

# ACSA COR Audit Observation Checklist

## Introduction

This checklist contains all of the questions in the ACSA COR Audit Tool that are evaluated by observation. *Follow the detailed instructions and validation note requirements for each audit question. Each audit question has specific requirements and observations related directly to documentation and interviews.* It is important to review the checklist prior to the tour and record important information. For example, Question 7.8 requires a list of equipment mentioned in the employer's preventative maintenance program documentation.

*Space is provided after each audit question for field notes for up to three work sites. If more space is needed, record additional field notes separately. If the audit samples more locations, use multiple copies of this document to record observations.*

## Observation Tour

- The auditor walks through the work site(s) and verifies through observation the items identified in the audit questions outlined below.
- As the items are observed, the auditor takes notes about their location and details in the *Field Notes* box for each question.
- The auditor should record information relevant to scoring and creating the required validation note for each audit question.
- An employee from the organization being audited must accompany the auditor during the observation tour.
- This is not a detailed inspection. The auditor should note general site conditions as well as levels of compliance with policy and legislation.
- The auditor may need to attend a site-specific orientation, complete specialized training, wear proper PPE, and review relevant legislation before visiting each site.
- If the auditor observes a situation where imminent danger may be present, they should immediately report this to the supervisor in charge.
- Request permission from the employer prior to taking any pictures when visiting the sites.

Date		Work Site / Location	
Notes about this work site / location			
Date		Work Site / Location	
Notes about this work site / location			
Date		Work Site / Location	
Notes about this work site / location			

## Field Notes Example

Question	1.9	Validation Method/Scoring	Observation (0-10)
Does the company provide access to current, applicable health and safety legislation?			
Instructions	Scoring	Validation Note	
<p>Consider the types of health and safety legislation applicable to the company's operations and determine the availability of these documents to employees. Observe work sites to verify Health and Safety legislation is readily available to employees.</p> <p>Examples include:</p> <ul style="list-style-type: none"> <li>• Provincial OHS Act, Regulation, and Code</li> <li>• Federal Legislation (e.g., Canada Labour Code, Part II) if applicable</li> <li>• Transport Safety Codes (e.g., TDG, National Safety Code)</li> <li>• Environmental regulations</li> </ul> <p>Delivery of this information to employees may vary (e.g., paper copy, electronic delivery, etc.)</p>	<p>Divide the total number of sites sampled, by the total number of sites that meet legislated requirements.</p> <p>For example, if the company has 10 sites, and 9 have access to current, applicable legislation, divide 9/10, 0.9 x 10 (available points) = 0 points assigned.</p> <p><i>Note: access to the current legislation strictly online is not acceptable, however a downloaded pdf version is. Employees must have access to the current legislation in the failure of internet connection.</i></p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>• The number of sites sampled.</li> <li>• The number of sites sampled that verified sufficient resources were available.</li> <li>• A brief description of how access is or is not provided to one or more of these types of legislation.</li> </ul>	
Work Site / Location	<i>Main office / Shop (Whitecourt)</i>		
Field Notes			
<i>Locations of AB OHS legislation: Shop, Lunchroom, Safety Office. Accessible online.</i>			
Work Site / Location	<i>Site 1 (Fox Creek)</i>		
Field Notes			
<i>Locations of AB OHS legislation: Viewed 2 foremen's downloaded copies of the OHS legislation on their mobile devices. Hard copy in one foreman's truck, and HS Rep's truck.</i>			
Work Site / Location	<i>Site 2 (Mayerthorpe)</i>		
Field Notes			
<i>No access to legislation was found.</i>			

## Observation Questions

Question	1.8 b)	Validation Method/Scoring	Observation (0-10)
Does the employer provide resources needed to support effective management of occupational health and safety hazards?			
Observation Instructions	Scoring	Validation Note	
Observe work areas to confirm appropriate health and safety resources are available as identified from the interviews. <ul style="list-style-type: none"> <li>Materials (e.g., Safety manual, inspection checklists, SDS, etc.)</li> <li>Safety representatives (Includes health and safety committee members)</li> </ul>	Points are awarded based on the percentage of work sites that have appropriate resources available.  Divide the number of worksites included in the observation tour, by the number of observed worksites with appropriate resources.  For example, if the auditor sample includes 5 sites, and 3 have sufficient resources, divide $3/5 = 0.60 \times 10$ (available points) = 6 points assigned.	The note must include: <ul style="list-style-type: none"> <li>The number of sites sampled.</li> <li>The number of sites sampled that verified sufficient resources were available.</li> <li>An example of a resource made available or not available.</li> </ul>	
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			

## Observation Questions

Question	1.9	Validation Method/Scoring	Observation (0-10)
Does the company provide access to current, applicable health and safety legislation?			
Observation Instructions	Scoring	Validation Note	
<p>Consider the types of health and safety legislation applicable to the company's operations and determine the availability of these documents to employees. Observe work sites to verify Health and Safety legislation is readily available to employees.</p> <p>Examples include:</p> <ul style="list-style-type: none"> <li>Provincial OHS Act, Regulation, and Code</li> <li>Federal Legislation (e.g., Canada Labour Code, Part II) if applicable</li> <li>Transport Safety Codes (e.g., TDG, National Safety Code)</li> <li>Environmental regulations</li> </ul> <p>Delivery of this information to employees may vary (e.g., paper copy, electronic delivery, etc.)</p>	<p>Divide the total number of sites sampled, by the total number of sites that meet legislated requirements.</p> <p>For example, if the company has 10 sites, and 9 have access to current, applicable legislation, divide 9/10, 0.9 x 10 (available points) = 9 points assigned.</p> <p><i>Note: access to the current legislation strictly online is not acceptable, however a downloaded pdf version is. Employees must have access to the current legislation in the failure of internet connection.</i></p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>The number of sites sampled.</li> <li>The number of sites sampled that verified sufficient resources were available.</li> <li>A brief description of how access is or is not provided to one or more of these types of legislation.</li> </ul>	
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			

## Observation Questions

Question	2.7	Validation Method/Scoring	Observation (0–15)
Is health and safety information readily available to affected external work site parties as per legislated requirements?			
Instructions	Scoring	Validation Note	
<p>Observe work sites to verify that health and safety information such as hazard assessments, inspections, and procedures are readily available to affected work site parties (other employers, self-employed persons, and visitors).</p> <p>Delivery of this information to employees may vary (e.g., paper copy, electronic delivery, etc.)</p>	<p>Divide the total number of worksites with other parties present, by the number of sites confirmed to have accessible documentation to other worksite parties.</p> <p>For example, if the company has 4 sites where other parties may be present, and only 2 sites confirmed accessibility, the auditor would divide 2 by 4, multiply 0.5 x 15 (available points) = 7.5 = assign 8 points.</p> <p>Auditor may apply n/a if other employers and/or self-employed persons are not typically present on company work sites.</p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>Number of work sites sampled.</li> <li>Number of work sites where the health and safety documents were accessible to affected parties.</li> <li>An example of how these documents were or were not confirmed as accessible onsite.</li> </ul> <p>If n/a is applied, note must include rationale.</p>	
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			

## Observation Questions

Question	3.9	Validation Method/Scoring	Observation (0-10)
Have the names and contact information of the HSC members and/or the HS representative(s) been posted?			
Instructions	Scoring	Validation Note	
<p>Determine the number of active worksites that are required to have a HSC or HS representative.</p> <p>Observe a sample of the represented worksites to confirm the names and the contact information for the HSC members and/or the HS representative(s) are visibly posted at each represented work site.</p> <p>Delivery of this information to employees may vary depending on accessibility (e.g., paper copy, electronic delivery, etc.)</p>	<p>Divide the number of active worksites with a posted list, by the number active worksites that are required to have a posted list.</p> <p>For example, if the auditor samples 5 worksites that require a posted list, and only 3 have a list posted, divide <math>3/5 = 0.6 \times 10</math> (available points) = assign 6 points.</p> <p>Note: If the worksite has 1-4 employees, or does not exceed 90 days at worksites, and has not otherwise been ordered to establish representation or a committee, N/A may be applied to this question.</p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>The number of sites sampled.</li> <li>The number of sites with the contact posting available, or not available.</li> <li>An example of a specific location the contact information was observed on site.</li> </ul>	
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			

## Observation Questions

Question	6.3	Validation Method/Scoring	Observation (0-10)
Have the identified engineering controls been implemented?			
Instructions	Scoring	Validation Note	
<p>Sample engineering controls identified in the formal hazard assessments to verify implementation. Observe the work areas to confirm these assigned engineering controls are in place.</p> <p>Auditor must include high hazard items in the sample to verify they have been given priority.</p>	<p>Points are awarded based on the percentage of engineering controls sampled from the formal hazard assessment that are confirmed during site visits.</p> <p>For example, if the formal hazard assessment identifies an 'equipment guard' as a control method, the auditor should be able to observe this control in place during site observations.</p> <p>For example, the auditor's sample includes 10 engineering controls, and 8 were confirmed during work-site observations. Divide 8 by 10, multiply 0.8 by 10 (points available) = 8 points assigned.</p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>The number of specific observations</li> <li>The number of compliant observations</li> <li>An example of a hazard and the associated engineering control that was observed or not observed.</li> </ul>	
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			

## Observation Questions

Question	6.5	Validation Method/Scoring	Observation (0-10)
Are the identified personal protective equipment (PPE) controls implemented?			
Instructions	Scoring	Validation Note	
<p>Sample personal protective controls (PPE) identified in the formal hazard assessments to verify implementation. Determine a sample of PPE controls, and verify through observation they are in place.</p> <p>Auditor must include high hazard items in the sample to verify they have been given priority.</p>	<p>Points are awarded based on the percentage of PPE controls sampled from the formal hazard assessment that are confirmed during work-site observations.</p> <p>For example, the auditor chooses to sample hearing protection and hardhats for 50 employees. The results are 40/50 are using the required items during the worksite observations. Divide 40 by 50, multiply 0.8 x 10 (available points) = 8 points assigned.</p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>• The number of instances where PPE is in use.</li> <li>• The number of instances where PPE should have been in use.</li> <li>• An example of a hazard and the PPE that was observed or not observed in use of a control.</li> </ul>	
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			

## Observation Questions

Question	6.7 b)	Validation Method/Scoring	Observation (0–20)
Are employees using the required hazard controls?			
Instructions	Scoring	Validation Note	
<p>Observe employees performing their jobs, and verify they are using the established hazard controls identified in the interviews.</p> <p>Select several controls from formal hazard assessment documents and list them below.</p> <p>Ensure controls identified in relation to high priority hazards have been included in the sample.</p>	<p>Divide the number of controls identified during the interviews (Question 6.7a), by the number of controls confirmed during worksite observations.</p> <p>For example, if a worker identifies a specific control such as 'safety glasses' used during grinding tasks, and the auditor is able to confirm workers wearing safety glasses while grinding during site observations, this would be a positive indicator.</p> <p>If the auditor completed 10 specific observations, and 9 were positive, divide 9 by 10, multiply 0.9 x 20 (available points) = 18 points assigned.</p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>The number of hazard controls identified in the interviews.</li> <li>The number of hazard controls confirmed during site observations.</li> <li>An example of a hazard and control confirmed, or not confirmed during site observations.</li> </ul>	
Work Site / Location			
Field Notes			
Work Site / Location			
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Work Site / Location			
Field Notes			

## Observation Questions

Question	7.4 b)	Validation Method/Scoring	Observation (0–15)
Have deficiencies identified through formal inspections been corrected?			
Instructions	Scoring	Validation Note	
<p>Select a sample of corrective actions identified on Inspection Checklists/Forms and list them below.</p> <p>Based on the observations of the audited work areas, determine if sampled deficiencies identified in the inspection reports have been corrected.</p> <p>Where no deficiencies are identified or observable, this question may be marked not applicable (n/a).</p>	<p>Observation points are awarded based on the percentage of corrected deficiencies.</p> <p>Where no deficiencies are identified or observable, this question may be marked not applicable (n/a).</p> <p>For example, if the auditor samples 8 deficiencies, and 7/8 are corrected, divide 7 by 8, multiply 0.88 x 15 (available points) = 13.2 = 13 points assigned.</p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>The number of deficiencies sampled for observation.</li> <li>The number of deficiencies confirmed implemented or not implemented.</li> <li>An example of a deficiency that was or was not implemented.</li> </ul> <p>If n/a is applied, note must include rationale.</p>	
Work Site / Location			
Field Notes			
Work Site / Location			
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Work Site / Location			
Field Notes			

## Observation Questions

Question	7.8	Validation Method/Scoring	Observation (0-10)
Is all equipment requiring preventive maintenance included within the preventive maintenance program?			
Instructions	Scoring	Validation Note	
<p>Prior to the observation tour, generate a list of all types of equipment in the preventive maintenance program, equipment inventory lists, or maintenance records for work sites to be visited.</p> <p>During the site visit, verify if the equipment within the preventive maintenance program is consistent with the equipment found on the work site. A sample may be required for large work sites.</p>	<p>Divide the number of types of equipment observed by the number of types of equipment included in the Preventive Maintenance program.</p> <p>For example, the auditor observes 30 different types of equipment, and the inventory is missing 10 items. Divide <math>20/30 = 0.67 \times 10</math> (available points) = 7 assigned points.</p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>The number of types of equipment that appeared in the company's preventive maintenance program.</li> <li>The number of types of equipment that should have appeared.</li> <li>An example of equipment that did or did not appear in the preventive maintenance program.</li> </ul>	
Work Site / Location			
Field Notes			
Work Site / Location			
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Work Site / Location			
Field Notes			

## Observation Questions

Question	8.1 b)	Validation Method/Scoring	Observation (0,10)
Does the Emergency Response Plan identify the potential emergency scenarios applicable to the company's operations and legislated requirements?			
Instructions		Scoring	Validation Note
<p>Prior to the observation tour, identify a sample of emergency scenarios evaluated in question 8.1 a) from the company's ERP that are applicable to the work activities at the work sites.</p> <p>During the visit, determine if the ERP covers sufficient emergency scenarios for the work sites sampled.</p> <p>In particular, determine if any scenarios covered by legislation were missed.</p>		<p>Score 10 points if the Emergency Response scenarios are sufficient for the work activities observed.</p> <p>Score 0 points if requirements not met.</p> <p>For example, if the company has identified 3 (Fire, Flood, and Medical Aid) but the auditor observed workers driving vehicles and the ERP did not include motor vehicle incident, the auditor would score 0 points.</p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>An example of the work activity observed in relation to one of the potential emergencies.</li> <li>A description of any potential emergency scenarios identified, but not present in the ERP, if applicable.</li> </ul>
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			

## Observation Questions

Question	8.5	Validation Method/Scoring	Observation (0-10)
Are non-medical emergency supplies and equipment identified in the emergency response plan available?			
Instructions	Scoring	Validation Note	
<p>Review a sample of emergency equipment listed in the ERP that is applicable to worksite(s) to be visited.</p> <p>During the site visit, confirm the equipment listed in the ERP is available and in working condition. Where the ERP fails to provide a list of appropriate non-medical supplies or equipment, the auditor may measure the company's equipment and supplies against regulatory requirements.</p> <p>Examples include: high visibility clothing, self contained breathing apparatus, spill kits, fire extinguishers, and aerial work platforms (as identified in fall rescue plans), etc.</p>	<p>Divide the number of equipment and supplies identified in the ERP by the total number of required equipment and supplies that should have been identified.</p> <p>For example, the company has 3 vehicles that transport hazardous waste, and each requires a spill kit as per the emergency response plan. The auditor observes that only 1 of the vehicles in operation has the required spill kit. Divide 1 by 3 = 0.33 x 10 = 3.3 = 3 points assigned.</p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>Number of non-medical equipment sampled, as required by the site ERP.</li> <li>Number of non-medical equipment observed.</li> <li>An example of non-medical equipment available or missing from observations.</li> </ul>	
Work Site / Location			
Field Notes			
Work Site / Location			
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Work Site / Location			
Field Notes			

## Observation Questions

Question	8.10	Validation Method/Scoring	Observation (0–15)
Are appropriate first aid equipment and supplies available in accordance with occupational health and safety legislation?			
Instructions	Scoring	Validation Note	
Review provincial occupational health and safety (OHS) legislation for first aid equipment and supplies required for the work sites to be visited. Observe first aid equipment and supplies during work site visits.  Examples include: <ul style="list-style-type: none"> <li>No. 2 First Aid Kit</li> <li>Blankets</li> <li>First Aid room</li> </ul>	Divide the total number of sites visited, by the total number of sites that meet legislated requirements.  For example, the auditor samples 10 sites, and 7 meet legislated requirements, the auditor would divide 7 by 10, multiply 0.7 by 15 (points available) = 10.5 = 11 points assigned.	The note must include: <ul style="list-style-type: none"> <li>The number of work sites sampled.</li> <li>The number of locations where appropriate first aid equipment and supplies were observed.</li> <li>An example of any first aid equipment and supplies found or not found as expected.</li> </ul>	
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			
Work Site / Location			
Field Notes			

## Observation Questions

Question	9.8 b)	Validation Method/Scoring	Observation (0-15)
Are the recommended corrective actions implemented?			
Instructions	Scoring	Validation Note	
<p>For corrective actions that are observable, award points if implementation of the corrective actions is confirmed based on observations of audited work areas.</p> <p>Select a sample of recommended corrective actions identified on incident investigation reports and record them below.</p>	<p>Observation points are awarded based on the percentage of implemented observable corrective actions.</p> <p>If corrective actions are not observable, the observation portion of this question may be marked not applicable (n/a).</p> <p>For example, if the auditor samples 5 corrective actions, and 2 are not implemented, divide 3/5, 0.60 x 15 (available points) = 9 points assigned.</p>	<p>The note must include:</p> <ul style="list-style-type: none"> <li>The number of corrective actions sampled for observation.</li> <li>The number of corrective actions confirmed implemented or not implemented.</li> <li>An example of a corrective action that was or was not implemented.</li> </ul> <p>If n/a is applied, note must include rationale.</p>	
Work Site / Location			
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