

MHSA SECOR 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. **This question can be N/A for owner/operator companies.**

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 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. **This question can be N/A for owner/operator companies.**

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.

1.3 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.

1.4

- 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=4 pts, b=4 pts, and c=4 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. **This question can be N/A for owner/operator companies.**

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.

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

Scoring: (4 pts)

Last updated: January 2023

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.

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. 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

Last updated: January 2023

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. Senior Managers/Managers
- b. Supervisors
- c. Workers

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

For Interviews: Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive. **This question can be N/A for owner/operator companies.**

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.
- c. Worker involvement in the formal hazard assessment process.

For Interviews: Answer yes or no. Provide 1

- a. **(SM/M)** interview example of manager involvement in the formal hazard assessment process.
- b. **(S)** interview example of supervisor involvement in the formal hazard assessment process.
- c. **(W)** interview example of worker involvement in the formal hazard assessment process.

2.6 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

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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.

2.7 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)

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

Verified by Documentation

- a. **Question "2.7a" 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 **2.7b** 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.

2.8 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.

2.9 Do field level hazard assessments involve affected employees?

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

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/concern, a recommendation to remedy the issue/concern and how it will benefit the company.*

Section 3 – Hazard Controls

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

Scoring: (5 pts)

All or nothing. Awards points if hazard controls have been identified for health and safety hazards including, engineered, administrative and PPE controls where applicable.

Verified by Documentation

Formal hazard assessments must identify hazard controls for existing and potential **HEALTH and Safety** 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. Provide 1 example of an Engineered HEALTH hazard and 1 example of safety hazard control from the completed formal hazard assessments. Provide 1 example of Administrative HEALTH and 1 example of a Safety hazard control from the completed formal hazard assessments. Provide 1 example of a PPE HEALTH hazard control and 1 example of Safety hazard from the completed formal hazard assessments.

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

Scoring: (4 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.*

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

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 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.

3.4 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.

Auditor Note Requirements:

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

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

Scoring: (4 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.

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

Scoring: (4 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.

3.7 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. **This question can be N/A for owner/operator companies.**

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

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

Scoring: (4 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.

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

Scoring: (4 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.

3.10 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. **This question can be N/A for owner/operator companies.**

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.

3.11 Have the Violence and Harassment Plans been reviewed?

Scoring: (4 pts)

All or Nothing. Award points if both the Violence and Harassment Plans have been reviewed in accordance with the three 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 representative (HSR) per the legislative requirements?

Scoring: (5 pts)

All or Nothing. Points are awarded if there is a designated health and safety representative. (A company with less than 20 employees must have a designated HSR.) **This question can be N/A for owner/operator companies.**

Verified by Documentation

Documentation must verify that a designated health & safety representative (HSR) is established if the company has fewer than 20 employees. Alternatively, SECOR companies may voluntarily establish a HSC.

Auditor Note Requirements:

Last updated: January 2023

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

4.2 Has the name and contact information of the HSR been posted?

Scoring: (5 pts)

All or Nothing. Award points if the name and contact information of the HSR has been posted at EACH worksite in a visible location for all employees to view.

Verified by Observation

The name and contact information for the designated HSR must be visibly posted at ALL worksites for all employees to view.

Auditor Note Requirements:

Answer yes or no. State if the name and contact information of the designated HSR is posted at ALL worksites. State which worksites the name and contact information is not posted, if applicable.

4.3

a. Have duties been written for the Health & Safety Representative (HSR)?

b. Has the HSR been trained in their duties and responsibilities?

c. Has the HSR fulfilled their duties and responsibilities?

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

All or Nothing. Award points if duties and responsibilities for the HSR have been written according to legislative requirements and if the HSR has been trained and is fulfilling their duties.

Verified by Documentation

- a. Documentation must verify that the duties and responsibilities of the HSR have been written to comply with the current legislation.
- b. Review training records for the HSR. Documentation must indicate that the HSR has received training related specifically to their duties and responsibilities. Training must include the required topics per the legislation and can be delivered in-house or by an external training provider.
- c. Ensure there is documented evidence of the HSR fulfilling their legislated and company designated duties and responsibilities. Review HSR meeting minutes and action logs to determine compliance.

Auditor Note Requirements:

Answer yes or no.

- a. Provide 1 statement from documentation of the written duties and responsibilities of the HSR.
- b. State 1 example of documented health and safety training received. Include the training date.
- c. Provide 2 examples of when the HSR fulfilled their duties and responsibilities. State how the duty/responsibility was fulfilled and the dates.

4.4 Is a process in place for the HSR 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. **This question can be N/A for owner/operator companies.**

Verified by (SM/M, S) interviews

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

Auditor Note Requirements:

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

4.5 Are health and safety concerns/complaints identified in the HSR meeting minutes 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 – is suggested based on the company 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 HSR concern/complaint and how it was corrected. State the date the issue was identified. State how the issue was corrected. State 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 HSR concern/complaint that has been implemented.

4.6 Is there a system in place for the HSR to address formal employee concerns and complaints related to the health and safety program?

Scoring: (5 pts)

Last updated: January 2023

Award points if there is a system in place for the HSR 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 HSR can apply in a timely manner.

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/concerns, a recommendation to remedy the issue/concerns 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: (5 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 the job 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)

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. **This question can be N/A**

for owner/operator companies.

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 Interview: 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?

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. **This question can be N/A for owner/operator companies.**

Verified by Documentation

The OHS rights, and critical health and safety information must be reviewed with the employees. 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 orientations 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. **This question can be N/A for owner/operator companies.**

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: (0-3 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 MSHA 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 no. State 2 examples of a 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. **This question requires a validation note for owner/operator companies.**

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

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

1. Newly hired
2. Assigned new tasks
3. When an operational change affects their work

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:

1. Newly hired
2. Assigned new tasks
3. 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 when employees received job-specific training.

5.7 Does job-specific training include a practical demonstration?

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 (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 completely 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 Are employee competency assessments conducted?

Scoring: (4 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:

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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.

5.9 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 dates), periodically (where there are no expiry dates), and consistent with company policy schedules. **This question requires a validation note for owner/operator companies.**

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.

**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: (4 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: (4 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. **This question can be N/A for owner/operator companies.**

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.

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 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. **This question can be N/A for owner/operator companies.**

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

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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.

6.5 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. 6.5a and 6.5b are scored separately. Scoring calculation is automated based on interview results. Points are awarded if 70% or greater of the interview responses are positive. **This question can be N/A for owner/operator companies.**

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 and/or self-employed persons, 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 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.

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

Scoring: (5 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:

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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.

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

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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 (may be n/a), 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. **This question can be N/A for owner/operator companies.**

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

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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 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 machine specific lock-out devices available for use or in use. **This question can be N/A for owner/operator companies.**

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 may 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. The use of padlocks and lock-out scissor-clamps, warning tags, etc. may be included.

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 machine-specific 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 to 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 or the companies 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 inspection 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 worksite, the included work areas, frequency of inspection (dates & times recorded), departments, specific operations, employee observation, 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.* **Question 8.4a requires a validation note for owner/operator companies.**

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).
- 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 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. **This question can be N/A for owner/operator companies.**

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.

**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 (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 recurrence.

Auditor Note Requirements:

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

9.2 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.

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 MSHA 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.

9.3 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. **This question can be N/A for owner/operator companies.**

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.

9.4 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. **This question can be N/A for owner/operator companies.**

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.

9.5 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 9.5a, 9.5b and 9.5c 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. Provide 2 examples of identified:

- 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.*

9.6 Are corrective actions in investigation reports

- a. Identified?
- b. Implemented?

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

All or Nothing. Questions 9.6a and 9.6b 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.

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.

9.7 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 9.7a and 9.7b 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.

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 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 Communication systems?

Scoring: (5 pts)

All or Nothing. Award points if emergency response plans include a communication system. If not, award zero points.

Verified by Documentation

Review emergency response plans and/or procedures must include, where appropriate, **internal and external communication systems** 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.

Auditor Note Requirements:

Answer yes or no. Describe the internal and external communication systems in place for emergency plans.

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. **This question can be N/A for owner/operator companies.**

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.

Auditor Note Requirements:

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

10.4 Have emergency response drills been conducted within the last 12 months?

Scoring: (0-5 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: (5 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: (5 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)

Last updated: January 2023

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. **This question requires a validation note for owner/operator companies.**

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 and 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

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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. **SECOR: This question can be N/A for owner/operator companies.**

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

Scoring: (0-5 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. **This question can be N/A for owner/operator companies.**

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.

12.3 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. **This question can be N/A for owner/operator companies.**

Verified by Documentation & by (SM/M) Interviews

For Documentation: Adequate documentation must verify senior 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.

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 senior 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.

12.4 Is a system in place to ensure ongoing two-way communication between senior management and workers, other than through the 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.

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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 13 – System Administration

13.1 Are health and safety records/statistics tracked annually?

Scoring: (6 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.

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

Scoring: (6 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.

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

Scoring: (6 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.

13.4 Has the Action Plan been implemented?

Scoring: (0-6 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.

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

Scoring: (6 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. This question can be N/A for owner/operator companies.**

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.

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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.*