

# Health and Safety Standard Audit Document National Standard



**ACSA**

**Alberta Construction Safety Association**



# Health and Safety Standard Audit Document

## Alberta Construction Safety Association

### Alberta Construction Safety Association (ACSA)

The Alberta Construction Safety Association (ACSA) is an independent organization funded by its member companies in the construction industry. The Association's goal is to assist its member companies in safety-related matters.

### Acknowledgements

The Alberta Construction Safety Association, with the assistance of industry members and Alberta Human Services, Workplace Health and Safety, developed this audit document. Their collective input and dedication to the issues are greatly appreciated by the Association.

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## 1. Instructions for Completing the Health and Safety Audit Document

The Alberta Construction Safety Association has prepared this Health and Safety Audit Document to assist our members in measuring the effectiveness of their health and safety management systems. This document is designed to be used by company staff members or other individuals trained in its use.

Before you begin the health and safety audit process, read over these pages carefully. They will explain the reasons for performing audits and describe the techniques used by this tool.

Remember, audits are a management tool used to improve existing systems. Audits measure system performance and provide a basis for future management strategies. It is important for the auditor to be objective at all times; otherwise, the audit process is of little use.

### Auditor Comments – Minimum Standards

There are two minimum standards. One applies to new auditors and the other applies to experienced auditors.

#### New Auditor

An individual who has not yet completed two audits that have passed ACSA Quality Assurance review, including a self-audit for auditor certification. These auditors must provide a comment for **every question in the audit document regardless of whether it has a positive or a negative response.**

#### Experienced Auditor

An individual who has submitted at least two complete audits that have passed ACSA Quality Assurance and has maintained his/her status as an auditor. An experienced auditor is required to:

- Make comments for all questions contained in sections 2, 3, 4, 5, 6 & 7. Comments are required for every question whether it has a positive or a negative response.
- Make a comment anywhere there is a negative response indicated in sections 1, 8, 9, 10, 11, 12 & 13. Please keep in mind that if it is an “OR” question and one response is positive and one is negative, you are still required to comment.
- Make comments for all questions that you have indicated are not applicable (N/A) to the outcome of this audit.

Please be advised that the above outlines the **minimum** standards that must be met. Auditors are encouraged to provide a comment for every question as a means of providing further information to the company being audited.

**If you allow your auditor certification to lapse, you will be required to begin the process again as a new auditor. You will need to retake the auditor training program and be subject to all other new auditor certification requirements.**

Note: All audits, from start to finish, must be completed within a maximum of 45 calendar days. The audit must then be finalized and submitted to the ACSA within 45 days of the audit completion date.

### Performing the Audit

Before proceeding with the audit, complete the audit information sheet (page AD-1). Fill in ALL the blanks. Always place the hard cover after each yellow page to avoid copying onto the sheets beneath.

There are three verification techniques used in completing the actual audit: document review, observation and interviews. These verification techniques are listed at the top of the scoring columns as *Technique Employed* in the audit document. The techniques are listed below:

**D = Documentation**  
**O = Observation**  
**I = Interviews**

## There are 9 chronological steps to performing an audit.

### Step 1 - Pre-Audit Preparation

The employer (auditee) must contact the auditor to schedule the audit. Once the auditor has been contacted, he or she should confirm the following:

- Date, time and location of the pre-audit meeting
- Names and positions of the people in attendance at the pre-audit meeting
- Date, time and location of the active work site(s) for the audit scope and the anticipated schedule for completion
- What supplies or documentation they are required to bring
- Availability of the audit document (hard copy or electronic)
- Availability of an organizational chart for the auditor to review in advance (optional)
- Number of management/supervisors and workers for each active site in order to select potential interviewees (e.g. payroll list with names, positions and dates of hire)
- Prevalent language spoken at the work site(s)
- Name of the key contact person
- Availability of a quiet area for the interviews
- Requirements for a site orientation and (if applicable) special training requirements
- Possibility of having an escorted (by client's employee) pre-audit site tour or a table-top discussion/review of the work site for safety and familiarization purposes. **The auditor must make arrangements to be escorted by an owner/client representative when touring a work site.**
- Availability of personal protective equipment (PPE) required while on site

- Availability of the H&S manual for the auditor for advance review (optional)
- Availability of documentation/records (health and safety meeting minutes, inspection reports, etc.)

### Step 2 - Pre-Audit Meeting

The audit begins at the pre-audit meeting with the senior manager and/or designated employees.

Prior to the meeting, the auditor should write down key points for discussion, such as:

- Purpose and scope of the audit
- Schedule of events (D.O.I. process, site tours)
- Auditor Code of Ethics (confidentiality of information)
- Audit document to be used (electronic/hard copy)
- Minimum scores for the audit
- Identification of the person designated as site escort and key contact
- Confirmation of the location of the active work site(s)
- Confirmation of the site(s) to be toured and the number of managers/supervisors and workers to be interviewed at each site, as determined by the auditor and/or the ACSA
- How to handle non-conformance issues
- Schedule for the close-out meeting
- Company (auditee) concerns or questions

It is important to be punctual. Arrive at the meeting location 10-15 minutes early so you can organize your thoughts and review the key points for discussion. Take notes during the meeting so that you can refer back to them at any point.

### Step 3 - Site Familiarization

Before any on-site auditing activities begin, the auditor should have an opportunity to visit the sites involved in the audit. This will allow the auditor an opportunity to observe the company's operations. The site familiarization tour should be

discussed during the Pre-Audit Meeting. This also enables the company to transfer pertinent information to the auditor before the audit commences.

Some questions to consider include:

- Who is the key contact person or site representative?
- Which supervisors/managers, workers and other key employees affected by the audit will the auditor be required to meet?
- Will the site familiarization provide a health and safety orientation for the auditor?

#### Step 4 - Documentation Review

This is the first technique used to measure the company's H&S management system. The auditor is attempting to verify that activities are actually taking place as set by policy and legislation.

A document review verifies the completeness and effectiveness of the written H&S management system. This also assists auditors with interviewee selection and may identify some key points to confirm during the observational tour. A document may raise many questions and the auditor must be able to search for the answers.

**Example:** While reviewing an incident report involving a guard removal, you note the following data:

- Date, time and location of the incident
- Facts surrounding the event
- Recommendations (e.g. for a replacement guard over a pulley and worker-awareness training on equipment guarding)
- Report's completeness, including the investigating supervisor's name

To verify that recommendations were implemented, you would:

- Review attendance records of training or health and safety meeting minutes to verify that training occurred and was documented
- Check, during the observational tour, that the corrective action was implemented (e.g. seeing that the guard was replaced)
- Verify, by interviewing the supervisor, the completeness of the investigation

***Important***

*When reviewing a program, always give the employer an opportunity to locate a document that may not be in its assigned location at the time of the audit. Daily diaries, journals and log books can provide acceptable proof that specific activities are being completed. Records must be presented within a reasonable timeframe.*

**Step 5 - Site Observation**

The observation or site tour is the second technique used to measure the H&S program. Observations verify that activities are actually taking place as noted in the documents.

This is **not** a detailed inspection. Using the Observation Checklist, the auditor should note general site conditions as well as levels of compliance with policy and legislation. Interviewees may be selected based on the tasks being performed. Prior to conducting a site observation, the auditor may need to attend a site orientation, complete specialized training, wear appropriate PPE and review applicable legislation.

*Note: If the auditor observes work activities that may cause imminent danger to a worker or workers, he/she should immediately report this to the supervisor in charge. A site observation checklist is included in the audit document.*

**Step 6 - Interviews**

Manager/supervisor and worker interviews represent the third technique used to measure the H&S program. Interviews confirm documentation and site observation findings.

To determine the number of managers/supervisors to be included in the interview process, use the chart on page 8 with the following formula. For a company with 35 employees, including 5 management positions, perform the following calculation:

$$\frac{\text{Total number of manager/supervisors}}{\text{Total number of employees}} \times \text{No. of interviews required} = \text{Number of supervisor/manager interviews required}$$
$$\underline{\hspace{10em}} \times \underline{\hspace{10em}} = \underline{\hspace{10em}}$$

## Number of Interviews Performed Based on Company Size

Total Staff	Minimum Interviews	Total Staff	Minimum Interviews	Total Staff	Minimum Interviews
<5	All	234-240	35	560	66
5	4	241-249	36	561-570	67
6-7	5	250-299	37	570-580	68
8	6	300-302	38	581-595	69
9	7	303-309	39	596-605	70
10-11	8	310-312	40	606-615	71
12-14	9	313-315	41	616-625	72
15-16	10	316-320	42	626-638	73
16-17	11	321-325	43	639-645	74
18-20	12	326-329	44	646-655	75
21-24	13	330-332	45	656-665	76
25-27	14	333-335	46	666-678	77
28-30	15	336-338	47	679-689	78
31-36	16	339-341	48	690-699	79
37-44	17	342-348	49	700-705	80
45-49	18	349-354	50	706-719	81
50-64	19	355-359	51	720-729	82
65-74	20	360-364	52	730-740	83
75-88	21	365-369	53	741-749	84
89-99	22	370-374	54	750-790	85
100-120	23	375-379	55	791-840	86
121-149	24	380-389	56	841-959	87
150-199	25	390-399	57	960-1000	88
200-204	26	400-475	58	1001-1499	89
205-209	27	476-499	59	1500-1800	90
210-212	28	500-510	60	1801-2500	91
213-214	29	510-519	61	2500-4000	92
215-220	30	520-529	62	4001-4999	93
221-222	31	530-539	63	5000-9999	94
223-226	32	540-549	64	10000-24999	95
227-230	33	550-559	65	25000+	96
231-233	34				

When conducting interviews, use the question sheet provided for manager/supervisors or workers. Time management is essential. Stress to the interviewee that the answers given are strictly confidential.

Work through each question where the interview is required to verify or confirm that answer. Use a ✓ for a positive response or an X for a negative response in the interview technique column.

**Note:** In order to award a ✓ for a positive response there must be more positive than negative responses to the questions being asked. If there are an equal number of positive and negative responses, award a positive response.

### **Audit Document – Awarding Points**

Where an "and" appears under the verification technique column, positive responses must be made for **both** techniques before points can be awarded.

Where an "or" appears under the verification column, only **one** verification technique showing a positive result is required to award points. **Both** techniques **must** be used and recorded in the technique boxes in the audit document.

### **DO NOT AWARD PARTIAL POINTS.**

**Questions may be deemed non-applicable if they do not apply to the company being audited. In this situation, a question can be marked N/A and the points removed from the section provided justification is given under the comments section.**

Shaded areas indicate that a particular technique does not apply to the question.

When each section has been completed add up the points and write the total in the total points awarded boxes. When the audit has been completed, transfer points awarded to the summary sheet.

## Step 7 - Write the Report (Executive Summary Report)

The Auditor Executive Summary Report is intended to communicate:

- strengths and weaknesses of the company's health and safety management system
- areas that provide opportunities for improvement
- suggestions on how to improve the safety management system

### **First:**

Thank the organization for their efforts and assistance during the audit. Identify the individual(s) who helped during the audit. Identify and describe any positive areas (strengths) in the health and safety program.

### **Second:**

Provide **at least three areas where improvement is needed** and provide suggestions for ways in which the company can achieve these improvements. **Each area for improvement must:**

- identify the deficiency
- include a recommendation for improvement
- explain how the recommendation will benefit the company

### **Third:**

Thank the company for allowing you to present the audit findings, and suggest that if they focus on the improvements, their program can be more effective at providing a safe and healthy work environment. In addition, recommend they develop an "Action Plan" based on the audit findings.

## Step 8 - Post-Audit (Close-Out) Meeting

This is your opportunity to communicate audit findings to the employer, invite and answer any questions the company representatives may have, and let the employer know the next step required. Ideally, the same people from the Pre-Audit Meeting will be in attendance at the Post-Audit Meeting.

The following items are recommended to be completed or discussed:

- thank the employer for allowing you to audit the H&S program
- restate how the program was verified using *Documentation*, *Observation* and *Interview* techniques

- invite questions during the review process and be prepared to objectively defend your results
- give the employer credit and recognition for his/her efforts
- include the site location(s) visited and the number of employees interviewed
- emphasize the successful elements of the H&S program
- make reasonable and practicable recommendations for improvement
- present the audit score
- recommend the development and implementation of an Action Plan
- suggest that the company designate determines and enters the goal for the next audit on the audit summary page
- ensure you and the company designate sign the Audit Summary Sheet
- inform the company that all materials have been returned
- explain to the company what the next steps in the process are:
  - company/auditor submits the audit to the ACSA for Quality Assurance review
  - if revisions are required, auditor will be contacted to make them
  - when Quality Assurance review is approved the company will be notified

### Step 9 - Quality Assurance

Quality Assurance is a three part process:

The first part is the responsibility of the auditor. The auditor will complete the Audit Submission Checklist during the audit process to help ensure that various elements of the audit are completed correctly.

The second part is the responsibility of the ACSA. Upon audit submission, the ACSA will confirm that all standards listed in the ACSA Quality Assurance Document have been adhered to appropriately.

The third part (when applicable) is the responsibility of the auditor. If there are any issues with the completed audit, it will be sent back to the auditor for corrections/changes. The auditor must then make the revisions in accordance with ACSA Quality Assurance and ensure that all corrections are completed within the allotted time period.

## Audit Document Submission Checklist

Prior to submitting the audit document to the ACSA for review, ensure that you have completed the audit document submission checklist (included at the back of the audit document).

### DEFINITIONS

Auditor	An individual who has the qualifications and skill to measure health and safety performance against a given standard. Competency is based on training through a recognized agency, certification, and experience.
Code of Practice	A selection of appropriate regulations and procedures specific to hazardous work.
Critical Task/Job	A job with high potential for serious loss or injury.
Employees	All of the individuals employed by the company. Includes Managers, Supervisors and workers.
Incident	An undesired, unplanned, unexpected event that results, or has the potential to result, in physical harm to a person or damage to property (loss or no loss).
Job	A segment of work, a specific work assignment, or a set of actions required to complete a specific work objective. An accumulation of all tasks involved at the work site.
Management	People who have some level of authority, responsibility, and accountability within the firm.
Manager	A person who administers and/or supervises the affairs of a business, office, or organization.
Medical Monitoring (Surveillance)	Mandated medical examinations for workers exposed to occupational health hazards such as organic lead, asbestos, silica, coal dust, noise exposure, etc. Refer to Occupational Health and Safety legislation for your jurisdiction.
No-Loss Incident	Any unplanned and unwanted event which could have resulted in damage or injury (i.e. near miss).

## DEFINITIONS

Rule	A company directive that governs and controls conduct or action.
Safe Job Procedure	A written, specific step-by-step description of how to complete a job safely and efficiently from start to finish.
Safe Work Practice	A set of positive guidelines or “Do’s and Don’ts” on how to perform a specific task that may not always be done in a certain way.
Supervisor	An individual who directs the day-to-day work. This includes foremen, supervisors, and in some firms superintendents.
Task	A segment of work that requires a set of specific and distinct actions for its completion.
Worker	An individual employed by a company (full-time, part-time, volunteer or on a contractual basis). This could include owners, management, sub-contractors, and workers. For the purposes of this audit, a worker will be defined as an individual who does not have management or supervisor responsibilities.

## GENERAL GUIDELINES

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### NOTE:

**A representative sample of the WCB industry code(s) applicable to the operations of the organization/company must be included in the audit. For example, if there are two industry codes (40604 – operation of heavy equipment and 34800 – transit mix operations), the audit process should include a representative sample of EACH industry code. If one industry is not included, the audit would only be valid for the industry code audited.**

Failure to complete this document as directed may result in the audit being rejected or returned for required corrections, additions, etc.

If the audit is being utilized for the Certificate of Recognition (COR) program, it is the responsibility of the company to ensure that the completed audit document is forwarded to the ACSA within 45 calendar days of completion.

## Observation Checklist

Audit	Observations Required	Observation Findings	Positive	Negative
1.4	Observe prominent locations at work sites (e.g. reception, lunchroom, field offices) and verify that the health and safety policy has been posted where possible.			
2.8	Once hazards have been identified, confirm that controls have been put in place. Verify the implementation of engineering controls, administrative controls and PPE.			
3.1B	Observe work sites and verify that the required safe work practices have been written based on the work you observe.			
3.3	Observe work locations and confirm that copies of the safe work practices are available.			
3.4	Observe work being conducted at work sites and confirm the workers are following the safe work practices.			
4.1B	Observe work sites and verify that the required safe job procedures have been written based on the work you observe.			
4.3	Observe work locations and confirm that copies of the safe job procedures are available.			
4.4	Observe work being conducted at work sites and confirm the workers are following the safe job procedures.			
5.1	Observe prominent locations at work sites (e.g. reception, lunchroom, field offices) and verify that the rules have been posted where possible.			

Audit	Observations Required	Observation Findings	Positive	Negative
6.2	Observe how PPE is made available to workers. Confirm that specialized PPE is made available when required.			
6.3	Observe active work sites and ensure that required PPE is being worn by all workers.			
7.4	Observe work sites and verify that defective tools and/or equipment are not used and are correctly taken out of service.			
9.6B	Confirm that deficiencies identified through current inspections have been corrected.			
9.8	Observe prominent locations at work sites (e.g. reception, lunchroom, field offices) and verify that the inspection reports have been posted where possible.			
10.8B	Verify that corrective actions that were required as part of an investigation have been implemented – if unable to verify please mark N/A.			
11.2	Verify that the emergency response plan is appropriate for work sites and the types of hazards encountered.			
11.5	Verify that fire extinguishers of the correct class are available, marked and visible.			
11.6	Observe the tags on fire extinguishers to confirm that they are inspected and maintained as per NFPA 10.			
11.7	Confirm that workers have access to emergency communication devices.			
11.8	Verify the availability of adequate first aid supplies and facilities.			

Audit	Observations Required	Observation Findings	Positive	Negative
11.9	Through observation confirm that the required numbers of first aid personnel are on site. (e.g. hard hat stickers, posted list of first aiders).			
13.2	Observe prominent locations at work sites (e.g. reception, lunchroom, field offices) and verify that copies of relevant legislation have been posted where possible.			
A.1.2	Observe prominent locations at work sites (e.g. reception, lunchroom, field offices) and verify that the alcohol and drug policy has been posted where possible.			



**Manager &  
Supervisor  
Interview Questions**

## Manager and Supervisor Interview Questions

Number		Audit Question	Positive	Negative
	<b>Section 1 Health and Safety Policy</b>			
1.	Describe how the Health and Safety Policy is made available to workers?	1.4		
2.	Can you describe some of your accountabilities/responsibilities under the policy?	1.6		
3.	How do you ensure that resources are made available to sustain the health and safety program?	1.7		
	<b>Section 2 Workplace Hazard Assessment and Control</b>			
4.	What process is in place that assures you that hazards are being re-assessed on an on-going basis?	2.5B		
5.	What process is used to inform employees of the control strategies identified through the hazard assessment process?	2.9		
6.	How do you ensure that the recommendations for hazard control are put in place? (evaluation, enforcement?)	2.11		
	<b>Section 3 Safe Work Practices</b>			
7.	How are you involved in the development and/or review of Safe Work Practices?	3.5		
	<b>Section 4 Safe Job Procedures</b>			
8.	How are you involved in the development and/or review of Safe Job Procedures?	4.5		
	<b>Section 5 Company Rules</b>			
9.	Are all employees reprimanded for not following safe work practices/job procedures and/or rules?	5.4		
	<b>Section 6 Personal Protective Equipment (PPE)</b>			
10.	What system do you have in place to ensure that employees have access to basic and/or specialized PPE? (Some employers provide specialized PPE and employees are responsible for basic – identify what type of system is used.)	6.2		

## Manager and Supervisor Interview Questions

Number	Question	Audit Question	Positive	Negative
<b>Section 8 Training and Communication</b>				
11.	How do you ensure that proper individuals attend mandatory orientation? (Rules, discipline etc.)	8.2B		
12.	Have you received training in workplace inspections and your health and safety responsibilities?	8.6B		
13.	Is open discussion encouraged during health and safety meetings?	8.8		
<b>Section 9 Inspections</b>				
14.	What system do you have in place for employees to report unsafe or unhealthy working conditions?	9.5		
15.	How do you participate in the inspection process?	9.7		
16.	How are employees informed of the outcome of inspections?	9.8		
<b>Section 10 Investigations and Reporting</b>				
17.	What is the reporting process after an incident occurs?	10.3		
<b>Section 11 Emergency Preparedness</b>				
18.	What training have you received in emergency procedures, roles and responsibilities?	11.3		
19.	How are employees able to communicate with emergency personnel if required?	11.7		
<b>Section 12 Records and Statistics</b>				
20.	Were you informed of the action items that were identified as a result of your last audit?	12.5		
<b>Section 13 Legislation</b>				
21.	Are you aware of your rights and responsibilities under the legislation?	13.3		

## Manager and Supervisor Interview Questions

Number	Question	Audit Question	Positive	Negative
	<b>Appendix – Substance Abuse Program</b>			
1.	Did your training on the Substance Abuse Program include types of assessment and return to work processes?	A1.3		
2.	What type of occurrence would lead to the requirement for a test?	A1.5		
3.	What would happen if an employee was found to be in non-compliance with the policy?	A1.6		
4.	Does your company provide information on how to access support services such as an employee assistance program?	A1.7		



## Worker Interview Questions

Number	Question	Audit Question	Positive	Negative
<b>Section 1 Health and Safety Policy</b>				
1.	How is the Health and Safety Policy made available to you?	1.4		
2.	What are some of your health and safety accountabilities/responsibilities?	1.6		
3.	Are you able to attend health and safety training as required? Is there financial support available?	1.7		
<b>Section 2 Workplace Hazard Assessment and Control</b>				
4.	How are you re-assessing hazards in the workplace?	2.5B		
5.	How are you informed of controls that will be used to minimize hazards at your workplace?	2.9		
<b>Section 3 Safe Work Practices</b>				
6.	Do you understand how to perform the tasks as laid out in the Safe Work Practices?	3.2		
7.	How are copies of these Safe Work Practices made available to you?	3.3		
8.	Were you involved in the development or review of the Safe Work Practices?	3.5		
<b>Section 4 Safe Job Procedures</b>				
9.	Do you understand how to perform the tasks as laid out in the Safe Job Procedures?	4.2		
10.	How are copies of these Safe Job Procedures made available to you?	4.3		
11.	Were you involved in the development or review of the Safe Job Procedures?	4.5		
<b>Section 5 Company Rules</b>				
12.	Were you provided with a copy of the rules? If so how?	5.1		
13.	Do you understand the rules and what they mean?	5.2		
14.	In your opinion, are the rules enforced consistently with all employees?	5.4		

## Worker Interview Questions

Number	Question	Audit Question	Positive	Negative
<b>Section 6 Personal Protective Equipment (PPE)</b>				
15.	How are you informed of different PPE requirements on work sites?	6.1B		
16.	How do you obtain basic or specialized PPE when it is required?	6.2		
<b>Section 7 Preventative Maintenance</b>				
17.	Do you use the written process to remove defective tools from service?	7.4		
<b>Section 8 Training &amp; Communication</b>				
18.	Were you given an orientation before starting work? If you have been reassigned, was this orientation repeated?	8.2B		
19.	Are you able to bring up safety concerns in health and safety meetings?	8.8		
20.	Do senior managers attend your health and safety meetings?	8.9B		
<b>Section 9 Inspections</b>				
21.	What are some ways that you could report unsafe/unhealthy work conditions?	9.5		
22.	How are you informed of the results of inspections of your work sites?	9.8		
<b>Section 10 Investigations and Reporting</b>				
23.	Are you aware of the procedure for reporting incidents?	10.3		
24.	When do you need to report a no-loss incident?	10.6B		
25.	How are you informed of any changes that may be required as the result of an investigation?	10.8C		
<b>Section 11 Emergency Preparedness</b>				
26.	Did you receive training on your responsibilities in an emergency?	11.3		
27.	How are you able to contact emergency personnel if required?	11.7		

## Worker Interview Questions

Number	Question	Audit Question	Positive	Negative
<b>Section 12 Records and Statistics</b>				
28.	How were you informed of the results of the previous health and safety audit and/or any actionable items?	12.5		
<b>Section 13 Legislation</b>				
29.	How are you able to access a copy of the relevant legislation if required?	13.2		
30.	What are your rights and responsibilities under the OH&S Act, Regulation and Code?	13.3		
<b>Appendix – Substance Abuse Program</b>				
1.	How is the alcohol and drug policy communicated?	A1.2		
2.	Are you aware of the company's return to work program?	A1.3		
3.	What type of occurrence would lead to the requirement for a test to be conducted?	A1.5		
4.	Do you understand what would happen if you were found to be in non-compliance with the policy?	A1.6		
5.	Does your company provide information on how to access support services such as an employee assistance program?	A1.7		

### ACSA Interview Summary Sheet

Worker Interviews			Manager/Supervisor Interviews			Audit Document	Transfer Results to Audit Document	
Question #	Positive	Negative	Question #	Positive	Negative	Reference	Positive	Negative
1			1			1.4		
2			2			1.6		
3			3			1.7		
4			4			2.5B		
5			5			2.9		
			6			2.11		
6						3.2		
7						3.3		
8			7			3.5		
9						4.2		
10						4.3		
11			8			4.5		
12						5.1		
13						5.2		
14			9			5.4		
15						6.1B		
16			10			6.2		
17						7.4		
18			11			8.2B		
			12			8.6B		
19			13			8.8		
20						8.9B		
21			14			9.5		
			15			9.7		
22			16			9.8		
23			17			10.3		
24						10.6B		
25						10.8C		
26			18			11.3		

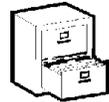
**ACSA Interview Summary Sheet**

Worker Interviews			Manager/Supervisor Interviews			Audit Document Reference	Transfer Results to Audit Document	
Question #	Positive	Negative	Question #	Positive	Negative		Positive	Negative
27			19			11.7		
28			20			12.5		
29						13.2		
30			21			13.3		

**Supplemental Appendix "A" Substance Abuse Program**

Worker Interviews			Manager/Supervisor Interviews			Audit Document Reference	Transfer Results to Audit Document	
Question #	Positive	Negative	Question #	Positive	Negative		Positive	Negative
1						A1.2		
2			1			A1.3		
3			2			A1.5		
4			3			A1.6		
5			4			A1.7		

# Standard Audit Document



**D = Document Review**



**O = Observational Tour**



**I = Audit Interviews**

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## Audit Information Sheet

Start Date of Audit: \_\_\_\_\_ End Date of Audit (last day on site): \_\_\_\_\_

Type of Audit:  Self  Internal  External  Auditor Maintenance Only

### Company Data

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_ City/Town: \_\_\_\_\_ Province: \_\_\_\_\_ Postal Code: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_ E-mail: \_\_\_\_\_

Key Contact: \_\_\_\_\_ Number of Employees in a 12 month period: \_\_\_\_\_

### WCB Information

Acct #s	Industry Code(s)	Nature and Type of Work Done	Acct #s	Industry Code(s)	Nature and Type of Work Done

### Auditor Data

Name: \_\_\_\_\_ Certification Number: \_\_\_\_\_

Company: \_\_\_\_\_ Telephone Number: \_\_\_\_\_

Address: \_\_\_\_\_ Fax Number: \_\_\_\_\_

City/Town: \_\_\_\_\_ Province: \_\_\_\_\_ Postal Code: \_\_\_\_\_ E-mail: \_\_\_\_\_

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# Pre-Audit Meeting

## Agenda

- 1. Purpose and scope of audit
- 2. Proposed audit schedule
- 3. Confidentiality of information
- 4. Code of Ethics
- 5. Close-out meeting
- 6. Any questions or concerns

Company Name: \_\_\_\_\_

Auditor Name: \_\_\_\_\_ Date: \_\_\_\_\_ Time: \_\_\_\_\_

Name of Key Contact: \_\_\_\_\_

In Attendance: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

Anticipated date of audit close out meeting: \_\_\_\_\_

Location of documentation: \_\_\_\_\_

Active work areas to be included in audit: \_\_\_\_\_

\_\_\_\_\_

Number of Managers/Supervisors to be interviewed: \_\_\_\_\_ Number of Workers to be interviewed: \_\_\_\_\_

Number of Shift Workers to be interviewed: \_\_\_\_\_ Number of Part Time workers to be interviewed: \_\_\_\_\_

**Notes:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## Code of Ethics for ACSA Peer Auditors

Auditors must maintain a high level of professional conduct at all times.\* To ensure that quality evaluations are consistently performed, **auditors must:**

- Comply with all applicable laws, rules and regulations of federal, provincial and local governments, and appropriate private and public regulatory agencies.
- Maintain sound independent judgment and act with due care and competence in pursuance of duties.
- Behave in such a manner that good faith, honesty and integrity will not be questioned.
- Refrain from using any information gathered or making any audit recommendations for the purpose of personal gain (including the gain of family members or acquaintances).
- Ensure that all information is accurately interpreted, communicated and relevant to the employer's operations.
- Ensure that information obtained through the audit process is treated as confidential at all times and not disclosed to parties other than the employer or the ACSA unless the auditor is authorized or otherwise legally obligated to disclose the information.
- Be honest, accurate, consistent and complete in evaluations of data obtained through documentation, interviews and observation. Avoid any misrepresentations or any omissions relevant to the scope of the audit.
- Ensure that suggestions for improvement and other notes and observations are clear, concise, reflective of the audit findings, relevant to the employer's operations, and that they add value to improving the employer's health and safety management system.
- Ensure that audits comply with all required timelines and Partnerships standards.
- Ensure that evaluations are based on objective findings and not affected by personal feelings or prejudices.
- Report any situation where another Auditor may have violated the Code of Ethics.
- Maintain quality standards through professional development.

*(continued on following page)*

## Conflict of Interest Declaration

All auditors must avoid situations of actual or perceived conflict of interest that may influence the results of an audit.

**No auditor may conduct an external audit if any of the following apply:**

- The auditor or their company has been employed or subcontracted by the company requesting the audit in the previous 12 months.
- The auditor is employed by the Prime Contractor and both the Prime Contractor and the Subcontractor are currently working on the same site on which the audit will be conducted.
- The peer auditor performed the previous full external audit for the same company.
- Two companies are conducting reciprocal peer audits for each other in a 3-year period.
- The auditor or a member of their company has assisted in the development, implementation and/or maintenance of the company's Health & Safety Program within the last 12 months.
- The auditor or auditor's company has a business or personal relationship with the company being audited that could be perceived as a conflict of interest.

***\*Auditor Code of Ethics Violations:** The penalties for breaching the Auditor Code of Ethics and/or Conflict of Interest Declaration depend on the circumstances, previous infractions, and the severity of the breach. Penalties can include suspension and/or permanent revocation of certification. If certification is suspended for a period of 12 months or more, all Certifying Partners will be notified. Auditors may not pursue any legal action against decision makers or their organizations as a result of the application of the Auditor Discipline Process.*

I, \_\_\_\_\_, have read and understood the ACSA Code of Ethics and Conflict of Interest Declaration as stated above. I agree with these requirements and will adhere to these rules. As an auditor, I also realize that any breach of the above standards may result in a formal review and subsequent suspension of my Peer Auditor certification.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## List of Active Work Sites

Auditors must list all work sites that are active at the time of the audit and provide the number of each level of employees that are working on each site. Auditors must indicate, by means of a “Y” or “N”, which site(s) were visited. Finally, they should indicate how many interviews were conducted and from which category (workers or managers/supervisors). This will allow for an up-to-date summary of the operations of the company at the time of the audit. If there are more sites to list than the page has allowed for, please attach a listing of the additional sites.

## Criteria for Determining Representative Site Sampling

For the purpose of a Partnership Health and Safety Audit (i.e. the ACSA Standard Audit Document), a work site is defined as “any location where a worker is likely to be, or not to be engaged in any occupation for their employer.”

Work sites included in the audit must be representative of the overall company operations. The following criteria shall be used to determine what work sites to include in the scope of an audit.

- **The main office/shop must always be included in the scope of every audit!** When determining the number of active sites to be visited, do not include the main office/shop in these numbers. If two main offices/shops exist, the auditor can alternate from one main site to the other on a rotating basis.
- The number of work sites included in the audit scope must also meet established minimum requirements.
  - 1 site - must be visited plus the main office/shop
  - 2 sites - both sites must be visited plus the main office/shop
  - 3-4 sites - at least 2 sites must be visited plus the main office/shop
  - 5-8 sites - at least 3 sites must be visited plus the main office/shop
  - 9-30 sites - one third of the sites must be visited as well as the main office/shop
- If the number of work sites exceeds 30, the employer/auditor must contact the ACSA-COR department to determine representative sampling numbers for the audit.

## List of Active Work Sites

Site Location(s)	Visited Y or N	Number of Site Employees		Number Interviewed	
		Managers/ Supervisors	Workers	Managers/ Supervisors	Workers
<b>Main Office/Shop</b>					
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
13.					
14.					
15.					
16.					
17.					
18.					
<b>Sub Total:</b>					
Total Sites Visited: _____		Total Number of Employees: _____		Total Number Interviewed: _____	

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## Health and Safety Manual Verification

Does the company's health and safety program contain the following?	Yes	No
1. Company Health and Safety Policy	<input type="checkbox"/>	<input type="checkbox"/>
2. Workplace Hazard Assessment and Control	<input type="checkbox"/>	<input type="checkbox"/>
3. Safe Work Practices	<input type="checkbox"/>	<input type="checkbox"/>
4. Safe Job Procedures	<input type="checkbox"/>	<input type="checkbox"/>
5. Company Rules	<input type="checkbox"/>	<input type="checkbox"/>
6. Personal Protective Equipment (PPE)	<input type="checkbox"/>	<input type="checkbox"/>
7. Preventative Maintenance	<input type="checkbox"/>	<input type="checkbox"/>
8. Training and Communication	<input type="checkbox"/>	<input type="checkbox"/>
9. Inspections	<input type="checkbox"/>	<input type="checkbox"/>
10. Investigations and Reporting	<input type="checkbox"/>	<input type="checkbox"/>
11. Emergency Preparedness	<input type="checkbox"/>	<input type="checkbox"/>
12. Records and Statistics	<input type="checkbox"/>	<input type="checkbox"/>
13. Legislation	<input type="checkbox"/>	<input type="checkbox"/>
14. Appendix (Optional – only check “Yes” if part of the audit)	<input type="checkbox"/>	<input type="checkbox"/>

### Missing Sections:

If any of the above sections are missing from the health and safety manual, both parties (company and auditor) may want to consider postponing the audit at this stage until corrective action can be completed.

### Policy Statements:

Some of the above program sections may exist in another form within the health and safety manual. Some companies may combine all of the above policies into **one corporate policy statement**, which is an acceptable industry practice. The auditor must take this into consideration when reviewing the health and safety program.

**1. HEALTH and SAFETY POLICY**

Auditors must see the health and safety policy statement(s) as listed on the previous page. These policies may all be included in a corporate policy for the company or could be broken out into individual policies for each section.

- 1.1 Ensure the policy has been signed and dated by senior management. Verify that the person who signed the policy is presently employed by the company.
- 1.2 The policy should state the senior manager's commitment to the health and safety program. This commitment may be outlined in separate documents.
- 1.3 The policy should be reviewed annually to ensure accuracy. This review may be done by re-dating the document, or the review may be noted in minutes etc.
- 1.4 During the work site tour the auditor must see if the company health and safety policy has been posted or validate through interviews that employees have been made aware of the policy and its content.

## Section #1: Company Health and Safety Policy

Health and Safety Program Verification		Score	Technique Employed			Points Awarded
<b>1. Company Health and Safety Policy</b>			<b>D</b>	<b>O</b>	<b>I</b>	
Does the employer have a written health and safety policy that:						
1.1 Is signed and dated by the current president, CEO, or local senior management?		3				
Comments:						
1.2 Includes management's commitment to provide a safe and healthy work environment?		3				
Comments:						
1.3 Is reviewed annually by management?		2				
Comments:						
1.4 Is prominently posted or made available to the worker?		4		<b>OR</b>		
Comments:						

**1. HEALTH and SAFETY POLICY – *continued***

- 1.5 Review the health and safety manual to ensure that accountability and assignment of responsibilities have been stated for senior management, management, supervisors and workers.
- 1.6 Verify through interviews that all employees understand their roles and responsibilities.
- 1.7 Verify through interviews that the employer is providing the necessary resources to support the health and safety management system. Examples include: hiring a full-time safety employee, providing funding for training, etc.

<b>Health and Safety Program Verification</b>	<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
<b>1. Company Health and Safety Policy – <i>continued</i></b>		<b>D</b>	<b>O</b>	<b>I</b>	
1.5 Addresses accountability and responsibility for health and safety for all workplace parties?					
a) Senior Managers/Managers	1				
b) Supervisors	1				
c) Workers	1				
Comments:					
1.6 Is understood by employees?	6				
Comments:					
1.7 Does the employer provide the necessary resources to support the employers' health and safety management system?	4				
Comments:					
Total points possible/awarded	25				

## 2. **WORKPLACE HAZARD ASSESSMENT AND CONTROL**

2.1 Formal hazard assessments must be developed for all jobs or tasks that are performed by company personnel.

Formal hazard assessments must:

- Identify and prioritize hazards and allow for control measures to be developed **before** work is started
- Include the **office, shop and any activities at the project start-up phase**

Scoring must be based on the development of formal hazard assessments for all jobs/tasks/work types/projects that are carried out under the company's WCB account, including the office and shop.

Some of this process may have been completed when the company was carrying out the Job Hazard Assessments for the development of Safe Job Procedures and Safe Work Practices for the program.

Any site-specific hazard assessment process (E.g. Field Level Hazard Assessments, Field Level Risk Assessments, etc) **cannot** be used to award points for questions 2.1, 2.2 & 2.3.

To assist auditors in further enhancing their understanding of these concepts the ACSA has developed a video "Formal Hazard Assessment, Inspections, and Site-Specific Hazard Assessments." This video is available on the ACSA website and can be accessed by clicking on the YouTube icon.

2.2 Verify that the formal hazard assessments scored in question 2.1 include the proper identification of hazards.

2.3 Confirm that the formal hazard assessment process includes a system to assess for frequency/severity and has prioritized the identified hazards based on risk. E.g. low-medium-high or a scale of 1 – 5.

## Section #2: Workplace Hazard Assessment and Control

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
		D	O	I	
<b>2. Workplace Hazard Assessment and Control</b>					
2.1 Have formal written hazard assessments been created?					
a) Project Start-up or Work Types	4				
b) Job, Task or Position	4				
Comments:					
2.2 Are the hazards identified?					
a) Project Start-up or Work Types	4				
b) Job, Task or Position	4				
Comments:					
2.3 Are the identified hazards prioritized?	8				
Comments:					

## 2. **WORKPLACE HAZARD ASSESSMENT AND CONTROL – *continued***

- 2.4 Have critical tasks been identified within the company? This list will be specific to the company and will vary depending upon type of work performed. These critical tasks are identified through hazard assessments.
- 2.5 An employer must ensure that the hazard assessment is repeated
- a) at reasonably practicable intervals to prevent the development of unsafe and unhealthy working conditions,
  - b) when a new work process is introduced,
  - c) when a work process or operation changes, or
  - d) before the construction of significant additions or alterations to a work site.
- 2.6 Affected workers and supervisors must be involved in the completion and/or review of the hazard assessments. Review completed hazard assessments, Job/Task Hazard Assessments, FLRAs to demonstrate involvement in the process.
- 2.7 Once identified, hazards must be controlled. Review identified controls and confirm the use of engineering controls, administrative controls (safe work practices, safe job procedures and rules), personal protective equipment or a combination of control measures.
- 2.8 Through observation, verify control measures required are/were made available and implemented. Please identify what controls were observed.

<b>Health and Safety Program Verification</b>	<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
<b>2. Workplace Hazard Assessment and Control – <i>continued</i></b>		<b>D</b>	<b>O</b>	<b>I</b>	
2.4 Is there a list of identified critical tasks?	8				
Comments:					
2.5 a) Does the employer use a site specific ongoing hazard assessment process?	8				
b) Are employees aware of ongoing use of hazard assessment?	8				
Comments:					
2.6 Are appropriate employees involved in the ongoing hazard assessment process?	3				
Comments:					
2.7 Are controls developed for these identified hazards?	3				
Comments:					
2.8 Are controls implemented in a timely manner?	2				
Comments:					

**2. WORKPLACE HAZARD ASSESSMENT AND CONTROL – *continued***

- 2.9 Confirm through interviews that affected supervisors and workers are informed of the results. This could include hazard assessments being reviewed during health and safety meetings and/or their participation in various levels of the hazard assessment process.
- 2.10 Look at applicable documentation that may include company orientation, performance records, health and safety meeting minutes, pre-qualification for work, etc. Confirm an ongoing process is in place. If no sub-contractors are hired, the question is not applicable.
- 2.11 Confirm with the management/supervisor interviews that they have authorized and enforced the recommendations for hazard control.

<b>Health and Safety Program Verification</b>	<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
<b>2. Workplace Hazard Assessment and Control – <i>continued</i></b>		<b>D</b>	<b>O</b>	<b>I</b>	
2.9 Are appropriate employees involved/informed of the control strategies?	4				
Comments:					
2.10 Does the company have a process for evaluating and/or monitoring sub-contractors?	4				
Comments:					
2.11 Does management support the ongoing application of the hazard assessment process?	4				
Comments:					
Total points possible/awarded	<b>68</b>				

### 3. **SAFE WORK PRACTICES**

Safe work practices are a set of positive guidelines or “Do’s and Don’ts” outlining how to perform a specific task that may not always be done in a consistent manner.

- 3.1 Confirm that all required safe work practices have been written. Reference the critical task list for identification of safe work practices that should have been developed. During the observation tour, confirm the practices reflect the activities of the company’s current operations. Identify any missing safe work practices in the comments section and do not award points. (If driving is part of the job, safe work practices should be developed as needed).
- 3.2 Interviews must validate they are understood and how they apply.
- 3.3 Look for a copy of Safe Work Practices on site to verify availability. Availability may also be confirmed through interviews.
- 3.4 The auditor must observe workers following the safe work practices including the use of engineering, administrative or PPE controls. Points cannot be awarded if control measures are not being followed.
- 3.5 The auditor must verify that a documented process is in place to develop or review Safe Work Practices that includes representatives from management, supervisors and workers. Check health and safety meeting minutes and or safe work practices etc. to confirm. Through interviews confirm that management/supervisors and workers were involved in the development and/or review.

### Section #3: Safe Work Practices

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
		D	O	I	
<b>3. Safe Work Practices</b>					
3.1	2				
a) Have all the required Safe Work Practices been written?					
b) Based on your observations of the current work activities have all of the required Safe Work Practices been written?	3				
Comments:					
3.2 Are they understood by workers?	4				
Comments:					
3.3 Are they readily available/accessible to workers?	2		OR		
Comments:					
3.4 Are the SWPs being followed by workers?	2				
Comments:					
3.5 Have both management/supervisors and workers participated in the development and/or review of safe work practices?	3		OR		
Comments:					
Total points possible/awarded	16				

#### 4. **SAFE JOB PROCEDURES**

A safe job procedure is a written, specific step-by-step description of how to complete a job safely and efficiently from start to finish. These procedures are developed as a result of the formal hazard assessments conducted for all work sites/tasks/positions including the main office/shop. Look for the identified critical task list for an outline of what Safe Job Procedures should have been developed.

- 4.1 Confirm that all required safe job procedures have been written. Reference the critical task list for identification of safe job procedures that should have been developed. During the observation tour, confirm the practices reflect the activities of the company's current operations. Identify any missing safe job procedures in the comments section and do not award points.
- 4.2 Interviewees must validate they are understood and how they apply.
- 4.3 Identify that Safe Job Procedures are available at work sites. Availability may also be confirmed through interviews.
- 4.4 The auditor must observe workers following the safe job procedures including the use of engineering, administrative or PPE controls. Points cannot be awarded if controls measures are not being followed.
- 4.5 The auditor must verify that a documented process is in place to develop or review Safe Job Procedures that includes representative from management, supervisors and workers. Check health and safety meeting minutes and or safe job procedures etc. to confirm. Through interviews confirm that management/supervisors and workers were involved in the development and/or review.

## Section #4: Safe Job Procedures

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
		D	O	I	
<b>4. Safe Job Procedures</b>					
4.1 a) Have all of the required safe job procedures been written?	2				
b) Based on your observations of the current work activities have all of the required Safe Job Procedures been written?	3				
Comments:					
4.2 Are they understood by workers?	4				
Comments:					
4.3 Are these procedures readily available/accessible to workers?	2		OR		
Comments:					
4.4 Are safe job procedures followed by workers?	2				
Comments:					
4.5 Have both management/supervisors and workers participated in the development/review of these procedures?	3		OR		
Comments:					
Total points possible/awarded	16				

## 5. COMPANY RULES

- 5.1 Verify that the rules are prominently posted in high traffic areas or confirm through interviews that employees can verify how they were made aware of the rules and the content.
- 5.2 Workers should be able to explain/state the rules as laid out in the health and safety manual. Workers should be able to identify some of the rules that apply to them.
- 5.3 Has an enforcement policy been developed that includes progressive disciplinary actions related to the use of engineering, administrative and PPE controls? Evidence of enforcement of the proper use of engineering controls, administrative controls and PPE should also be documented
- 5.4 Confirm through interviews that not following company safety rules, safe work practices and safe job procedures will result in correction.

## Section #5: Company Rules

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
		D	O	I	
<b>5. Company Rules</b>					
5.1 Are the rules prominently posted or provided to each worker?	2		OR		
Comments:					
5.2 Do workers understand company and site specific rules?	4				
Comments:					
5.3 Does the program include progressive disciplinary actions by supervisors/management?	2				
Comments:					
5.4 Are all rules applied/enforced consistently with all employees?	2				
Comments:					
Total points possible/awarded	10				

## 6. PERSONAL PROTECTIVE EQUIPMENT (PPE)

- 6.1 Workers must be made aware of and trained in PPE requirements both basic and specialized (if required). This could be included as part of their orientation. All employees must be trained in the correct use, care, limitations, and assigned maintenance of PPE (check training records and/or health and safety meeting minutes). Verify through interviews that workers are aware of their requirements and can confirm training is provided for all PPE.
- 6.2 Verify through observation and interviews that employees have access to basic and/or specialized PPE (the employer is not required to supply basic PPE).
- 6.3 Through observation, determine whether or not PPE is being utilized as outlined in the company's PPE policy by all employees. Additional sources of PPE requirements may include safe work practices, safe job procedures, hazards assessments, etc.
- 6.4 Check for the appropriate codes of practices (i.e. confined space plan, fall protection plan) to validate that they satisfy legislation. Validate the company is using these codes of practice and other methods (hazard assessment forms, Material Safety Data Sheets and company policy requirements) to select the appropriate PPE. If specialized PPE is not required make the question not applicable.

## Section #6: Personal Protective Equipment (PPE)

<b>Health &amp; Safety Program Verification</b>		<i>Score</i>	<i>Technique Employed</i>			<i>Points Awarded</i>
<b>6. Personal Protective Equipment (PPE)</b>			<b>D</b>	<b>O</b>	<b>I</b>	
6.1	a) Are workers made aware and trained in the requirements for PPE?	2				
	b) Are workers aware of their PPE requirements	2				
Comments:						
6.2	Do all employees have access to basic and/or specialized PPE?	4		<b>AND</b>		
Comments:						
6.3	Is the correct PPE used by all employees when required?	4				
Comments:						
6.4	Are there written procedures for the proper fitting, care and use of specialized PPE?	2				
Comments:						

**6. PERSONAL PROTECTIVE EQUIPMENT (PPE) - *continued***

- 6.5 Review records and policy to ensure that basic and/or specialized PPE is being inspected and maintained as per requirements. Inspection and maintenance of basic PPE may involve a system/procedure that relies upon visual inspection prior to use and disposal or repair if it does not meet requirements as set out by the company. Documentation may be in the form of Field Level Risk Assessment (FLRA), work site inspection, PPE maintenance form, etc.

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<b>Health &amp; Safety Program Verification</b>		<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
<b>6.</b>	<b>Personal Protective Equipment (PPE) - <i>continued</i></b>		<b>D</b>	<b>O</b>	<b>I</b>	
6.5	Is there a system in place to verify that basic/specialized PPE is being inspected and maintained?	2				
Comments:						
Total points possible/awarded		<b>16</b>				

VIEW

## 7. PREVENTATIVE MAINTENANCE

- 7.1 Verify that all equipment that requires ongoing maintenance has been identified.
- 7.2 Review equipment records, check for equipment manuals on site, and verify that maintenance is done according to company/manufacturer/regulatory standards. Check equipment records to verify corrective actions/maintenance/recommendations have been completed. Check for time, date and signature.
- 7.3 Review health and safety program to see there is a written system for removal of defective tools or equipment from service according to company policy (e.g. lockout/tag-out).
- 7.4 If there is a written system, verify through observation and interviews that the written process is being used. If there was no written process, points cannot be awarded.

## Section #7: Preventative Maintenance

<b>Health &amp; Safety Program Verification</b>		<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
<b>7. Preventative Maintenance</b>			<b>D</b>	<b>O</b>	<b>I</b>	
Does the preventative maintenance program of facilities, tools, equipment and vehicles include:						
7.1	An inventory of items to be maintained?	2				
Comments:						
7.2	A maintenance schedule and records with a description of corrective actions taken?	3				
Comments:						
7.3	Is there a system to effectively remove defective tools, equipment or vehicles from service?	2				
Comments:						
7.4	Is this system followed?	2	<b>OR</b>			
Comments:						
<b>Total points possible/awarded</b>		<b>9</b>				

## 8. TRAINING and COMMUNICATION

- 8.1 Look for documentation to support that the employer has a formal orientation program that contains the required components. Verify that the form has been signed by both the worker and the company representative.
- 8.2 Confirm orientations are completed with ALL new employees before they start work. This includes management, workers, supervisors, contractors, suppliers and visitors as well as those reassigned/returning to work after a leave of absence. Verify through interviews.
- 8.3 Mandatory certifications may include Journeyman certification, driver's license, PEng, First Aid, etc. Review worker training records for this information.

## Section #8: Training and Communication

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
<b>8. Training and Communication</b>		<b>D</b>	<b>O</b>	<b>I</b>	
8.1 Does the employer have a formal orientation program that includes:					
a) Emergency Response Procedures/Alarm systems	1				
b) Reporting procedures (hazards/incidents etc.)	1				
c) Safe Work Practices/Safe Work Procedures	1				
d) General Rules	1				
e) Personal Protective Equipment	1				
f) Is signed off by both the employee and company representative?	1				
Comments:					
8.2 a) Does documentation confirm that mandatory orientations were completed for management, supervisors, new/reassigned/returning workers, visitors and contractors before starting work?	2				
b) Has this process been followed?	2				
Comments:					
8.3 Are mandatory certification requirements verified before workers are hired?	2				
Comments:					

**8. TRAINING and COMMUNICATION – *continued***

- 8.4 Check training records to verify refresher and/or recertification training is occurring as required. Have the records of all training been maintained and updated appropriately?
- 8.5 Check training records to verify that training includes job specific hazards and the appropriate control measures associated with the new job/process.
- 8.6 Review training records for supervisor training in inspections, training, and general health and safety responsibilities. Courses such as ACSA Leadership for Safety Excellence or other appropriate training would be recognized. Verify completion through interviews.

VIEW

ONLY

<b>Health &amp; Safety Program Verification</b>		<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
			<b>D</b>	<b>O</b>	<b>I</b>	
<b>8.</b>	<b>Training and Communication - continued</b>					
8.4	Is recertification and/or refresher training tracked and renewed as required?	4				
Comments:						
8.5	Does job specific training include job specific hazards and the appropriate controls?	2				
Comments:						
8.6	a) Have supervisors received training in workplace inspections and health and safety responsibilities?	3				
	b) Can management/supervisors confirm that training has been completed?	3				
Comments:						

**8. TRAINING and COMMUNICATION - *continued***

- 8.7 Verify that health and safety toolbox/tailgate meetings are being held and documented as outlined in company policy. Check for minutes and attendance records for these meetings.
- 8.8 Verify that workers are given the opportunity to present their concerns.
- 8.9 Check attendance records for senior management or accountable company designate in attendance at these meetings. Verify through interviews.

VIEW ONLY

<b>Health &amp; Safety Program Verification</b>	<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
		<b>D</b>	<b>O</b>	<b>I</b>	
<b>8. Training and Communication – continued</b>					
8.7 Are ongoing meetings held regularly and documented as per policy?	3				
Comments:					
8.8 Does two-way communication exist during these meetings?	6				
Comments:					
8.9 a) Does senior management attend/participate in health and safety meetings?	1				
b) Are workers aware of senior management participation in safety meetings?	1				
Comments:					
Total points possible/awarded	<b>35</b>				

## 9. INSPECTIONS

- 9.1 Verify that there is a policy that outlines an inspection process (could be part of the corporate policy).
- 9.2 Verify that a standard form or checklist is being used for all types of inspections.
- 9.3 A set frequency of inspections (monthly, weekly) must be documented. This information may be contained within the policy or inspection schedule, etc. The words “on a regular basis” are not acceptable. Verify that inspections are being performed at the stated frequency for all areas including the office/shop, storage facility, and active work sites. If there is no identified frequency of inspections, points cannot be awarded.
- 9.4 Verify through documentation that supervisors are involved in the formal and informal inspection processes.
- 9.5 Verify through interviews that employees are aware of a way they can report unsafe or unhealthy conditions and practices.

## Section #9: Inspections

<b>Health &amp; Safety Program Verification</b>		<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
			<b>D</b>	<b>O</b>	<b>I</b>	
<b>9. Inspections</b>						
9.1 Is there a written policy or procedure for inspections?	2					
Comments:						
9.2 Is there a form or checklist used for inspections?	2					
Comments:						
9.3 Does the program identify a measurable frequency for the completion of inspections? Verify that it is being met.	4					
Comments:						
9.4 Are Management/Supervisors performing inspections as per policy?	2					
Comments:						
9.5 Is there a system in place whereby employees can report unsafe or unhealthy conditions and practices?	6					
Comments:						

**9. INSPECTIONS – *continued***

- 9.6 Review documentation to verify that deficiencies are corrected in a timely manner. Through observations, confirm all deficiencies have been corrected. If possible, provide examples.
- 9.7 Through interviews, verify senior management's (or accountable company designate's) participation in the inspection process.
- 9.8 Verify that inspection reports are posted or verify that interviewees were made aware of the results of the inspections.

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ONLY

<b>Health &amp; Safety Program Verification</b>		<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
<b>9. Inspections - continued</b>			<b>D</b>	<b>O</b>	<b>I</b>	
9.6	a) Does documentation confirm that identified deficiencies are corrected in a timely manner?	3				
	b) Do observations confirm that identified deficiencies have been corrected?	2				
Comments:						
9.7	Does senior management participate/review the inspection process?	2				
Comments:						
9.8	Are inspection reports posted and/or communicated to appropriate employees?	6		<b>OR</b>		
Comments:						
Total points possible/awarded		<b>29</b>				

## 10. INVESTIGATIONS

- 10.1 Review documentation for the incident (loss or no-loss) investigation procedure (could be part of a corporate policy). Verify that vehicle incidents are included.
- 10.2 Verify that investigations have been carried out and standardized investigation forms have been used.
- 10.3 Verify through interviews that employees understand the reporting process.
- 10.4 Check that supervisors have received training in incident investigations (e.g. Leadership for Safety Excellence, Managing Work Site Investigations, etc.).
- 10.5 Review documentation to verify that workers, supervisors and management are involved in the investigation process.

## Section #10: Investigations and Reporting

<b>Health &amp; Safety Program Verification</b>	<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
10. Investigations and Reporting		D	O	I	
10.1 Is there a written investigation policy and reporting procedure?	2				
Comments:					
10.2 Is the policy being followed? Are standardized forms completed as required?	4				
Comments:					
10.3 Do employees know the reporting process?	6				
Comments:					
10.4 Have supervisors been trained in investigation and reporting procedures?	4				
Comments:					
10.5 Are appropriate employees involved in investigations?	2				
Comments:					

**10. INVESTIGATIONS – *continued***

- 10.6 No-loss incident reports and investigation reports should be documented on the investigation form. They may be reviewed in health and safety meeting minutes. Verify through interviews that workers know when to report a no-loss incident.
- 10.7 Investigations should identify the DIRECT (immediate) and/or INDIRECT (underlying) causes with recommendations for corrective actions for the prevention of recurrence. Once identified, a system to follow through on the recommendations is required.
- 10.8 Verify through documentation that corrective actions have been identified and implemented. Observations should verify corrective actions have been implemented on-site. Interviews should verify that corrective actions are communicated to workers.
- 10.9 Investigation reports should have the names with signatures or initials of senior management (or accountable company designate), indicating that they have reviewed the report(s) (or a paper trail should exist if documents are reviewed electronically).

<b>Health &amp; Safety Program Verification</b>	<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
<b>10. Investigations and Reporting – Continued</b>		<b>D</b>	<b>O</b>	<b>I</b>	
10.6 a) Are no-loss incidents (near miss) being reported?	3				
b) Do workers understand when to report no-loss incidents?	3				
Comments:					
10.7 Is there a system to identify direct and indirect causes as a result of an investigation?	4				
Comments:					
10.8 a) Have corrective actions been identified as a result of the investigation?	3				
b) Do observations confirm that these corrective actions have been implemented?	3				
c) Have corrective actions been communicated to workers?	3				
Comments:					
10.9 Are investigation reports reviewed by senior management?	2				
Comments:					
<b>Total points possible/awarded</b>	<b>39</b>				

**11. EMERGENCY PREPAREDNESS**

- 11.1 Review the emergency response plan for the required components.
- 11.2 Verify through observation that the plan, as developed, meets the needs of the work site.
- 11.3 Verify through interviews that employees are aware of their responsibilities.
- 11.4 Verification may include records of actual incidents or mock drills.

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## Section #11: Emergency Preparedness

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
		D	O	I	
<b>11. Emergency Preparedness</b>					
11.1 Does the emergency preparedness plan identify/include:					
a) Potential emergencies and procedures for dealing with them	2				
b) The location of and operational procedures for emergency equipment and the location of emergency facilities	2				
c) Emergency Response training requirements and Fire Protection requirements	2				
d) Alarm and Emergency Communication requirements/First Aid Services	2				
e) Procedure and Designated workers for Rescue and Evacuation	2				
Comment:					
11.2 Is the emergency response plan appropriate for the work sites and activities observed?	5				
Comments:					
11.3 Have employees received training in emergency procedures, roles and responsibilities?	6				
Comments:					
11.4 Has the emergency response plan been tested for deficiencies and corrective action taken?	3				
Comments:					

**11. EMERGENCY PREPAREDNESS – *continued***

- 11.5 Verify through observation that the correct class and type of extinguishers are readily available and sufficiently marked to ensure visibility in all work areas.
- 11.6 Verify through documentation or observations (in files and/or on tags) that fire extinguishers are recharged, purchased or inspections are conducted. As per NFPA 10, fire extinguishers shall be visually inspected and recorded approximately every 30 days. Extinguishers shall be maintained annually.
- 11.7 Workers must have adequate means available for them to contact emergency employees (telephone, two-way radio) when needed. Verify through interviews.
- 11.8 Through observation, confirm that there are adequate first aid supplies and facilities as per applicable legislation.
- 11.9 Verify through observation that the required number of first aid employees are on site. Auditor must be able to visually verify personnel or a list may be posted.

<b>Health &amp; Safety Program Verification</b>	<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
<b>11. Emergency Preparedness - continued</b>		<b>D</b>	<b>O</b>	<b>I</b>	
11.5 Are the correct class and size of extinguishers available, marked and visible?	4				
Comments:					
11.6 Are extinguishers regularly inspected and maintained?	2	<b>OR</b>			
Comments:					
11.7 Is an appropriate emergency communication system available?	4		<b>AND</b>		
Comments:					
11.8 Are there adequate first aid supplies and facilities?	4				
Comments:					
11.9 Are the required number of qualified first aid employees on site?	4				
Comments:					
Total points possible/awarded	42				

**12. RECORDS and STATISTICS**

- 12.1 Company process should ensure documentation is organized and accessible to the auditor.
- 12.2 Documentation should include completed standard forms.
- 12.3 Check to see if statistical information is analyzed to identify trends or needs.
- 12.4 Check documentation to ensure that an action plan was developed to address recommendations from the previous audit.
- 12.5 Verify through interviews that the action plan was communicated to employees.

## Section #12: Records and Statistics

Health & Safety Program Verification		Score	Technique Employed			Points Awarded
			D	O	I	
<b>12. Records and Statistics</b>						
12.1	Is there a process to organize and manage program documentation?	1				
Comments:						
12.2	Are adequate health and safety activity summaries developed and maintained?	2				
Comments:						
12.3	Does the company compare health and safety performance year to year and are needs or trends identified?	2				
Comments:						
12.4	Was an action plan developed to address the recommendations from the previous audit?	2				
Comments:						
12.5	Was an action plan communicated to employees?	2				
Comments:						

**12. RECORDS and STATISTICS – *continued***

12.6 Verify through documentation that the action plan was implemented.

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<b>Health &amp; Safety Program Verification</b>	<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
		<b>D</b>	<b>O</b>	<b>I</b>	
<b>12. Records and Statistics - <i>continued</i></b>					
12.6 Was the action plan implemented?	2				
Comments:					
Total points possible/awarded	<b>11</b>				

VIEW

**13. LEGISLATION**

- 13.1 Verify through documentation that reference is made in the health and safety policy(s) to applicable legislation. Example: The information in this policy does not take precedence over applicable legislation with which all employees shall be familiar.
- 13.2 Verify that copies of relevant legislation are posted or confirm through interviews that employees are aware of where they can access relevant legislation at each workplace.
- 13.3 Verify through interviews that employees are aware of their rights and responsibilities under the OH&S Act, Regulation & Code.

## Section #13: Legislation

<b>Health &amp; Safety Program Verification</b>		<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
<b>13. Legislation</b>			<b>D</b>	<b>O</b>	<b>I</b>	
13.1 Does your health and safety policy(s) reference applicable government legislation?		3				
Comments:						
13.2 Are copies of relevant legislation posted and/or available at each workplace?		4		<b>OR</b>		
Comments:						
13.3 Are employees aware of their rights and responsibilities and how to exercise them?		5				
Comments:						
Total points possible/awarded		<b>12</b>				

**A**      **APPENDIX – this section is optional**

- A1.1      Verify that an alcohol and drug policy is included in the health and safety manual or included within the corporate policy.
- A1.2      Through observation, verify that the alcohol and drug policy is posted. Verify through interviews that it is made available to the employees.
- A1.3      Review the policy to determine the assessment and return to work processes. Confirm through interviews.
- A1.4      Review supervisor training records for training in relation to the alcohol and drug policy.
- A1.5      Confirm through interviews that workers are aware of the alcohol and drug policy testing requirements.

<b>Health &amp; Safety Program Verification – Appendix</b>		<i>Score</i>	<i>Technique Employed</i>			<i>Points Awarded</i>
<b>A1. Substance Abuse Program</b>			<b>D</b>	<b>O</b>	<b>I</b>	
A1.1	Is there a written alcohol and drug policy?	4				
Comments:						
A1.2	Is the policy posted or made available to workers?	3		<b>OR</b>		
Comments:						
A1.3	Does the policy allow for assessment and address return to work guidelines?	6		<b>AND</b>		
Comments:						
A1.4	Are supervisors trained in respect to the policy?	4				
Comments:						
A1.5	Are employees aware of what circumstances may result in the requirement for a test?	4				
Comments:						

**A**      **APPENDIX – *continued***

A1.6      Confirm through interviews that workers are aware of non-compliance consequences.

A1.7      Confirm through interviews that employees know how to access help if required.

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<b>Health &amp; Safety Program Verification – Appendix</b>	<b>Score</b>	<b>Technique Employed</b>			<b>Points Awarded</b>
<b>A1. Substance Abuse Program</b>		<b>D</b>	<b>O</b>	<b>I</b>	
A1.6 Are the consequences of non-compliance to the policy clearly understood by all workers?	6				
Comments:					
A1.7 Are employees aware of how they can access independent support services if required?	3				
Comments:					
Total points possible/awarded	<b>30</b>				

## Calculating Audit Score

$$\frac{\text{Actual Score}}{\text{Possible Score}} \times 100 = \text{_____}\%$$

**Example:** If a company were to have an overall score of 309 on the audit, the auditor would calculate the final percentage by using the following calculation:

$$\frac{309}{328} \times 100 = \text{94}\%$$

## Audit Summary Sheet

Company: \_\_\_\_\_

Name of Auditor: (Print) \_\_\_\_\_ Date/Year of Audit: \_\_\_\_\_

Section #	Section Name	Possible Score	Actual Score	Minimum Standard	Section Percentage
1	Company Health and Safety Policy	25		13	
2	Workplace Hazard Assessment and Control	68		34	
3	Safe Work Practices	16		8	
4	Safe Job Procedures	16		8	
5	Company Rules	10		5	
6	Personal Protective Equipment	16		8	
7	Preventative Maintenance	9		5	
8	Training and Communication	35		18	
9	Inspections	29		15	
10	Investigations and Reporting	39		20	
11	Emergency Preparedness	42		21	
12	Records and Statistics	11		6	
13	Legislation	12		6	
	<b>TOTAL</b>	<b>328</b>			

### Appendix 1 OPTIONAL ONLY – COMPANY-SPECIFIC

A1	Substance Abuse	30		15	
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Minimum Standard = 80% Overall Score and 50% or greater in each element.

\_\_\_\_\_ X 100 = \_\_\_\_% Standard Achieved: YES \_\_\_\_\_ NO \_\_\_\_\_ Goal for Next Audit: \_\_\_\_\_%

I, (Company Representative) \_\_\_\_\_ (Print) \_\_\_\_\_ (Sign) \_\_\_\_\_, by way of affixing my signature (this date) \_\_\_\_\_, acknowledge that the evaluation of the effectiveness of the Company Health and Safety Program has been completed and that the auditor has reviewed the audit results with me.

I, (Auditor Signature) \_\_\_\_\_, by way of affixing my signature (this date) \_\_\_\_\_ due solemnly confirm that I have completed the evaluation of the Company's Health & Safety Management program and that I have conveyed the results to the above named Company Representative.

## Auditor Executive Summary Report

The Auditor Executive Summary Report is intended to communicate:

- Strengths and weaknesses of the company's health and safety management system
- Areas that provide opportunities for improvement
- Suggestions on how to improve the safety management system

### First:

Thank the organization for their efforts and assistance during the audit. Identify the individual(s) who helped during the audit. Identify and describe any positive areas (strengths) in the health and safety program.

### Second:

Provide **at least three areas where improvement is needed** and provide suggestions for ways in which the company can achieve these improvements. **Each area of improvement must:**

- Identify the deficiency
- Include a recommendation for improvement
- Explain **how** the recommendation will benefit the company

### Third:

Thank the company for allowing you to present the audit findings, and suggest that if they focus on the improvements, their program can be more effective at providing a safe and healthy work environment. In addition, recommend they develop an "Action Plan" based on the audit findings.



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## Audit Submission Checklist

- Ensure that all boxes have been completed.
- Ensure that all active work sites have been listed, whether they were visited as part of the audit or not.
- Ensure audit is completed in blue or black ink including initialled changes & corrections and submit the white copy only for review.
- Ensure that interview summaries are not submitted.
- Ensure that comments have been made where required.
  - New auditors must provide a comment for **every** question.
  - Experienced auditors must provide comments on all questions in sections 2 through 7:
    - For sections 1, 8, 9, 10, 11, 12 and 13, anywhere a negative response is indicated, a comment is required. Also, if it is an “OR” question and one response is positive and one is negative, you are still required to comment.
    - Anywhere marks were not awarded.
    - For any questions that were deemed not applicable.
- Where questions were deemed to be not applicable (N/A), ensure that the possible score for the section is adjusted accordingly and that the change is initialled and carried forward to the summary page.
- One-word comments do not convey adequate information. Ensure that comments provide insight into the points awarded.
- Auditor Executive Summary must include comments on strengths and list a minimum of three recommendations for improvement. The correct criterion for completing the executive summary is outlined in the audit document.
- Ensure that both the senior company designate and auditor have signed off on the audit document.
- Ensure that the correct number of interviews was completed.
- Ensure that a representative number of work sites were visited. In most cases, this will entail at least 1/3 of the active sites in addition to the office/shop.
- The employer is responsible for submitting the completed original audit document (hard copy) within 45 calendar days of the last day of on-site activities of the audit.

***This form must be submitted along with your completed audit for review.***

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# Corrective Action Plan

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

Recommendations	Assigned To	Target Completion Date	Date Completed	Reviewed By
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				

\_\_\_\_\_ Company Designate

\_\_\_\_\_ Date

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## Corrective Action Plan

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

Recommendations	Assigned To	Target Completion Date	Date Completed	Reviewed By
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				

\_\_\_\_\_ Company Designate

\_\_\_\_\_ Date

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