide 1 example of a maintenance process and how it is conducted.

7.3 Is the preventative maintenance process in use?

Scoring: (0-3 pts)

Range of Scoring. Award points based on the percentage of preventative maintenance processes being performed consistently and correctly as documented.

Verified by Documentation

Documentation must confirm that on-going preventative maintenance is being conducted and documented according to the frequency/schedules referred to in questions **7.1 and 7.2**.

Auditor Note Requirements:

Answer yes or no. (If no, partial points can be awarded). Provide 2 examples of a preventative maintenance processes in use, as per the preventative maintenance policy and/or process. Explain why and what is not in use or correctly being followed, if applicable.

7.4 Is there a system to identify and report damaged tools, equipment, vehicles (may be n/a), and facilities?

Scoring: (5 pts)

All or Nothing. Points are only awarded if documentation, interview, and observation criteria are all met. *Vehicles may be n/a.* For Documentation: There must be documentation that verifies a process for identifying and reporting damaged tools, equipment, vehicles, and facilities. For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive. For Observations: The auditor must observe methods used to identify and remove damaged or defective tools and equipment from service.

Verified by Documentation & by (SM/M, S, W) Interviews & by Observation

For Documentation: There must be a process to manage how to initiate repairs, remove or replace unserviceable tools and equipment, vehicles (vehicles may be n/a), and facilities issues. The company may have a defective tool tag system and/or hazardous conditions report to facilitate this.

For Interviews: Employees must be aware of how to initiate repairs, remove or replace unserviceable tools, equipment, and vehicles (if present), and address facilities issues. Interview responses must correspond to the policy and/or procedures the

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company has established. Interview responses must describe when and how defective tools, equipment are removed from service for repair.

For Observations: During the observation tour, look for removed, damaged or defective tools and equipment that have been isolated from service. Examples include Defective Tool Tags, a register or form at the tool crib, a designated area for defective tools or equipment, etc.

Auditor Note Requirements:

For Documentation: Answer yes or no. Briefly explain the process to identify and report damage to:

- tools
- equipment
- vehicles (If this is n/a then state this)
- facilities

For Interviews: Answer yes or no. Provide 1 **(SM/M, S, W)** interview example of when and how defective tools, equipment, vehicles (if applicable), and facilities are identified for repair.

For Observation: Answer Yes or No. Provide 2 examples of observed methods in use.

7.5 Are there lock-out procedures to manage the control of hazardous energy?

Scoring: (5 pts)

All or Nothing. Points are only awarded if documentation, interview, and observation criteria are ALL met. For Documentation: The company must have a documented Lock-out procedure. For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive. For Observations: The auditor must observe lock-out devices available for use or in use.

Verified by Documentation & by (SM/M, S, W) Interviews & by Observation

For Documentation: There must be comprehensive lock-out/tag-out and/or zero energy procedures in place that effectively isolate all hazardous energy sources. Hazardous energy refers to electrical, mechanical, hydraulic, pneumatic (compressed air) pressurized systems, chemical and thermal (heat) energy sources. The procedures must ensure that equipment or process systems cannot be activated while under service, repair, testing, adjustment, inspection, or unserviceable. Example: the use of padlocks, lock-out scissor-clamps, warning tags, etc.

For Interviews: Interview responses must demonstrate that employees have a sound knowledge and understanding of the procedures and the purpose.

For Observations: During the observation tour, look for examples of equipment or machinery that is locked-out. The auditor may have to ask to see examples if none are readily observed. Ensure the company has lock-out devices (such as padlocks and lock-out scissor-clamps, warning tags, etc.) that are available to be used in accordance with the lock-out/tag-out procedures.

Auditor Note Requirements:

For Documentation: Answer yes or no. State if there are lock-out procedures in place that may effectively isolate all hazardous energy sources, if any machinery, equipment or powered mobile equipment requires service, repair, testing, adjustment or inspection. Provide 1 statement from the lock-out procedures that justifies the guidelines are met.

For Interviews: Answer yes or no. Provide the 1 **(SM/M, S, W)** interview example that validates employee knowledge of when to use the lock-out and the procedures.

For Observation: Answer yes or no. Describe 1 type of lock-out device available.

**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 8 – Formal Worksite Inspections

8.1 Is there is an inspection policy and/or process that states the required criteria for conducting inspections?

Scoring: (3 pts)

All or Nothing. Points are only awarded if Documentation and Interview criteria are both met. For Documentation: Verify all 3 criteria are met. If the company does not have all 3 criteria, award zero points. For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by Documentation & by (SM/M, S, W) Interview

For Documentation: The inspection policy and/or process must include these 3 criteria:

1. The frequency of inspections for each area and each work-shift, at minimum monthly
2. All facilities and property (this may include storage areas, yard, parking lot, etc.) is identified and inspected
3. Each company level must be assigned a responsibility in the formal worksite inspections:
 - a. Senior Managers/Managers
 - b. Supervisors
 - c. Workers

Participation is required by all company levels, however, is not expected for every inspection.

For Interviews: Employees must be able to identify their responsibilities per the inspection policy and/or process and the stated frequency of involvement.

Auditor Note Requirements:

For Documentation: Answer yes or no. State which of the 3 criteria were met. State which of the 3 criteria were not met, if applicable.

For Interviews: Answer yes or no. Provide 1 (SM/M) interview example, 1 (S) interview example, if applicable, and 1 (W) interview example of employee responsibilities per the company's policy and/or process and how often they are required to be involved.

8.2 Are checklists or forms used for the formal worksite inspection(s)?

Scoring: (3 pts)

All or Nothing. Award points if the company has a checklist or form to record formal worksite inspections of all work areas to ensure the frequency of inspections is met.

Verified by Documentation

An inspection checklist or form is to be customized to the hazards of the work site, the included work areas, frequency of inspection (dates & times recorded), departments, specific operations, employee observations, etc.

Auditor Note Requirements:

Answer yes or no. Describe the checklist/form briefly.

8.3 Are the lead employees conducting formal worksite inspections trained?

Scoring: (0-4 pts)

Range of Scoring. Award points based on the percentage of training documented within the past 12 months. Documentation must validate the lead employees in the formal worksite inspections received appropriate training. If training documentation does not detail what was taught, do not award points.

Verified by Documentation

Identify the lead employees conducting the formal worksite inspections from completed checklists/forms. Verify they have completed training. External and/or in-house training is acceptable if it is appropriate to the health & safety hazards present at the worksite. Training content could include: how to conduct the inspection, what to look for, how to handle serious safety problems, how to complete the forms and how to initiate corrective action as required. *The documentation must be detailed, dated and employee attendance identified.*

Auditor Note Requirements:

Answer yes or no (If no, there can be partial points awarded). Provide 2 examples of formal worksite inspection training employees received.

8.4 Are formal worksite inspections carried out in accordance with the inspection policy/process by:

- a. **Managers to observe OHS behaviours and conditions?**
- b. **Supervisors?**
- c. **Workers?**

Scoring: (a=3 pts, b= 3 pts, and c=3 pts)

All or Nothing. Questions 8.4a, 8.4b and 8.4c are scored separately. To award points, there must be a minimum of 10 completed formal worksite inspections in the past 12 months. Documentation must show involvement and that the frequency stated in the policy and/or process is being met (refer to question 8.1) for that company level (SM/M/S/W). If the company's inspection policy frequency supersedes this minimum, it must be used to score sufficient frequency – if the employer has defined it. **Points are not awarded if the company's policy frequency is not met.*

Verified by Documentation

Review the previous 12 months completed formal worksite inspections. Inspections must be done **monthly** as a minimum but may be done more frequently. Documentation must show involvement in the formal worksite inspection from each level of the company (SM/M/S/W). Inspection involvement must **at least match the frequency stated in the policy and/or process (refer to question 8.1).** **Participation by all levels (SM/M/S/W) is not expected for every inspection unless stated in the company policy.*

**Some companies may not have a supervisory level. In this case, question "8.4b" is n/a. Justify in notes.*

Auditor Note Requirements:

- a. Answer yes or no. State the company's documented frequency of senior manager/manager participation – if defined in policy or procedure. State how many times senior managers/managers participated in the formal worksite inspection in the past 12 months. To award points for part "a" of this question, explain what documented evidence is found that inspections are conducted by senior managers/management that includes a component of employee observation (behaviours and conditions).

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- b. Answer yes or no or n/a. If n/a explain why. State the company's documented frequency of supervisor participation – if defined in policy or procedure. State how many times supervisors participated in the formal worksite inspection in the past 12 months.
- c. Answer yes or no. State the company's documented frequency of worker participation – if defined in policy or procedure. State how many times workers participated in the formal worksite inspection in the past 12 months.

8.5 Is there a process to correct deficiencies identified in formal worksite inspections?

Scoring: (2 pts)

All or Nothing. Award points if documentation validates there is a process to correct deficiencies.

Verified by Documentation

The process may include identifying corrective actions, identifying an assigned individual, and a completion target date.

Auditor Note Requirements:

Answer yes or no. Describe the process for correcting deficiencies identified in the formal worksite inspection.

8.6 Are formal worksite inspection deficiencies corrected?

Scoring: (5 pts)

All or Nothing. Award points if the worksite deficiencies are corrected as stated in documentation. **If selecting N/A, please justify the reason in the note.**

Verified by Observation

Select critical items from completed inspections and physically observe the workplace to confirm that the deficiencies have been corrected. During the observation tour verify at least 2 worksite deficiencies have been implemented/corrected.

Auditor Note Requirements:

Answer yes or no or n/a. (If n/a, explain why.) For EACH of the 2 selected deficiencies observed, state the formal worksite inspection date, the deficiencies, and what was corrected. List the correction date.

8.7 Is there is a process for employees to report newly identified hazards?

Scoring: (3 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Employees must be able to describe the process to report unsafe or unhealthy conditions and practices. Interview responses must indicate that the system is understood and followed.

Auditor Note Requirements:

Answer yes or no. Describe from interviews, the process for employees to report newly identified hazards.

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**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 9 – Incident Investigation

9.1 Is there a policy and/or procedure that requires the reporting and investigation of work-related incidents (including PSI's), illnesses, and work refusals?

Scoring: (4 pts)

All or Nothing. Award points if the policy and/or procedures outline the reporting procedures for incidents (including PSI's), illnesses and work refusals and the requirement to investigate to prevent reoccurrence.

Verified by Documentation

There must be a policy that requires the reporting and investigation of work-related:

1. incidents (including PSI's)
2. illnesses
3. work refusals

The policy and/or procedure must include requirements to implement corrective actions to prevent reoccurrence.

Auditor Note Requirements:

Answer yes or no. Provide a minimum of 1 statement from the policy.

9.2 Is there a process for reporting and investigating work-related incidents (including PSI's), illnesses, and work refusals?

Scoring: (4 pts)

All or Nothing. Award points if there is a process for reporting and investigating work related incidents, illnesses and work refusals (including PSIs). Reporting process must include provisions for reporting to both internal and external (e.g., OHS, WCB, etc.) parties.

Verified by Documentation

There must be a process that requires the reporting and investigation of work-related incidents (including PSIs), illnesses, and work refusals. The process must include internal and external (e.g., OH&S, WCB, etc.) reporting protocols. The process may define: reporting forms, when investigations must start, who conducts the investigations, identifying root causes and corrective actions, etc.

Auditor Note Requirements:

Answer yes or no. Provide 2 statements explaining the reporting and investigation process.

9.3 Can employees explain the reporting procedure for work-related incidents (including PSI's), illnesses, and work refusals?

Scoring: (5 pts)

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All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Employees must be able to explain the company procedure(s) for reporting work-related incidents (including PSI's), illnesses, and work refusals. Employees must know their individual responsibilities to report all work-related incidents (including PSI's), illnesses, and work refusals.

Auditor Note Requirements:

Answer yes or no. Provide 1 **(SM/M, S, W)** interview response describing the reporting procedure for work related incidents, illnesses and work refusals.

9.4 Do employees report work-related injuries, illnesses, and work refusals?

Scoring: (2 pts)

All or Nothing. Award points based on documentation that supports incident (excluding near miss), illnesses, and work refusal reporting is occurring. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation

This question may be marked not applicable (n/a) if there were no injuries, illnesses or work refusals in the past 12 months. Review completed injury, illness, and work refusal reports in the past 12 months to verify reporting is taking place.

Auditor Note Requirements:

Answer yes or no or n/a. (If n/a explain why.) Describe 1 example of how employees have reported work-related injuries, illnesses, and/or work refusals. Include the date.

9.5 Do employees report near miss or no-loss incidents?

Scoring: (2 pts)

All or Nothing. Award points based on documentation that supports near miss (PSI) or no-loss incident reporting is occurring. If there have been no PSIs reported in the past 12 months, this question can be marked n/a. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation

Review completed near miss (PSI) incident reports in the past 12 months to verify reporting is taking place.

Auditor Note Requirements:

Answer yes or no or n/a. (If n/a, explain why.) Describe 1 example of how employees have reported near-miss (PSI) or no-loss incidents. Include the date.

9.6 Are employees conducting investigations trained in investigation techniques?

Scoring: (0-3 pts)

Range of Scoring. Award points based on the percentage of positive indicators documented. Documentation must validate employees conducting investigations have been trained in investigation techniques.

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Verified by Documentation

Review training records of individuals who have completed investigations reports and confirm they have received training. Training can be conducted in-house or could be a formal course, such as MHS Incident Investigation, Leading Safety, or other appropriate training.

Auditor Note Requirements:

Answer yes or no. (If no, there can be partial points awarded). Provide 1 example of the type of training investigators have received. Include the date.

9.7 Do Senior managers/managers, supervisors participate in investigations?

Scoring: (2 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S) Interviews

In interviews, senior managers/managers and supervisors must be able to describe their involvement in the investigation process, as stated in the policy and/or procedure. This question can be answered even if no incident investigations have been conducted, by asking how they would participate if an incident occurred.

Auditor Note Requirements:

Answer yes or no. Describe from (SM/M, S) interviews how senior manager/managers and supervisors participate in investigations.

9.8 Do workers participate in investigations?

Scoring: (8 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (W) Interviews

In interviews, workers must be able to describe worker involvement in the investigation process, as stated in the policy and/or procedure. 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 if an incident occurred.

Auditor Note Requirements:

Answer yes or no. Describe from (W) interviews how workers participate in investigations.

9.9 Do investigations identify:

- a. Direct Causes?**
- b. Indirect Causes?**
- c. Root Causes?**

Scoring: (a=2 pts, b=2 pts, and c=2 pts)

All or Nothing. Questions 9.9a, 9.9b and 9.9c are scored separately.

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Award points if ALL completed investigations identify: a. direct cause(s), b. indirect cause(s), c. root cause(s). If there have been no investigations conducted in the previous 12 months, refer to a blank investigation form to verify the report requires this content information.

Verified by Documentation

Review completed investigation reports or a blank investigation form to ensure:

- a. Direct Causes have been identified. Direct is defined as the unsafe act(s) or condition(s) that existed directly before the event occurred.
- b. Indirect Causes have been identified. Indirect is defined as the personal factors or job factors that contributed to the event.
- c. Root Causes have been identified. Root is defined as the health & safety management system failure that allowed the hazard to exist.

Auditor Note Requirements:

Answer yes or no.

- a. Provide 2 examples of identified Direct causes. Include the date(s). If there have been no investigations conducted in the previous 12 months, refer to a blank investigation form and describe or the direct causes can be identified.
- b. Provide 2 examples of identified Indirect causes. Include the date(s). If there have been no investigations conducted in the previous 12 months, refer to a blank investigation form and describe or the indirect causes can be identified.
- c. Provide 2 examples of identified Root causes. Include the date(s). If there have been no investigations conducted in the previous 12 months, refer to a blank investigation form and describe or the root causes can be identified.

9.10 Are corrective actions in investigation reports

- a. Identified?
- b. Implemented?

Scoring: (a= 2 pts and b=5 pts)

All or Nothing. Questions 9.10a and 9.10b are scored separately. Questions can be marked n/a if there were no incidents required to be investigated in the previous 12 months. Sample at least 80% of completed incident investigations.

- a. Award points if ALL completed investigations have identified corrective action recommendations.
- b. Award points if corrective actions have been implemented. If corrective actions are not observable, this question can be marked as n/a.

If selecting N/A, please justify the reason in the note.

Verified by Documentation & by Observation

- a. If there have been no investigations required in the previous 12 months, this question can be marked as n/a. **Sample at least 80% of completed incident investigations.** Corrective actions must be identified by senior manager/managers, supervisors to prevent reoccurrence. (*Advising employees to "be more careful" is not an acceptable corrective action.*) Corrective actions may include fixed asset purchases, engineered controls or corrective actions implemented through documentation (training, memos, safety bulletins, etc.).
- b. If corrective actions are not observable, the observation portion of this question can be marked as n/a. Verify during the observation tour that at least one (1) selected observable corrective action identified in incident investigations is implemented.

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Auditor Note Requirement:

- a. Answer yes or no or n/a. (If n/a explain why.) State the number of sampled investigations. State how many sampled incident investigations had corrective actions identified. Provide 1 example of a corrective action identified and implemented and the date of the investigation.
- b. Answer yes or no or n/a. (If n/a then explain why.) Provide at least 1 example of an observable corrective action implemented and the date of the investigation.

9.11 Do senior managers/managers and supervisors ensure incident investigations:

- a. Are completed as required by the policy/procedures?**
- b. Are completed in a timely manner to prevent reoccurrence?**

Scoring: (a=2 pts and b=2 pts)

All or Nothing. Questions 9.11a and 9.11b are scored separately. Questions can be marked n/a if there were no incidents required to be investigated in the previous 12 months. Sample at least 80% of completed incident investigations.

- a. Award points if ALL sampled investigations in the past 12 months are completed as stated in the company's policy/procedure.
- b. Award points if sampled investigations are completed in a timely manner. Refer to the company policy/procedure or use Auditor's judgement.

Verified by Documentation

Review completed incident investigation reports. Questions can be marked n/a if there were no incidents required to be investigated in the previous 12 months. **Sample at least 80% of completed incident investigations.**

- a. Investigations must be completed as stated in the company's policy/procedures.
- b. Determine the completion date – either by the signature dates or a data field stating date/time the investigation was completed. 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).

Auditor Note Requirements:

- a. Answer yes or no or n/a. (If n/a, explain why.) State the number of sampled investigations. State how many of the sampled investigations in the past 12 months were completed as stated in the company's policy and/or procedure.
- b. Answer yes or no or n/a. (If n/a, explain why.) Provide 1 example of a completed incident investigation that was concluded in a timely manner. State the start and end dates and reference the company's policy and/or procedure, if applicable.

9.12 Are completed incident investigation results communicated to employees?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Employees must be able to describe how they are informed of investigation results. Investigations may be reviewed at safety/toolbox meetings or an investigation report summary may be posted on bulletin boards for employees to review.

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Auditor Note Requirements:

Answer yes or no. Describe 1 example of how **(SM/M, S, W)** interviews stated they are informed of investigation results.

**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concerns, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 10 – Emergency Preparedness

10.1 Are there written emergency response plans for potential site-specific emergencies as per legislative requirements?

Scoring: (0-5 pts)

Range of Scoring. Award 1 point for each required emergency plan developed (maximum 5 points).

Verified by Documentation

Review ALL emergency response plans. They must be specific to the worksite(s), the operations and job titles/positions. Companies must have 5 site-specific emergency response plans, at minimum, developed for:

1. Fire
2. Medical Emergency
3. Utility Failure
4. Severe Weather
5. One other emergency response plan

Examples of other potential emergencies may include:

- Fall rescue
- Train derailment
- Forklift tip over
- Bomb threat
- Spill response
- Any other emergency that requires rescue or evacuation

Auditor Note Requirements:

Answer yes or no. (If no, there can be partial points awarded). State if the required 5 site specific emergency response plans are in place. List the emergency response plans that are missing, if applicable.

10.2 Are there emergency response plans that include:

- a. **Communication systems?**
- b. **Emergency phone numbers?**
- c. **List(s) of emergency response personnel?**
- d. **Appropriate response procedures?**
- e. **Monitoring the emergency plans for effectiveness?**

Scoring: (a=2 pts, b=2 pts, c=2 pts, d=2 pts, and e=2 pts)

All or Nothing. Questions 10.2a, 10.2b, 10.2c, 10.2d and 10.2e are scored separately. Award points if emergency response plans include:

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- a. a communication system. If not, award zero points.
- b. Emergency phone numbers. If not, award zero points.
- c. List(s) of emergency response personnel. If not, award zero points.
- d. Appropriate response procedures. If not, award zero points.
- e. Monitoring the emergency plans for effectiveness. If not, award zero points.

Verified by Documentation

Review emergency response plans and/or procedures must include where appropriate:

- a. There must be an **internal and external communication system** to notify employees of an emergency. Internal may include alarms, air horns, intercoms, cell phones, walkie talkies, strobe lights, etc. External may include first response, OHS, WCB, etc.
- b. There must be **emergency phone numbers** available to all employees for contacting both **internal and external** emergency contacts. **Internal numbers** may include: management cell phone numbers. **External numbers** may include: Gas company, Power company, Alberta One-Call, Poison Control, Police non-emergency number, AB Health Services, etc.
- c. There must be **designated emergency response personnel (names/job position)** who are the first responders in emergency situations. This list may include first aiders, fire wardens, building sweep personnel, etc. who are assigned specific duties like doing building sweeps, taking attendance, locking doors, collecting the first aid kit, calling 9-1-1, etc.
- d. Each emergency plan must have **appropriate response procedures** that are site-specific. Evacuation, shelter in place, a muster point are some examples.
- e. There must be a documented requirement to **monitor the effectiveness** of the plan through practical and tabletop drills. A **practical drill** is a simulated *emergency* in which players carry out actions, functions, and responsibilities that would be expected of them in a real *emergency*. A **tabletop drill** is a meeting to discuss and review a simulated emergency situation in an informal, low-stress environment.

Auditor Note Requirements:

- a. Answer yes or no. Describe the internal and external communication systems in place for emergency plans.
- b. Answer yes or no. State 1 type of an internal contact number and 1 type of an external contact number.
- c. Answer yes or no. State 1 example of emergency response personnel identified and their function during an emergency.
- d. Answer yes or no. State 1 example of an emergency response plan and the required response.
- e. Answer yes or no. Briefly summarize the documented requirement to monitor the emergency plans effectiveness.

10.3 Are employees trained and knowledgeable in emergency response plans appropriate to their responsibilities?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Employees must be able to describe the type of plans and training they have received for emergency response plans in the past 12 months, based on their responsibilities. Training may include First Aid training, health and safety meetings, one-on-one mentoring, etc.

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Auditor Note Requirements:

Answer yes or no. Provide 2 examples of training employees have received for emergency response plans. Include the dates.

10.4 Are emergency response drills conducted within the last 12 months?

Scoring: (0-4 pts)

Range of Scoring. A drill for each emergency response plan is required at least once every 12 months. Award points based on the percentage of positive indicators (drills conducted) based on the total number of emergency response plans documented within the past 12 months.

Verified by Documentation

ALL the company's emergency response plans require documented practice (either a practical drill or tabletop drill) within the last 12 months. A drill can be a **practical drill** or **tabletop drill**. A **practical drill** is a simulated emergency in which players carry out actions, functions, and responsibilities that would be expected of them in a real emergency. A **tabletop drill** is a meeting to discuss and review a simulated emergency situation in an informal, low-stress environment. An exercise may cover multiple emergency plans. For example, an evacuation drill might address multiple scenarios including a fire and a medical emergency. **Actual emergency response records cannot be used for scoring this question.**

Auditor Note Requirements:

Answer yes or no. State which of the emergency response plans have been practiced through a practical drill or tabletop drill within the last 12 months. State which emergency response plans have not been practiced in the past 12 months, if applicable.

10.5 Have deficiencies in the emergency response plan, identified through a drill, been corrected?

Scoring: (4 pts)

All or Nothing. Points are only awarded if documentation and observation criteria are both met. *If points have not been awarded in question 10.4, then zero points are awarded for this question. This question can be marked as n/a only if drills were successful and didn't identify required corrections.* For Documentation: Award points if ALL deficiencies identified on emergency response drill exercises are corrected. For Observations: If corrective actions are not observable, this must be noted in the Auditor's notes. Award points if all observable corrective actions have been implemented. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation & by Observation

For Documentation: *If zero points have been awarded in question 10.4, then zero points must be awarded for this question.* Review emergency response drill documentation, meeting minutes, etc. for verification that deficiencies identified have been corrected.

For Observation: If corrective actions are not observable, the observable portion of this question can be marked as n/a. Verify during the observation tour that identified deficiencies noted during emergency response drills have been corrected.

Auditor Note Requirements:

For Documentation: Answer yes or no or n/a. (If n/a, explain why.) Provide 1 example of a deficiency identified in an emergency response drill. State the type of plan and the date of the drill. State the date the deficiency was corrected.

For Observation: Answer yes or no or n/a. (If n/a, explain why.) Provide 1 example of observable corrective action completed. State the type of emergency plan, the date of the drill, the date the correction was completed.

10.6 Have deficiencies in the emergency response plan, identified through an actual emergency, response been corrected?

Scoring: (4 pts)

All or Nothing. If a real emergency response(s) has not occurred, or deficiencies were not noted in the past 12 months, this question can be marked n/a. Award points if documentation validates that deficiencies in actual emergency responses are identified and corrected. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation

If a real emergency response(s) has not occurred, or deficiencies were not noted during the emergency response in the past 12 months, the question can be marked n/a. Actual emergency responses are unplanned and real responses that activate one or more of the company's emergency response plans. Review emergency activation records, meeting minutes, etc. for verification of corrected deficiencies.

Auditor Note Requirements:

Answer yes or no or n/a. If n/a explain why. State the type of emergency response(s) that occurred, the date(s), and the deficiencies identified and corrected.

**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 11 – First Aid

11.1 Do the numbers of employees trained in first aid meet legislated requirements?

Scoring: (8 pts)

All or Nothing. Award points if the number of employees trained at the company for each work shift meets the minimum legislated requirements for the number and training qualifications. Based on current AB OHS Code requirements. *The Auditor must view ALL first aid certificates to validate current training of each employee.

Verified by Documentation

Refer to the current Alberta OHS Code Schedule 2 Tables 3 to 7 for legislative requirements. Determine these 3 criteria:

1. Is the company a **low, medium or high hazard** work place
2. Is the company a **close, distant, or isolated** work place to a medical provider
3. Verify if the number of employees trained at the company for each work shift *at least meets* the minimum legislated requirements for **the number and training qualifications for first aid personnel for each work-shift/location**

Auditor Note Requirements:

Answer yes or no. State the legislated criteria. State which of the 3 criteria is met. State which of the 3 criteria is not met, if applicable. **Please address each location and work shift individually.*

11.2 Do first aid equipment, supplies and facilities meet legislated requirements?

Scoring: (8 pts)

All or Nothing. Award points if the minimum legislated requirements for first aid equipment, supplies and facilities are available and in good condition – at ALL work places audited, for ALL work-shifts.

Verified by Observation

Refer to the current Alberta OHS Code Schedule 2, Tables 3 to 7 for legislative requirements. Identify the first aid kit and/or first aid room requirements specific to each work site and work shift.

Auditor Note Requirements:

Answer yes or no. State:

1. The legislated minimum type of first aid supplies and facilities per work shift/location.
2. List the observable first aid supplies and facilities available, per work shift/location. **Please address each location and work shift individually.*

11.3 Are first aid records maintained in accordance with legislative requirements?

Scoring: (3 pts)

All or Nothing. Award points if the first aid form contains the 8 criteria an ALL the first aid forms completed in the past 12 months are correctly filled out with the required information.

Verified by Documentation

Based on the current Alberta OHS Code Part 11 Sections 183 and 184, the first aid records must contain these 8 criteria:

1. the injured worker's full name
2. the name and qualifications of the attending first aid person
3. a description of the injury or illness
4. the first aid treatment provided
5. the date and time of the injury or illness
6. the date and time the injury or illness was reported
7. where at the worksite the incident occurred
8. the work-related causes of the incident, if any,

Review completed first aid records in the past 12 months to determine that all necessary information is being recorded for reported injuries or illnesses while respecting worker privacy and confidentiality. Verify completed first aid records are stored in a secure and confidential manner. **If there are no documented first aid injuries in the past 12 months, auditors should be able to observe that the company first aid form contains all 8 criteria and that there is a process to ensure confidentiality.*

Auditor Note Requirements:

Answer yes or no. State if the company's first aid form contains the 8 criteria as stated in the documentation guidelines. State if ALL first aid forms completed in the past 12 months are correctly filled out with the required information and describe how first aid records are stored in a secure and confidential manner.

**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 12 – Senior Management Leadership

12.1 Does senior management provide resources needed to implement and improve health and safety?

Scoring: (5 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Employees must be able to describe how senior management plans and budgets health and safety resources (e.g., paid Health & Safety employee, equipment, training, materials, dedicated budget, etc.).

Auditor Note Requirements:

Answer yes or no. Provide 2 **(SM/M, S, W)** interview examples of how senior management provides resources for health and safety.

12.2 Is senior management knowledgeable about high-risk health and safety hazards?

Scoring: (4 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M) Interviews

Senior managers must describe how they are knowledgeable of BOTH the health and safety high-risk hazards related to their operations (as verified in question 2.4).

Auditor Note Requirements:

Answer yes or no. Provide 1 **(SM/M)** interview example of a high-risk health hazard identified. Provide 1 **(SM/M)** interview example of a high-risk safety hazard identified.

12.3 Does senior management review and sign all critical Health & Safety Documentation?

Scoring: (0-3 pts)

Range of Scoring. One single score is assigned. Award points based on the percentage of critical documentation signed by management in the past 12 months.

Verified by Documentation

Senior management must review and sign critical documents. Document examples: Toolbox meetings, investigations, action plans, etc.

Auditor Note Requirements:

Answer yes or no. (If no, partial points can be awarded). State how many documents were reviewed in the past 12 months. State how many of those documents were signed by senior management. State how many documents were not signed by senior management, if applicable.

12.4 Does senior management demonstrate commitment to health and safety?

Scoring: (4 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Employees must identify how senior management demonstrates their commitment and active participation to health and safety. (e.g., site tours, inspections, HSC, etc.).

Auditor Note Requirements:

Answer yes or no. Provide 2 (SM/M, S, W) interview examples that demonstrate senior management's active participation in health and safety.

12.5 Is a system in place to ensure ongoing two-way communication between senior management and workers, other than through the HSC or HSR?

Scoring: (4 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Employees should be able to describe how the two-way communication takes place.

Validation Note Requirements:

Answer yes or no. Provide 2 (SM/M, S, W) interview examples that demonstrate how senior management ensures ongoing two-way communication.

12.6 Does management review the performance of the occupational health & safety management system (OHSMS) that includes setting strategic direction?

Scoring: (4 pts)

All or Nothing. For Documentation: Award points if there are at least 2 positive indicators of management's involvement in health and safety management system implementation and strategic direction for continuous improvement. For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by Documentation & by (SM/M) Interviews

For Documentation: Adequate documentation must verify management is involved in improving the performance of the health and safety management system. Examples may include: developing/implementing an Action Plan, setting formal goals for health and safety performance, instituting changes in protocols or processes, and approving programs, etc.

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For Interviews: Senior Managers and Managers must describe their involvement in improving the performance of the OHSMS and how they are held accountable.

Auditor Note Requirements:

For Documentation: Answer yes or no. State 2 examples of management accountability for implementing/reviewing the company's health and safety management system. Include the dates. For

Interviews: Answer yes or no. Provide 2 (SM/M) interview examples of how management is held accountable for the performance of the health and safety management system.

**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 13 – System Administration

13.1 Is health and safety information readily available to all employees?

Scoring: (10 pts)

All or Nothing. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive.

Verified by (SM/M, S, W) Interviews

Health and safety information (e.g. hazards assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC meeting minutes, etc.) must be readily available to ALL employees, including contracting employers.

Auditor Note Requirements:

Answer yes or no. Provide 1 (SM/M, S, W) interview example of how health and safety information is made available to ALL employees.

13.2 Are health and safety records/statistics tracked annually?

Scoring: (4 pts)

All or Nothing. Award points if records and statistics are tracked annually by the company.

Verified by Documentation

Review tracked health and safety records/statistics for the 12 months prior to the audit date. Statistics may be calculated monthly, quarterly, or annually depending upon the size of the company.

Auditor Note Requirements:

Answer yes or no. Describe 2 types of records/statistics tracked in the past 12 months.

13.3 Are health and safety records/statistics analyzed to identify trends at least annually?

Scoring: (3 pts)

All or Nothing. Award points if the documentation verifies the company has identified trends, based on health and safety records/statistics.

Verified by Documentation

Determine if the company's records/statistics are analyzed to identify trends, at least annually. The trends may lead to health and safety improvements. Validation may be through the analysis of types of injuries/incidents/number of injuries, WCB claims reports, PPE usage reports, employee training records, incident investigation reports, etc.

Auditor Note Requirements:

Answer yes or no. Provide 1 example of a health and safety trend identified in the past 12 months.

13.4 Is the health and safety management system audited annually?

Scoring: (4 pts)

All or Nothing. If this is the employer's first health and safety audit (first COR certification), this question is not applicable. Award points if the health and safety management system has been audited in the last 12 months. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation

If this is the employer's first health and safety audit (first COR certification), this question is n/a. Review the previous external and/or internal audit of the health & safety program to verify an annual evaluation was completed.

Auditor Note Requirements:

Answer yes or no or n/a. (If n/a, then explain why.) State the date of the previous health and safety audit.

13.5 Was an Action Plan developed from the previous audit to support continuous improvement?

Scoring: (5 pts)

All or Nothing. *If this is the employer's first health and safety audit (first COR certification), this question is not applicable.* Award points if an Action Plan was completed to support continuous improvement based on the 3 criteria. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation

If this is the employer's first health and safety audit, this question is n/a. An Action Plan must be completed annually to support continuous improvement. The Action Plan must contain the following 3 criteria:

1. Measurable action items
2. Completion dates
3. Individuals responsible for follow-up

Auditor Note Requirements:

Answer yes or no or n/a. (If n/a, then explain why.) State which of the 3 criteria were met. State which of the 3 criteria were not met, if applicable. Provide 1 example of an Action Plan item identified by the company.

13.6 Has the Action Plan been implemented?

Scoring: (0-5 pts)

Range of Scoring. This question can be marked not applicable if question 13.5 has been marked not applicable. Award points based on the percentage of positive indicators of Action Plan items implemented. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation

This question can be marked n/a if question 13.5 has been marked n/a. Verify if the items identified in question 13.5 have been implemented. Review the Action Plans and determine if the recommended corrective actions have been implemented.

Auditor Note Requirements:

Answer yes or no or n/a. (If n/a, then explain why.) Provide 1 example of an implemented Action Plan item, how it was implemented, and the completion date.

13.7 Are results from the previous annual audit communicated to employees?

Scoring: (8 pts)

All or Nothing. If this is the employer's first health and safety evaluation, this question is not applicable. For Documentation: Award points if documentation validates the audit results were communicated to ALL employees. For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive. **If selecting N/A, please justify the reason in the note.**

Verified by Documentation & by (SM/M, S, W) Interviews

For Documentation: This question can be marked n/a if question 13.4 has been marked n/a. Verify that ALL employees have been informed of the results of the previous annual audit. Verify names and signatures are included with documentation.

For Interviews: Employees must be able to describe how audit results are communicated to them. If this is the company's first health and safety evaluation, this question is not applicable.

Auditor Note Requirements:

For Documentation: Answer yes or no or n/a. (If n/a, then explain why.) State how the previous audit results were communicated to employees.

For Interviews: Answer yes or no or n/a. (If n/a, then explain why.) Describe 1 **(SM/M, S, W)** interview response in how the annual audit results are communicated.

**Note: a minimum of 1 suggestion for improvement and 1 existing strength must be noted for each audit element. Include the question number, if relevant, in the note. SFI notes must include: the issue/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*