



Alberta Construction  
Safety Association

COR AUDIT Instrument

# Interview Checklist

## Introduction

For each question, the Audit Question box indicates the question number in the ACSA Audit Instrument. The question as it appears in the Audit Instrument is displayed for reference. The Interview Question provided for each Audit Question gives the auditor a suggested way to phrase the question. The Positive and Negative indicator boxes provide space to record a tally of positive and negative answers. Use the Field Notes box to record comments and examples of responses and key information needed to provide the Validation Note for the Audit Question.

Refer to the Audit Instrument document for detailed question instructions, scoring information, and Validation Note requirements. Scoring is done after all interviews are complete and combined data input into the electronic audit software.

Two audit questions, 3.5 and 3.6, relate specifically to employees that are members of a Health and Safety Committee for their work site or that are a Health and Safety Representative. Some interview questions only apply to some groups of employees while others apply to everyone.

## Conducting Interviews

Open the interview by greeting the interviewee courteously and thank them for coming to the session. Explain the process and why they are there. Try to set a positive, friendly tone. Explain that the interview is confidential, that no names are recorded, and that they usually last between 20 and 30 minutes

The purpose of the interview is to collect information by working through each question in order. The auditor can paraphrase the question if needed but must listen carefully to the answers and note the interviewee's responses in their field notes.

## Reassigning Interview Questions

If the auditee company does not operate with all employee levels (senior management, manager, supervisor, worker), some questions can be reassigned to another employee level.

For example, if a company has only senior managers and workers, any question identified for managers and supervisors would be answered by senior management. If the company has only senior management, supervisors, and workers, the supervisor will get the manager questions.

Every company must have senior managers and workers. If a company is owner/operator, the owner is asked both sets of questions and responds accordingly.

<b>Audit Question</b>	1.3	Is the health and safety policy communicated to employees?	
<b>Interview Question</b>		What are some of the key points listed in the Health and Safety Policy?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field notes</b>
Worker			
Supervisor			
Manager			
<b>Interview Question</b>		How do you ensure employees are made aware of your Health and Safety Policy?	
Senior Manager			

<b>Audit Question</b>	1.4	Does senior management demonstrate commitment to occupational health and safety?	
<b>Interview Question</b>		How does senior management demonstrate they are committed to your company's health and safety system?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field notes</b>
Worker			
Supervisor			
Manager			

<b>Audit Question</b>	1.5	Do employees understand their individual OHS rights (right to know, right to refuse dangerous work, right to participate)?	
<b>Interview Question</b>		Provide some examples of how the three OHS Rights apply to the work you do. Note: All basic rights should be given for a positive response.	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
Senior Manager			

<b>Audit Question</b>	1.6	Do employees understand their company assigned health and safety responsibilities?	
<b>Interview Question</b>		Provide some examples of the health and safety responsibilities that have been assigned by your employer.	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
<b>Interview Question</b>		Provide some examples of the health and safety responsibilities that have been assigned to you.	
Senior Manager			

<b>Audit Question</b>	1.7	Do employees understand their legislated health and safety responsibilities?	
<b>Interview Question</b>		Provide some examples of legislated health and safety responsibilities that are applicable to your work activities under the Occupational Health and Safety Act, Regulation and Code.	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
Senior Manager			

<b>Audit Question</b>	1.8	Do managers and supervisors understand their responsibilities for the health and safety of workers under their supervision?	
<b>Interview Question</b>		What are your responsibilities to ensure the health and safety of employees under your supervision?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Supervisor			
Manager			

<b>Audit Question</b>	1.9	Does senior management/management communicate OHS topics to employees?	
<b>Interview Question</b>		How does senior management/management communicate health and safety topics to you?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			

<b>Audit Question</b>	1.10	Does the employer provide resources needed to support effective management of health and safety hazards?	
<b>Interview Question</b>		What kinds of resources does senior management provide to implement and improve the HSMS?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
<b>Interview Question</b>		What kinds of resources are provided to implement and improve the HSMS?	
Senior Manager			

<b>Audit Question</b>	1.11	Is senior management/management held accountable for the implementation of the HSMS?	
<b>Interview Question</b>		Describe your involvement in improving the performance of the health and safety management system. How are you held accountable for the HSMS?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Manager			
Senior Manager			

<b>Audit Question</b>	2.2	Is the health and safety policy communicated to contracted employers? Note: If the company does not use contracting employers, mark this question as N/A and provide a comment in the validation notes.	
<b>Interview Question</b>		How do you ensure contracting employers and/or self-employed persons are made aware of the H&S Policy?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Supervisor			
Manager			

<b>Audit Question</b>	2.4	Is a process in place to regularly monitor contracted employers? Note: If the company does not use contracting employers, mark this question as N/A and provide a comment in the validation notes.	
<b>Interview Question</b>		How do you monitor the health and safety performance of contracting employers and/or self-employed persons on the work site?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Supervisor			
Manager			

<b>Audit Question</b>	2.5	Does the employer communicate with external worksite parties (contracting employers, suppliers, prime contractors, etc.) regarding worksite hazards and controls?	
<b>Interview Question</b>		How do you communicate with other work site parties regarding work site hazards and controls?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Supervisor			
Manager			

<b>Audit Question</b>	2.6	Does the employer communicate with external worksite parties (contracting employers, suppliers, prime contractors, etc.) regarding their health and safety responsibilities while on site?	
<b>Interview Question</b>		How do you communicate with other work site parties regarding their health and safety responsibilities?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Supervisor			
Manager			

<b>Audit Question</b>	2.7	Does the employer communicate with external worksite parties (contracting employers, suppliers, prime contractors, etc.) regarding changes to the site?	
<b>Interview Question</b>		How do you communicate with other work site parties when changes are made to a site that may impact their health and safety?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Supervisor			
Manager			

<b>Audit Question</b>	3.5	Do the HSC members and/or HS representative(s) understand their duties and responsibilities?	
<b>Interview Question</b>		<p>What are your HSC and/or HS representative duties and responsibilities?</p> <p>NOTE: The specific duties as per legislation are:</p> <ul style="list-style-type: none"> <li>• Receive and consider concerns with respect to the health and safety of workers</li> <li>• Participate in the employer's hazard assessments</li> <li>• Make recommendations to the employer with respect to the health and safety of workers</li> <li>• Review the employer's work site inspection documentation</li> </ul>	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
HSC Member			
HS Rep.			

<b>Audit Question</b>	3.6	Is a system in place for the HSC and/or HS representative(s) to address and provide recommendations for employee concerns related to the health and safety system?	
<b>Interview Question</b>		How do you provide recommendations for the concerns and complaints regarding health and safety?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
HSC Member			
HS Rep.			

<b>Audit Question</b>	3.8	Are HSC/HS Representative meeting minutes communicated/made readily available to all employees?	
<b>Interview Question</b>		How are the minutes of the HSC/HS Representative meeting(s) made available to you?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
Senior Manager			

<b>Audit Question</b>	4.3	Are managers/supervisors able to confirm workers under their supervision have received orientations?	
<b>Interview Question</b>		How do you ensure employees receive orientations prior to starting regular duties?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Supervisor			
Manager			

<b>Audit Question</b>	4.8	Does job-specific training include a practical demonstration?	
<b>Interview Question</b>		What are some examples of practical demonstrations you were required to complete as part of your job-specific training?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			

<b>Audit Question</b>	4.12	Do senior managers ensure there is a system for workers to provide feedback on health and safety issues?	
<b>Interview Question</b>		How can you provide feedback on health and safety issues?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			

<b>Audit Question</b>	4.13	Are employees evaluated on their individual health and safety accountabilities?	
<b>Interview Question</b>		How are your health and safety accountabilities evaluated?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
Senior Manager			

<b>Audit Question</b>	4.17	Have supervisors received training appropriate to their role?	
<b>Interview Question</b>		What type of supervisor training have you received to support you in your role?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Supervisor			

<b>Audit Question</b>	5.5	Is senior management knowledgeable about the high hazard tasks related to their operations?	
<b>Interview Question</b>		What are some of the high hazard tasks associated with your company's operations?	
Interviewee	Positive Response	Negative Response	Field Notes
Senior Manager			

<b>Audit Question</b>	5.8	Do employees participate in the development, review, and revision of formal hazard assessments as required?	
<b>Interview Question</b>		How are you involved in the formal hazard assessment process?	
Interviewee	Positive Response	Negative Response	Field Notes
Worker			
Supervisor			
Manager			
Senior Manager			

<b>Audit Question</b>	5.11	Have site-specific hazard assessments been repeated/reviewed if changes are introduced?	
<b>Interview Question</b>		How are changes to the worksite addressed on site-specific hazard assessments?	
Interviewee	Positive Response	Negative Response	Field Notes
Worker			
Supervisor			

<b>Audit Question</b>	5.13	Is a system in place for workers to report newly identified hazards?	
<b>Interview Question</b>		How do you report new hazards, including unsafe or unhealthy conditions and practices?	
Interviewee	Positive Response	Negative Response	Field Notes
Worker			

<b>Audit Question</b>	6.6	Are changes to hazard controls communicated to affected employees?	
<b>Interview Question</b>	Worker: How are changes to hazard controls communicated to you? Supervisor, Manager, Senior Manager: How do you communicate hazard controls to employees?		
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
Senior Manager			

<b>Audit Question</b>	6.7	Are employees using the required hazard controls?	
<b>Interview Question</b>	What hazard controls do you use?		
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
<b>Interview Question</b>	How do you ensure workers are using the established hazards controls to perform their work safely?		
Senior Manager			

<b>Audit Question</b>	6.8	Do supervisors enforce the use of hazard controls?	
<b>Interview Question</b>	How do supervisors ensure you are using the established hazard controls to perform your work safely?		
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
<b>Interview Question</b>	How do you ensure workers are using the established hazard controls to perform their work safely?		
Supervisor			

<b>Audit Question</b>	7.7	Do workers participate in the inspection process?	
<b>Interview Question</b>		How do you participate in the inspection process?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			

<b>Audit Question</b>	7.8	Do managers participate in the formal inspection process to observe OHS behaviours and conditions?	
<b>Interview Question</b>		How do you participate in the inspection process to observe OHS behaviours and conditions?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Manager			

<b>Audit Question</b>	8.4	Are employee responsibilities communicated as established in the Emergency Response Plan?	
<b>Interview Question</b>		What are your emergency response responsibilities?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
Senior Manager			

<b>Audit Question</b>	8.5	Are employees trained in their emergency response responsibilities?	
<b>Interview Question</b>		What type of training have you received in emergency response?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
Senior Manager			

<b>Audit Question</b>	9.2	Are employees aware of the reporting procedures for incidents (including near miss), occupational illness, and work refusals?	
<b>Interview Question</b>		What is the process you follow for reporting incidents (including near misses), occupational illness, or work refusals?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
Senior Manager			

<b>Audit Question</b>	9.3	Are incidents (including near miss), occupational illness, and work refusals reported?	
<b>Interview Question</b>		How do you report incidents, occupational illness, and work refusals?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
<b>Interview Question</b>		How do you ensure incidents, occupational illness, and work refusals are reported?	
Supervisor			

<b>Audit Question</b>	9.5	Do employees participate in the investigation process?	
<b>Interview Question</b>		How do you participate in the investigation process?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
Supervisor			
Manager			
Senior Manager			

<b>Audit Question</b>	9.9	Are the results of investigations communicated?	
<b>Interview Question</b>		How are the results from incident investigations communicated to you?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
<b>Interview Question</b>		How do you communicate the results of incident investigations to employees?	
Supervisor			
Manager			

<b>Audit Question</b>	10.4	Have the results of the previous COR (or SECOR) audit been communicated to employees?	
<b>Interview Question</b>		How have the results from the previous COR (or SECOR) been communicated to you?	
<b>Interviewee</b>	<b>Positive Response</b>	<b>Negative Response</b>	<b>Field Notes</b>
Worker			
<b>Interview Question</b>		How do you communicate the results of COR (or SECOR) evaluations to employees?	
Supervisor			
Manager			
Senior Manager			

Use this template to record field notes.

Audit Question			
Interviewee	Positive Response	Negative Response	Field Notes
Worker			
Supervisor			
Manager			
Senior Manager			