



Alberta Construction
Safety Association

ACSA 2023 COR AUDIT Instrument

Rev. 1.3

Overview

The Alberta Construction Safety Association (ACSA) developed this audit instrument for evaluating the health and safety management systems of companies in the construction industry. Only employees certified in auditing or external, certified auditors can use this instrument to complete a health and safety audit. Companies must have this audit done by an external independent auditor to receive a Certificate of Recognition (COR) from ACSA.

The minimum score for COR certification (external) audits is 80% overall with no element scoring less than 50%. The minimum score for COR maintenance audits is 60% overall.

All information obtained during an audit is confidential. Auditors may only disclose audit information to another person or organization if the company authorizes them to do so, or if there is a legal requirement to do so. Refer to ACSA's Auditor Code of Conduct and Conflicts of Interest Statement for more information. Auditors can also find additional information in ACSA's Auditor Training Program course materials.

Steps to Performing an Audit

1.	Prepare for the audit	Communicate with the employer to determine the audit scope, timing, and representative sampling requirements.
2.	Conduct a pre-audit meeting	Meet with the employer to establish expectations. Give a brief overview of the audit process.
3.	Attend site familiarization tour(s)	Complete site familiarization tour(s) to better understand company operations and to identify any higher hazard areas.
4.	Review documentation	Determine if the company's required health and safety documentation and record keeping meets the audit standard.
5.	Conduct interviews	Use one-on-one sessions to determine if senior managers, managers, supervisors, and workers have a working knowledge of the company's health and safety system.
6.	Perform observations	Determine if the health and safety actions of senior managers, managers, supervisors, and workers are consistent with the document review and interviews.
7.	Conduct a post-audit meeting	Discuss the audit results, identified strengths, and suggestions for improvement with the employer. Outline the next steps in the audit process.
8.	Write the audit report	Use the information from document reviews, interviews, and observations to complete the audit report.
9.	Submit the audit report	Submit the audit report to the ACSA within 21 days of the last day of data gathering activities.

Important Dates

Audit Start Date	The first day the auditor receives any piece of audit-related information in any format by postal service, email/online, third-party delivery, in person, or by any other means from the employer
Audit End Date	The last day the auditor gathers any audit-related information in any format and by any means to complete the audit report
Audit Submission Deadline Date	21 days from of the Audit Completion Date
Quality Assurance Amendment Dates	15 days from the issue date



Auditor/NCSO/HSA reported and discovered breaches of Ethics, Conflict of Interest and ACSA standards are investigated and administered in accordance with the ACSA internal Performance Management Process.

Scoring Audit Questions

There are four types of scoring used for audit questions. Score each audit question using the method stated in each question.

Types of Scoring	Comments	Calculations
<p>All-or-Nothing (A/N)</p> <p><i>(Zero, Full points)</i></p>	<p>The comma indicates only two scores are possible (i.e., zero or full points)</p> <p>No partial points available. (0,5) (0,10) (0,15)</p>	<p>Score zero points if positive indicators are below the percentage given in the question.</p> <p>Score full points if positive indicators meet or exceed the percentage given in the question.</p>
<p>Range</p> <p><i>(Zero – Max points)</i></p>	<p>The dash indicates a range of points is possible (i.e., any whole number from zero up to and including the maximum points). (0–5) (0–10) (0–15)</p>	<p>Calculate points to score using the percentage of positive indicators given in the question.</p>
<p>Cascade</p> <p><i>(Zero – Max points)</i></p>	<p>A calculation for one score uses a score from a previous question (i.e., one score depends on another score) (0–5) (0–10) (0–15)</p>	<p>Calculate points to score using range scoring.</p>
<p>Not Applicable (N/A)</p>	<p>May use in certain cases as shown in the question’s scoring instructions.</p> <p>Justify any N/A in validation note.</p>	<p>No calculations.</p> <p>Points deducted from the total points possible for the element and the audit.</p>

Rounding Rules for Scoring

Regular rounding rules apply. From .1 to .4 round down to the nearest whole number, and .5 to .9 round up to the nearest whole number. For example, 6.37 would round down to 6, and 6.67 would round up to 7.

Interview Sampling

The interview sample should represent both the size and complexity of the employer, including all business units and levels. If necessary, samples may need to go beyond the stated minimums.

Variables for Representative Sampling:

- Number of years employees have been with the employer
- Department
- Levels of personnel
- Shifts
- Employer history
- Multiple sites
- Industry codes

Document Sampling

The auditor must review enough data to get a clear picture of the HSMS. The percentage of the sample collected will change according to the size of what is being sampled.

Choosing a sampling method will depend on several factors:

- Type of document
- Pre-audit meeting discussions
- Risks associated with tasks performed
- Applicable audit question, and its measurement and scoring instructions
- Volume of records for a specific type of document

The ACSA has a document list developed directly from the ACSA audit instrument.

Examples of specific types of documentation that may be used for validation are listed.

This is available at www.youracsa.ca.

Audit Instrument Elements

Element Number and Name	Total Points available	Minimum Standard	Element weight (%)
1. Management Commitment	70	35	8%
2. Public, Visitors and Contracted Employers	60	30	7%
3. Health and Safety Committees/ Health and Safety Representatives	65	32	7%
4. Training	125	63	14%
5. Hazard Assessment	130	65	14%
6. Hazard Control	105	53	12%
7. Inspections & Maintenance	105	53	12%
8. Emergency Response	90	45	10%
9. Investigations	85	42	9%
10. Program Administration	65	32	7%
	900		100%

The total audit score is calculated once all the audit questions are scored according to the instructions.

For COR certification (external) audits, the audit must have a minimum score of 80% overall with no less than 50% in each element. For COR maintenance years, the audit must score 60% overall.

Validation Note Requirements (applies to all questions)

Must	Must Not
<ul style="list-style-type: none"> • Answer the audit question • Justify the points awarded or withheld • Identify the validation technique used • Be professional in style and content • Give at least one company-specific example 	<ul style="list-style-type: none"> • Refer to a specific employee • State the auditor's opinion • Restate the question justifying the score awarded • Contradict related questions • Be boilerplated or templated

Audit Instrument Questions

1. Management Commitment

Element 1 – Management Commitment

People make up the framework of an organization. The management team must lead and support the foundation to have a successful OHS system.

Total points for this element: 70

Question	1.1	Validation Method/Scoring	Documentation (0–5)
Does the company have a written health and safety policy?			
Instructions	Scoring	Validation Note Criteria	
<p>1. This question includes five criteria:</p> <ul style="list-style-type: none"> • A reference to the company’s goals, aims, responsibilities for, and commitment to, health and safety • A reference to addressing the health and safety (including physical, psychological, and social well-being) of employees • A reference to the health and safety responsibilities of managers, supervisors, workers, and contractors • The requirement to comply with government legislation • The signature of the current most senior manager for the business units being audited <p>This is the total number.</p> <p>2. Determine how many of the criteria are present and complete. This is the number of positive indicators.</p>	<p>Divide the number of criteria found by the total number of criteria (5) in the question.</p> <p>For example, consider the following scenario and calculation:</p> <ul style="list-style-type: none"> • All criteria are included in the policy except the signature of the senior manager. <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 4 (positive indicator) by 5 (total number) = 0.80 2. Multiply 0.80 x 5 (available points) = 4 3. Assign 4 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must state a specific detail from the policy. 4. Must identify all missing criteria, if applicable. 	

1. Management Commitment

Question	1.2	Validation Method/Scoring	Documentation (0–10)
Have the health and safety responsibilities been written for each applicable employee level within the company (senior management, management, supervisors, and workers)?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review relevant documentation to determine the number of employee levels. This is the total number. Review relevant documentation to determine the number of employee levels assigned health and safety responsibilities. This is number of positive indicators. 	<p>Divide the number of levels that have specific health and safety responsibilities documented by the total applicable levels identified.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> 4 applicable levels are identified by auditor 3 of the 4 levels have their health and safety responsibilities outlined in the written system <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 3 (positive indicator) by 4 (total number) = 0.75 Multiply 0.75 x 10 (available points) =7.5, rounded to 8 Assign 8 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must state an example of a responsibility for one of the employee levels. Must identify any employee levels without assigned responsibilities, if applicable. Must identify documents reviewed to determine employee levels. 	

1. Management Commitment

Question	1.3	Validation Method/Scoring	Interview (0–5)
Is the health and safety policy communicated to employees?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

1. Management Commitment

Question	1.4	Validation Method/Scoring	Interview (0–5)
Does senior management demonstrate commitment to occupational health and safety?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: worker, supervisor, manager</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

1. Management Commitment

Question	1.5	Validation Method/Scoring	Interview (0-5)
Do employees understand their individual OHS rights (right to know, right to refuse dangerous work, right to participate)?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

1. Management Commitment

Question	1.6	Validation Method/Scoring	Interview (0–5)
Do employees understand their company assigned health and safety responsibilities?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

1. Management Commitment

Question	1.7	Validation Method/Scoring	Interview (0–5)
Do employees understand their legislated health and safety responsibilities?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

1. Management Commitment

Question	1.8	Validation Method/Scoring	Interview (0–5)
Do managers and supervisors understand their responsibilities for the health and safety of workers under their supervision?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: supervisors, managers</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

1. Management Commitment

Question	1.9	Validation Method/Scoring	Interview (0–5)
Does senior management/management communicate OHS topics to employees?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: workers</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

1. Management Commitment

Question	1.10	Validation Method/Scoring	Interview (0–5)
Does the employer provide resources needed to support effective management of health and safety hazards?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

1. Management Commitment

Question	1.11	Validation Method/Scoring	Interview (0, 5)
Is senior management/management held accountable for the implementation of the HSMS?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: manager, senior manager</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Award full points based on minimum of 80% positive indicator. Otherwise, score 0.</p> <p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

1. Management Commitment

Question	1.12	Validation Method/Scoring	Observation (0-10)
Does the company provide access to current, applicable health and safety legislation?			
Instructions	Scoring		Validation Note Criteria
<ol style="list-style-type: none"> 1. Identify all relevant information needed to complete observations. 2. Determine the number and type of areas for observations. This is the total number. 3. Observe worksites to verify health and safety legislation is readily available to employees either in paper form or stored electronically. This is the number of positive indicators. 	<p>Divide the number of sites that meet legislated requirements by the number of total worksites included in the observation tour.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • The total sites sampled is 10 • 9 of the sites sampled have access to current, applicable legislation <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 9 (positive indicator) by 10 (total number) = 0.90 2. Multiply 0.90 x 10 (available points) = 9 3. Assign 9 points 		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example where the company did provide access to legislation. 4. Must provide an example where the company did not provide access to legislation, if applicable.

2. Public, Visitors, and Contracted Employers

Element 2 – Public, Visitors, and Contracted Employers

This element addresses the health and safety of other employers, self-employed persons, visitors, and/or any other persons who may be affected by hazards originating from the employers' worksite(s) while present at, or in the vicinity of, the worksite(s). These affected worksite parties must be included and evaluated with the audited employer's health and safety management system.

Total points for this element: 60

Question	2.1	Validation Method/Scoring	Documentation (0,5)
Does the company have a process in place to address the protection of people not under the employer's direction?			
Instructions	Scoring	Validation Note Criteria	
<p>1. There are three applicable worksite parties.</p> <ul style="list-style-type: none"> Contracted Employers Visitors Any other persons at, or in the vicinity of, the worksite who may be affected by hazards originating from the worksite <p>This is the total number.</p> <p>2. Review the relevant documentation to determine how many of the three applicable worksite parties are present. This is the number of positive indicators.</p>	<p>Award full points based on 100% positive indicators. Otherwise, score 0.</p> <p>Score 5 points if the company has a process for all three applicable worksite parties.</p> <p>Score 0 points if they do not have a process for all three applicable worksite parties.</p>	<p>1. Must fully answer the question as presented.</p> <p>2. Must identify all missing criteria, if applicable.</p> <p>3. Must justify the scoring of maximum or minimum points.</p>	

2. Public, Visitors, and Contracted Employers

Question	2.2	Validation Method/Scoring	Interview (0–5)
Is the health and safety policy communicated to contracted employers?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: supervisor, manager</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable. 4. Must provide comment if N/A.

2. Public, Visitors, and Contracted Employers

Question	2.3	Validation Method/Scoring	Documentation (0–5)
Is a process in place to manage contracted employers?			
Instructions	Scoring	Validation Note Criteria	
<p>1. There are four criteria for this question</p> <ul style="list-style-type: none"> • Evaluate • Select • Monitor • Address non-compliance <p>This is the total number.</p> <p>2. Review the relevant documentation to determine how many of the four criteria are in place. This is the number of positive indicators.</p> <p>3. If the company does not use contracted employers, mark this question as N/A and provide a comment in the validation notes.</p>	<p>Divide the number of criteria found by the total of four criteria.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Company has met all criteria except for the process of monitoring. <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 3 (positive indicator) by 4 (total number) = 0.75 2. Multiply 0.75 x 5 (available points) = 3.75, rounded to 4 3. Assign 4 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must identify one company specific example to support one of the criteria. 4. Must identify all missing criteria, if applicable. 5. Must provide comment if N/A. 	

2. Public, Visitors, and Contracted Employers

Question	2.4	Validation Method/Scoring	Interview (0–5)
Is a process in place to regularly monitor contracted employers?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: supervisor, manager</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable. 4. Must provide comment if N/A

2. Public, Visitors, and Contracted Employers

Question	2.5	Validation Method/Scoring	Interview (0-5)
Does the employer communicate with external worksite parties (contracted employers, suppliers, prime contractors, etc.) regarding worksite hazards and controls?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: supervisor, manager</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

2. Public, Visitors, and Contracted Employers

Question	2.6	Validation Method/Scoring	Interview (0–5)
Does the employer communicate with external worksite parties (contracted employers, suppliers, prime contractors, etc.) regarding their health and safety responsibilities while on site?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: supervisor, manager</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

2. Public, Visitors, and Contracted Employers

Question	2.7	Validation Method/Scoring	Interview (0–5)
Does the employer communicate with external worksite parties (contracted employers, suppliers, prime contractors, etc.) regarding changes to the site?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: supervisor, manager</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

2. Public, Visitors, and Contracted Employers

Question	2.8	Validation Method/Scoring	Documentation (0,5)
Does the company provide health and safety orientations to visitors?			
Instructions	Scoring		Validation Note Criteria
<ol style="list-style-type: none"> Review relevant documentation to determine the number of visitors requiring a health and safety orientation. If required, select a sample from this documentation. This is the total number. From the selected sample, determine how many of the visitors selected did receive a health and safety orientation. This is the number of positive indicators. 	<p>Award full points based on minimum of 70% positive indicator. Otherwise, score 0.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> The auditor determined from visitor sign-in records that there were 29 visitors in the 12 months prior to the audit. The auditor sampled 15 visitors from log/sign-in records. By reviewing orientation records the auditor discovered that 12 of the total sampled were provided with an orientation. <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 12 (positive indicator) by 15 (total number) = 0.80 Multiply 0.80 x 100 (to determine percentage) = 80% As 80% exceeds the minimum 70% positive indicator, full points may be awarded Assign 5 points 		<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must justify the scoring of maximum or minimum points. Must provide details for at least one situation where the company did not orientate a visitor, if applicable.

2. Public, Visitors, and Contracted Employers

Question	2.9	Validation Method/Scoring	Documentation (0,5)
Does the company provide health and safety orientations to contracted employers?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review relevant documentation to determine the number of contracted employers requiring a health and safety orientation. Select a sample from this documentation. This is the total number. From the selected sample, determine how many of the contracted employers selected did receive a health and safety orientation. This is the number of positive indicators. If the company does not use contracted employers, mark this question as N/A and provide a comment in the validation notes. 	<p>Award full points based on minimum of 70% positive indicator. Otherwise, score 0.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> In the 12 months preceding the audit, the auditor determined from reviewing log-in/sign-in records that there were 220 contractors and self-employed persons combined. The auditor sampled 30 contractors and self-employed persons from log/sign-in records. By reviewing orientation records the auditor discovered that 20 of the total sampled were provided with an orientation. <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 20 (positive indicator) by 30 (total number) = 0.66 Multiply 0.66 x 100 (to determine percentage) = 66% As 66% is below the minimum 70% positive indicator, points may not be awarded Assign 0 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must justify the scoring of maximum or minimum points. Must provide details for at least one situation where the company did not orientate a contractor and/or self-employed person, if applicable. Must provide comment if N/A. 	

2. Public, Visitors, and Contracted Employers

Question	2.10	Validation Method/Scoring	Observation (0–15)
Is health and safety information readily available to affected external worksite parties as per legislated requirements?			
Instructions	Scoring		Validation Note Criteria
<ol style="list-style-type: none"> 1. Identify all relevant information needed to complete observations. 2. Determine the number and type of areas for observations. This is the total number. 3. Observe worksites to verify applicable health and safety documentation is readily available to external worksite parties, either in paper form or stored electronically. This is the number of positive indicators. 4. If the company does not have external worksite parties on site, mark this question as N/A and provide a comment in the validation notes. 	<p>Divide the number of sites confirmed to have readily available health and safety documentation to external worksite parties, by the number of total worksites included in the observation tour.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Company has 4 sites where external parties may be present. • Auditor confirmed through observations that 2 of those sites have applicable health and safety documentation readily available <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. The auditor would divide 2 (positive indicator) by 4 (total number) = 0.50 2. Multiply 0.50 x 15 (available points) = 7.5, rounded up to 8 3. Assign 8 points 		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example where health and safety information is readily available 4. Must provide an example where health and safety information is not readily available, if applicable. 5. Must provide comment if N/A.

3. Health and Safety Committees (HSC) / Health and Safety Representatives (HS Rep)

Element 3 – Health and Safety Committees (HSC) / Health and Safety Representatives (HS Rep)

Health and safety committees are a key element of the internal responsibility system. They bring worksite parties together to collaborate on topics such as hazard identification and control, investigation of health and safety incidents, and responding to report of dangerous work.

Note: If the employer has 1-4 employees and has not otherwise been ordered to establish representation or a committee, N/A may be applied to this element. As identified in the Alberta Occupational Health and Safety Legislation.

Total points for this element: 65

Question	3.1	Validation Method/Scoring	Documentation (0–5)
Is there an established system for the health and safety committee to follow as per legislated requirements?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The eight criteria for this question are:</p> <ul style="list-style-type: none"> • Selection of co-chairs • Selection of worker members • Term of office for members • Meeting frequency and meeting records management • Process for conducting meetings and reporting concerns to management • Member replacement during term • Dispute resolution • Member duties and response if members are not fulfilling them <p>This is the total number.</p> <p>2. Review the relevant documentation to determine how many of the eight criteria are in place. This is the number of positive indicators.</p> <p>3. If the company only requires an HS Representative, mark this question as N/A and provide a comment in the validation notes.</p>	<p>Divide the number of criteria found by the total of 8 criteria.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • 5 of the 8 criteria have been met <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 5 (positive indicator) by 8 (total number) = 0.625 2. Multiply 0.625 x 5 (available points) = 3.13 points, round down to 3 3. Assign 3 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example to support one of the criteria. 4. Must identify all missing criteria, if applicable. 5. Must provide comment if N/A. 	

3. Health and Safety Committees (HSC) / Health and Safety Representatives (HS Rep)

Question	3.2	Validation Method/Scoring	Documentation (0–5)
Does a policy or procedure include all legislated requirements for an HS Representative as per legislated requirements?			
Instructions	Scoring		Validation Note Criteria
<p>1. The four criteria for this question are:</p> <ul style="list-style-type: none"> • Duties of the HS representative • Requirement to appoint a representative • Reporting and recommendations to management • Term of office <p>This is the total number.</p> <p>2. Review the relevant documentation to determine how many of the four legislated requirements are in place. This is the number of positive indicators.</p> <p>3. If the company only requires an HSC, mark this question as N/A and provide a comment in the validation notes.</p>	<p>Divide the number of criteria found by the total of 4 criteria.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Company meets all the criteria except for the reference of the terms of office <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 3 (positive indicator) by 4 (total number) = 0.75 2. Multiply 0.75 x 5 (available points) = 3.75 3. Assign 4 points 		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example to support one of the criteria. 4. Must identify all missing criteria, if applicable. 5. Must provide comment if N/A.

3. Health and Safety Committees (HSC) / Health and Safety Representatives (HS Rep)

Question	3.3	Validation Method/Scoring	Documentation (0, 5)
Is the committee and/or representative established as per required legislation?			
Instructions	Scoring		Validation Note Criteria
<ol style="list-style-type: none"> Review relevant documentation to determine if the company HSC and/or an HS Representative has been established. 	<p>Award full points based on 100% positive indicators. Otherwise, score 0 points</p> <p>Score 5 points if an appropriate committee and/or representative is established. Otherwise, score 0 points.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Must justify the scoring of maximum or minimum points.

3. Health and Safety Committees (HSC) / Health and Safety Representatives (HS Rep)

Question	3.4	Validation Method/Scoring	Documentation (0–5)
Are the HSC members and/or HS representative trained as required?			
Instructions	Scoring		Validation Note Criteria
<p>1. Training consists of 3 criteria:</p> <ul style="list-style-type: none"> • Duties and responsibilities of the committee and/or representative • Obligations of worksite parties • Worker’s rights <p>2. Review relevant documentation to determine the total number of HSC members and/or the HS Representative the company has. This is the total number.</p> <p>3. Review relevant documentation to determine how many of the HSC members and/or HS Representative have the required training. This is the number of positive indicators.</p>	<p>Divide the total number of HSC members or HS representative that have the required training by the total number of HSC members and HS representatives.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • There are 5 members within the committee. • 3 have the required training <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 3 (positive indicator) by 5 (total number) = 0.6 2. Multiply 0.6 by 5 (available points) = 3 3. Assign 3 points 		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide details of at least one example of appropriate training completed by the HSC/HS Representative. 4. Must provide details of at least one example where an HSC/HS Representative is in place but not trained, if applicable.

3. Health and Safety Committees (HSC) / Health and Safety Representatives (HS Rep)

Question	3.5	Validation Method/Scoring	Interview (0–10)
Do the HSC members and/or HS representative understand their duties and responsibilities?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: HSC members or HS Representative</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

3. Health and Safety Committees (HSC) / Health and Safety Representatives (HS Rep)

Question	3.6	Validation Method/Scoring	Interview (0–10)
Is a system in place for the HSC and/or HS representative to address and provide recommendations for employee concerns related to the health and safety system?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: HSC members or HS Representative</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

3. Health and Safety Committees (HSC) / Health and Safety Representatives (HS Rep)

Question	3.7	Validation Method/Scoring	Documentation (0–5)
Are the appropriate health and safety activities conducted as per legislation?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The four criteria for this question are:</p> <ul style="list-style-type: none"> • Meetings • Inspection review • Participation in hazard assessments • Response to concerns/complaints in a timely manner <p>This is the total number.</p> <p>2. Review the relevant documentation to determine how many of the four criteria are in place. This is the number of positive indicators.</p>	<p>Divide the number of criteria found by the 4 total criteria.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Company meets all the criteria, except inspections • 3 of the 4 criteria have been met <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 3 (positive indicator) by 4 (total number) = 0.75 2. Multiply 0.75 x 5 (available points) = 3.75 rounded to 4 3. Assign 4 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must identify a specific example of one of the criteria met. 4. Must identify all missing criteria, if applicable. 	

3. Health and Safety Committees (HSC) / Health and Safety Representatives (HS Rep)

Question	3.8	Validation Method/Scoring	Interview (0–10)
Are HSC/HS Representative meeting minutes communicated/made readily available to all employees?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

3. Health and Safety Committees (HSC) / Health and Safety Representatives (HS Rep)

Question	3.9	Validation Method/Scoring	Observation (0-10)
Are the names and contact information of the HSC members and/or the HS representative readily available to employees?			
Instructions	Scoring		Validation Note Criteria
<ol style="list-style-type: none"> 1. Identify all relevant information needed to complete observations. 2. Determine the number and type of areas for observations. This is the total number. 3. Observe worksites to verify the names and contact information of the HSC members and/or the HS Representative are made available. This is the number of positive indicators. 	<p>Divide the number of sites that have the contact information posted by the number of total worksites included in the observation tour.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • The auditor identified 5 worksites that required a posted list • During observations, the auditor only found 3 posted lists <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 3 (positive indicator) by 5 (total number) = 0.60 2. Multiply 0.60 x 10 (available points) = 6 3. Assign 6 points 		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide details of a location where the required information was observed. 4. Must provide details of a location where required information was missing or not visible, if applicable.

4. Training

Element 4 – Training

Training employees aids in the development and maintenance of job-specific skills required to work safely and efficiently. Every employee level will benefit from increased learning and support in the workplace. All individuals must participate in creating a safe working environment.

Total points available in this element: 125

Question	4.1	Validation Method/Scoring	Documentation (0–10)
Is there an orientation process that includes OHS rights and critical health and safety information employees require prior to starting regular work duties?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The ten criteria for this question are</p> <ul style="list-style-type: none"> • Worker rights (right to refuse, right to know, right to participate) • Health and safety policies and procedures • Health and safety responsibilities • Task specific hazards and controls • Hazard reporting • Applicable regulatory requirements • Discipline/enforcement policies • Violence and harassment procedures • Emergency response procedures • Incident and near miss reporting <p>This is the total number.</p> <p>2. Review the relevant documentation to determine how many of the ten criteria are in place. This is the number of positive indicators.</p>	<p>Divide the number of found criteria by the total of 10 criteria.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Auditor identified worker rights, hazard reporting and discipline/enforcement policies have not been identified in the orientation package. The remaining 7 criteria have been met <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 7 (positive indicator) by 10 (total number) = 0.70 2. Multiple 0.70 x 10 (available points) = 7 3. Assign 7 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must identify a specific example of one of the criteria met. 4. Must identify all missing criteria, if applicable. 	

4. Training

Question	4.2	Validation Method/Scoring	Documentation (0–10)
Are employees provided orientations within an appropriate timeframe?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine how many employees required an orientation within the last twelve months. This is the total number. 2. Review relevant documentation to determine how many employees received an orientation within the last twelve months. This is the number of positive indicators. 3. If no employees required an orientation within the last twelve months, mark this question as N/A and provide a supporting comment in the validation notes. 	<p>Divide the number of orientation records completed as per policy by the number of employees requiring orientation.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • The company records indicate 4 new employees required orientation within the previous 12 months • The auditor can only verify 3 have been provided with an orientation <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 3 (positive indicator) by 4 (total number) = 0.75 2. 0.75×10 (available points) = 7.5, round up to 8 3. Assign 8 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide a specific example of a completed or missing record reviewed. 4. Must provide comment if N/A. 	

4. Training

Question	4.3	Validation Method/Scoring	Interview (0–10)
Are managers/supervisors able to confirm workers under their supervision have received orientations?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: supervisor, manager</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

4. Training

Question	4.4	Validation Method/Scoring	Documentation (0–5)
Does the company confirm appropriate health and safety qualifications are met before employees can perform their jobs?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Determine the number of employee training records for review. Select a sample from the total number of records. This is the total number. From the selected sample, determine how many employee training records verify training did occur before employees started to perform their jobs. This is the number of positive indicators. If the worksite only involves lower-risk administrative work, mark this question as N/A and provide a comment in the validation notes. 	<p>Divide the number of training records found by the number of training records expected.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> A company has a mandatory training requirement of CSTS The company has hired 150 employees over the past 12 months The auditor sampled 50 employee training records and verified 40 have the applicable CSTS training <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 40 (positive indicator) by 50 (total number) = 0.80 0.80 x 5 (available points) = 4 Assign 4 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide an example where an employee started work after receiving appropriate training. Must provide an example where an employee started work before receiving appropriate training, if applicable. Must provide comment if N/A. 	

4. Training

Question	4.5	Validation Method/Scoring	Documentation (0,5)
Is there a process to assess the competency of new and re-assigned workers?			
Instructions	Scoring	Validation Note Criteria	
1. Review training policy and/or procedure to verify there is a competency assessment process that includes: <ul style="list-style-type: none"> • Set intervals • Refreshers when operational changes require it 	Award full points based on 100% positive indicators. Otherwise, score 0 points. Score 5 points if a competency assessment process that meets requirements is in place. Otherwise, score 0 points.	1. Must fully answer the question as presented. 2. Must identify all missing criteria, if applicable. 3. Must justify the scoring of maximum or minimum points.	

4. Training

Question	4.6	Validation Method/Scoring	Documentation (0–5)
Are competency assessments conducted?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review relevant documentation to determine the number of competency assessments the company requires. This is the total number. Review relevant documentation to determine the number of competency assessments completed. This is the number of positive indicators. 	<p>Divide the number of competency assessments conducted by the number of competency assessments expected.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> A company has 5 employees operating forklifts The company requires an initial knowledge test The auditor is only able to confirm 1 out of 5 employees have the assessments on file <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 1 (positive indicator) by 5 (total number) = 0.20 0.20 x 5 (available points) = 1 Assign 1 point 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide details of at least one situation where the company performed a required competency assessment. Must provide details for at least one situation where the company did not perform a required competency assessment, if applicable. 	

4. Training

Question	4.7	Validation Method/Scoring	Documentation (0–10)
Do employees receive job-specific training when: first hired, assigned new tasks, or when an operational change affects their work?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review relevant documentation to determine the number of employee training records. These records must cover potential hazards and required controls (engineering, administrative, PPE). This is the total number. Determine how many employee training records verify job-specific training for the three criteria in the question. This is the number of positive indicators. 	<p>Divide by the number of training records that cover the appropriate hazards and controls by the number of completed training records reviewed in the sample.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> The auditor reviews 10 training records 9 of the 10 training records include appropriate training for the related hazards and controls <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 9 (positive indicator) by 10 (total number) = 0.90 Multiply 0.90 x 10 (available points) = 9 Assign 9 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide details of an example where job-specific training met the criteria. Must provide details where job-specific training did not meet the criteria, if applicable. 	

4. Training

Question	4.8	Validation Method/Scoring	Interview (0–15)
Does job-specific training include a practical demonstration?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: worker</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

4. Training

Question	4.9	Validation Method/Scoring	Documentation (0–5)
Is required refresher training provided?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review relevant documentation to determine the number of employee training records. If required, select a sample from the documentation. This is the total number. From the sample, determine how many of the employee training records verify refresher training occurred according to a specified review period or when operational changes require it. This is the number of positive indicators. 	<p>Divide the number of records reviewed that require refresher/review, by the number of records meeting the refresher/review timeframe.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> Auditor sampled 10 employees who operate forklifts. The company requires a refresher course every 3 years. Only 3 of the 10 employees have received the 3-year refresher. <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 3 (positive indicator) by 10 (total number) = 0.30 Multiply 0.30 x 5 (available points) = 1.5, round to 2 Assign 2 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide an example where the company provided refresher training. Must provide an example where the company did not provide refresher training, if applicable. 	

4. Training

Question	4.10	Validation Method/Scoring	Documentation (0, 10)
Is there a system in place that encourages two-way communication between all levels of employees?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine the number of identified employee levels in the company. This is the total number. 2. Review relevant documentation to determine the number of the two-way communication types the company uses to communicate with all employee levels. This is the number of positive indicators. Exclude HSC communications from this total. 	<p>Award full points based on minimum of 70% positive indicator. Otherwise, score 0.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Training & Communication Policy confirmed the company holds daily toolbox meetings with all field staff at all worksites • Policy also identifies that there are regularly scheduled monthly meetings that include both the field and management staff • Policy does not identify safety meetings will be conducted that include office (administrative) staff <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 2 (positive indicator) by 3 (total number) = 0.66 2. Multiply 0.66 x 100 (to determine percentage) = 66% 3. As 66% is below the minimum 70% positive indicator, points may not be awarded 4. Assign 0 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must justify the scoring of maximum or minimum points. 4. Must provide an example where the type and frequency of two-way communication does not address all levels of employees, if applicable. 	

4. Training

Question	4.11	Validation Method/Scoring	Documentation (0–5)
Is two-way health and safety communication completed as per the defined frequency?			
Instructions	Scoring		Validation Note Criteria
<ol style="list-style-type: none"> Review relevant documentation to determine a type of two-way communication method identified in 4.10 with a defined frequency. The defined frequency is the total number. Automatically score zero points if there are no defined frequencies identified. Review relevant documentation to determine how many of the types of two-way communication identified in Step 1 occurred according to the defined frequency. This is the number of positive indicators. 	<p>Divide the number of records available by the total number of records required.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> Policy indicates monthly safety meetings are conducted with all employees, including office staff The company works year-round. The auditor found 9 meetings available <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 9 (positive indicator) by 12 (total number) = 0.75 Multiply 0.75 x 5 (points available) = 3.75, rounded up to 4 Assign 4 points 		<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide example of a two-way communication type that followed a defined frequency. Must provide an example of a two-way communication type that did not follow a defined frequency, if applicable.

4. Training

Question	4.12	Validation Method/Scoring	Interview (0–10)
Do senior managers ensure there is a system for workers to provide feedback on health and safety issues?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: workers</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

4. Training

Question	4.13	Validation Method/Scoring	Interview (0–5)
Are employees evaluated on their individual health and safety accountabilities?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

4. Training

Question	4.14	Validation Method/Scoring	Documentation (0–5)
Have individuals received training for leading formal hazard assessments?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review relevant documentation to determine how many employees lead formal hazard assessment process. This is the total number. Review relevant documentation to determine how many employees leading the formal hazard assessment process received appropriate training. This is the number of positive indicators. 	<p>Divide the number of employees with the required training that lead the formal hazard assessment process by the total number of employees sampled that lead this process.</p> <p>For example, considering the following scenario and calculation.</p> <ul style="list-style-type: none"> The auditor identified 19 employees that lead the formal hazard assessment process The auditor found that 12 of those individuals had the appropriate training <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 12 (positive indicator) by 19 (total number) = 0.63 Multiply 0.63 by 5 (available points) = 3.15, round to 3 Assign 3 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide an example where an employee has the appropriate training. Must provide an example where an employee did not have the appropriate training, if applicable. 	

4. Training

Question	4.15	Validation Method/Scoring	Documentation (0–5)
Have individuals received training for leading inspections?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review relevant documentation to determine how many employees lead inspections. This is the total number. Review relevant documentation to determine how many employees leading inspections received appropriate training. This is the number of positive indicators. 	<p>Divide the number of employees with the required training that lead the inspection process by the total number of employees sampled that lead this process.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> The auditor identified 14 employees that lead the inspection process The auditor found that 9 of those individuals had the appropriate training <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 9 (positive indicator) by 14 (total number) = 0.64 Multiply 0.64 by 5 (available points) = 3.2, round to 3 Assign 3 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide an example where an employee had the appropriate training. Must provide an example where an employee did not have the appropriate training, if applicable. 	

4. Training

Question	4.16	Validation Method/Scoring	Documentation (0–5)
Have individuals received training for leading investigations?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review relevant documentation to determine how many employees lead investigations. This is the total number. Review relevant documentation to determine how many employees leading investigations received appropriate training. This is the number of positive indicators. 	<p>Divide the number of employees with the required training that lead the investigation process by the total number of employees sampled that lead this process.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> The auditor identified 11 employees that lead the investigation process The auditor found that 9 of those individuals had the appropriate training <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 9 (positive indicator) by 11 (total number) = 0.82 Multiply 0.82 by 5 (available points) = 4.1, round to 4 Assign 4 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide an example where an employee has the appropriate training. Must provide an example where an employee did not have the appropriate training, if applicable. 	

4. Training

Question	4.17	Validation Method/Scoring	Interview (0–5)
Have supervisors received training appropriate to their role?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: supervisor</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

5. Hazard Assessment

Element 5 – Hazard Assessment

Hazard identification and assessment is a critical function in the health and safety management system.

A formal hazard assessment (FHA) involves a detailed look at an organization's overall operations. It is meant to identify hazards, measure risk (to help prioritize hazards), and develop, implement, and monitor related controls. Worker jobs or types of work are broken down into separate tasks. Formal hazard assessments are detailed, may involve many people, and will require time to complete.

A site-specific hazard assessment (also called field-level hazard assessment or FLHA) is performed before work starts at a site, when conditions change, or when non-routine work is added. These flag hazards identified at the location (e.g., overhead powerlines, poor lighting, wet surfaces, extreme temperatures, the presence of wildlife), or introduced by a change at the worksite (e.g., scaffolding, unfamiliar chemicals, introduction of new equipment). Any hazards identified must be addressed right away (i.e., before work begins or continues at the work location).

Total points for this element: 130

Formal Hazard Assessments			
Question	5.1	Validation Method/Scoring	Documentation (0–10)
Is there an inventory of all jobs and/or positions within the company for the purpose of formal hazard assessment?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review relevant documentation, other than formal hazard assessments, to determine the number of jobs and/or positions in the company. This is the total number. Determine the number of jobs and/or positions captured in the formal hazard assessments. This is the number of positive indicators. 	<p>Divide the number of jobs/positions captured in formal hazard assessments by the total number of jobs/positions evident within the company.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> Documentation confirms the company has 10 jobs/work types Only 6 jobs/positions are listed in the formal hazard assessments <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 6 (positive indicator) by 10 (total number) = 0.60 Multiply 0.60 x 10 (available points) = 6 Assign 6 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must identify a job and/or position captured in the formal hazard assessments. Must identify which jobs and/or positions were not captured in the formal hazard assessments, if applicable. Must identify the documents used to determine the total number of jobs and/or positions. 	

5. Hazard Assessment

Question	5.2	Validation Method/Scoring	Documentation (0–10)
Are the tasks/activities identified for each job or position?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Determine the number of jobs or positions captured in question 5.1. This is the total number. 2. Determine the number of jobs and/or positions shown in formal hazard assessments that have a related list of tasks. This is the number of positive indicators. 	<p>The points assigned in question 5.1 determines the maximum score permitted for this question.</p> <p>Divide the number of jobs and/or positions that have related tasks captured by the number of jobs and/or tasks that have been identified in the formal hazard assessments. Multiply the number by the positive indicators from 5.1. Once your positive indicator has been determined, multiply this by the total points for 5.2 (10).</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • The auditor identified 5 of the 6 jobs and/or positions have their tasks identified in the formal hazard assessments <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 5 (positive indicators) by 6 (total number) = 0.83 2. Multiply 0.83 X 0.60 (positive indicator for 5.1) = 0.498 3. Multiply 0.498 (positive indicator from 5.2) X 10 (total points for 5.2) = 4.98, rounded to 5 4. Assign 5 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must identify a job and/or position and its associated task. 4. Must identify which jobs and/or positions did not have tasks listed. 	

5. Hazard Assessment

Question	5.3	Validation Method/Scoring	Documentation (0–10)
Are both health and safety hazards identified for each task?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Determine the total number of tasks captured in 5.2. This is the total number. 2. Determine the number of tasks that have health and safety hazards assigned to them. This is the number of positive indicators. 	<p>The points assigned in question 5.2 determines the maximum score permitted for this question.</p> <p>Divide the number of tasks that include hazards assessed by the total number of tasks. Multiply the number by the positive indicators from 5.2. Once your positive indicator has been determined, multiply this by the total points for 5.3 (10).</p> <p>For example, consider the following scenario and calculation.</p> <ol style="list-style-type: none"> 1. The auditor identified 9 of the 10 tasks have hazards assessed <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 2. Divide 9 (positive indicator) by 10 (total number) = 0.90 3. Multiply 0.90 x .498 (for 5.2) = 0.448 4. Multiply 0.448 (positive indicator from 5.2) X 10 (total points for 5.2) = 4.48, rounded to 4 5. Assign 4 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example of a task listed with assigned health and/or safety hazards. 4. Must provide an example of a task listed with no assigned health and/or safety hazards, if applicable. 	

5. Hazard Assessment

Question	5.4	Validation Method/Scoring	Documentation (0-5)
Are the identified health and safety hazards evaluated according to risk?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Determine the number of health and safety hazards identified on the formal hazard assessments. Select a sample from these hazards. This is the total number. From the selected sample, determine how many of the health and safety hazards have risk evaluations with at least two factors (e.g., severity and likelihood). This is the number of positive indicators. 	<p>Divide the number of health and safety hazards that have risk evaluations by the total number of hazards in the sample.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> The auditor identified 352 health and safety hazards from the formal hazard assessments The auditor sampled 50 hazards 40 of the 50 hazards sampled have an assigned risk evaluation <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 40 (positive indicator) by 50 (total number) = 0.80 Multiply 0.80 x 5 (available points) = 4 Assign 4 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must include an example of a hazard and risk evaluation with at least two factors. Must provide an example of a hazard with less than two factors, if applicable. 	

5. Hazard Assessment

Question	5.5	Validation Method/Scoring	Interview (0–10)
Is senior management knowledgeable about the high hazard tasks related to their operations?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: senior manager</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

5. Hazard Assessment

Question	5.6	Validation Method/Scoring	Documentation (0–10)
Does the company have a policy or procedure to create, review and revise formal hazard assessments?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The four criteria for this question are:</p> <ul style="list-style-type: none"> When new operations, work processes, equipment, materials, or products are introduced When operations, work-related processes, or equipment are modified When site-specific hazard assessments, inspections, or investigations identify a previously unrecognized hazard As per a pre-determined frequency <p>This is the total number.</p> <p>2. Review the policy or procedure on formal hazard assessments to determine how many of the criteria are present. This is the number of positive indicators.</p> <p>Note: Indicating a review at regular intervals does not meet the requirement of a pre-determined frequency.</p>	<p>Divide the number of criteria met by the total criteria of 4.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> The company policy details all criteria listed in audit question, except does not include a review when operations, work-related processes, or equipment are modified <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 3 (positive indicator) by 4 (total number) = 0.75 Multiply 0.75 x 10 (available points) = 7.5 rounded up to 8 Assign 8 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must identify a specific example of one of the criteria met. Must identify all missing criteria, if applicable. Must identify all documents reviewed. 	

5. Hazard Assessment

Question	5.7	Validation Method/Scoring	Documentation (0,10)
Are formal hazard assessments created, reviewed and/or revised as per defined frequency in Question 5.6?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Determine the number of formal hazard assessments that have a defined frequency for creation, review, and/or revision. This is the total number. Automatically score zero points if there are no defined frequencies. Determine how many formal hazard assessments followed the defined frequency for creation, review, and/or revision. This is the number of positive indicators. 	<p>Award full points based on minimum of 70% positive indicator. Otherwise, score 0.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> There were a total of 25 FHA The auditor discovered 19 of the FHA have been reviewed as per the defined frequency <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 19 (positive indicator) by 25 (total number) = 0.76 Multiply 0.76 x 100 (to determine percentage) = 76% As 76% exceeds the minimum 70% positive indicator, full points may be awarded Assign 10 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must identify all missing criteria, if applicable. Must justify the scoring of maximum or minimum points. 	

5. Hazard Assessment

Question	5.8	Validation Method/Scoring	Interview (0–15)
Do employees participate in the development, review, and revision of formal hazard assessments, as required?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

5. Hazard Assessment

Site-Specific Hazard Assessments			
Question	5.9	Validation Method/Scoring	Documentation (0, 10)
Is a system in place for site-specific hazard assessments?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The system may deal with up to five situations:</p> <ul style="list-style-type: none"> • When work is at temporary/mobile worksites • When workers are conducting activities at a worksite not owned by their employer • When a new activity starts at a worksite • Before a job or task begins • When changes occur at a worksite <p>2. Determine how many of the five situations are applicable to the company's operations. This is the total number.</p> <p>3. Review relevant documentation to determine how many of the identified situations are having site-specific hazard assessments done. This is the number of positive indicators.</p>	<p>Award full points based on minimum of 70% positive indicator. Otherwise, score 0.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • All the criteria noted are applicable to company operations • Documentation revealed that only 3 of the 5 criteria have been fully met <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 3 (positive indicator) by 5 (total number) = 0.60 2. Multiply 0.60 x 100 (to determine percentage) = 60% 3. As 60% is below the minimum positive indicator of 70%, points may not be awarded 4. Assign 0 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must identify which situations apply to the company's system. 4. Must justify the scoring of maximum or minimum points. 5. Must provide an example where site-specific hazard assessments do not occur in a required situation, if applicable. 	

5. Hazard Assessment

Question	5.10	Validation Method/Scoring	Documentation (0–10)
Have site-specific hazard assessments been conducted before the job or task begins?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Determine the number of site-specific hazard assessments for review. Select a sample from these hazard assessments. This is the total number. 2. From the selected sample, review the documentation to determine how many times the company had site-specific hazard assessments done before jobs or tasks began. This is the number of positive indicators. 3. If there were no site-specific hazard assessments required in the previous 12 months, mark this question as N/A and provide a comment in the validation notes. 	<p>Divide the number of site-specific hazard assessments meeting requirements by the total number of site-specific hazard assessments sampled.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • A company has a total of 320 site specific hazard assessments • The auditor sampled 42 hazard assessments • Time stamps on 29 site specific hazard assessments confirmed they were conducted before the job or tasks begin <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 29 (positive indicator) by 42 (total number) = 0.69 2. Multiple 0.69 x 10 (available points) = 6.9, round up to 7 3. Assign 7 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide details for at least one situation where a site-specific hazard assessment did occur before a job/task began. 4. Must provide details for at least one situation where a site-specific hazard assessment did not occur before a job/task began, if applicable. 5. Must provide comment if N/A. 	

5. Hazard Assessment

Question	5.11	Validation Method/Scoring	Interview (0–10)
Have site-specific hazard assessments been repeated/reviewed if changes are introduced?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: worker, supervisor</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable. Must provide comment if N/A.

5. Hazard Assessment

Question	5.12	Validation Method/Scoring	Documentation (0–10)
Do affected employees participate in site-specific hazard assessments?			
Instructions	Scoring	Validation Note Criteria	
<p>1. Determine the number of site-specific hazard assessments for review. Select a sample from these hazard assessments. This is the total number.</p> <p>Note: Sampling size should remain consistent with 5.10.</p> <p>2. From the selected sample, determine how many of the site-specific hazard assessments indicate all affected employees participated. This is the number of positive indicators.</p> <p>3. If there were no site-specific hazard assessments required in the previous 12 months, mark this question as N/A and provide a comment in the validation notes.</p>	<p>Divide the number of site-specific hazard assessments with appropriate employee participation by the total number of site-specific hazard assessments sampled.</p> <p>Sampling sizes for questions assessing the same documentation type should remain consistent.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Employer has a total of 320 site specific hazard assessments • Auditor sampled 42 (same sample from 5.10) • Auditor confirmed affected employees participated in 18 out of 42 of the hazard assessments reviewed <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 18 (positive indicator) by 42 (total number) = 0.428 2. Multiply 0.428 x 10 (available points) = 4.28 3. Assign 4 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide details for at least one situation where a site-specific hazard assessment involved all affected employees. 4. Must provide details for at least one situation where a site-specific hazard assessment did not involve all affected employees, if applicable. 5. Must provide comment if N/A. 	

5. Hazard Assessment

Question	5.13	Validation Method/Scoring	Interview (0–10)
Is a system in place for workers to report newly identified hazards?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: worker</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

6. Hazard Control

Element 6 – Hazard Control

If an identified hazard cannot be eliminated, controls are implemented to reduce the risk of the hazard. Implementation of hazard controls will result in the reduction of incidents. Three methods of control are: Engineering (e.g., substitution, guards, ventilation, sound barriers, etc.); Administrative (e.g., safe work practices, safe job procedures, job rotation, training, etc.); Personal Protective Equipment (e.g., eye protection, hearing protection, gloves, fire retardant coveralls, etc.).

Total points for this element: 105

Formal Hazard Assessments			
Question	6.1	Validation Method/Scoring	Documentation (0–10)
Have controls been identified for hazards listed in the formal hazard assessments?			
Instructions	Scoring	Validation Note Criteria	
<p>1. Determine the number of health and safety hazards identified on formal hazard assessments. Select a sample from these hazards. This is the total number.</p> <p>Note: Sampling size should remain consistent with 5.4</p> <p>2. From the selected sample of formal hazard assessments, determine how many of the health and safety hazards have identified controls (elimination, engineering controls, administrative controls, and personal protective equipment). This is the number of positive indicators.</p> <p>3. Ensure controls for higher-risk hazards are in the sample. All hazards must have a control identified.</p>	<p>Divide the number of hazards with controls identified by the number of hazards sampled in Question 5.4.</p> <p>Sampling sizes for questions assessing the same documentation type should remain consistent.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • There are 352 hazards identified on the formal hazard assessments • Auditor sampled 50 hazards (same sample from 5.4) • Only 19 of the sampled hazards have controls listed <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 19 (positive indicator) by 50 (total number) = 0.38 2. Multiply 0.38 x 10 (available points) = 3.8, round up to 4 3. Assign 4 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must include an example of a higher-risk hazard and the listed control method. 4. Must provide an example of a higher-risk hazard without the appropriate controls, if applicable. 	

6. Hazard Control

Question	6.2	Validation Method/Scoring	Observation (0–15)
Have the identified engineering controls been implemented?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Determine how many engineering controls are in the formal hazard assessments. Select a sample from these controls. This is the total number. 2. Ensure controls for higher-risk hazards are in the sample. 3. Observe the work areas to confirm these assigned engineering controls are in place. This is the number of positive indicators. 	<p>Divide the number of observed engineering controls by the number sampled from formal hazard assessments.</p> <p>For example, if the formal hazard assessment identifies an 'equipment guard' as a control method, the auditor should be able to observe this control in place during site observations.</p> <p>Consider the following example scenario and calculation.</p> <ul style="list-style-type: none"> • 35 engineering controls identified in the formal hazard assessments • Auditor's sample includes 16 engineering controls • 9 of the sampled engineering controls were confirmed as implemented during work-site observations <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 9 (positive indicator) by 16 (total number) = 0.56 2. Multiply 0.56 x 15 (points available) = 8.4, round down to 8 3. Assign 8 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must include an example of an engineering control for a higher-risk hazard, if applicable. 4. Must provide an example of one higher-risk hazard without the appropriate engineering controls, if applicable. 	

6. Hazard Control

Question	6.3	Validation Method/Scoring	Documentation (0–15)
Are the identified administrative controls implemented?			
Instructions	Scoring	Validation Note Criteria	
<p>1. Determine how many administrative controls are in the formal hazard assessments. Select a sample from this documentation. This is the total number.</p> <p>Ensure controls for higher-risk hazards are in the sample.</p> <p>2. Determine how many of the administrative controls identified in the formal hazard assessments are in place. This is the number of positive indicators.</p>	<p>Divide the number of administrative controls in place by the total number of administrative controls found in the formal hazard assessments.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • 65 administrative controls identified in FHA • The auditor sampled 20 administrative controls • 13 of the sampled administrative controls were verified within documentation <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 13 (positive indicator) by 20 (total number) = 0.65 2. Multiply 0.65 by 15 (points available) = 9.75, round up to 10 3. Assign 10 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must include at least one example of an administrative control for a higher-risk hazard, if applicable. 4. Must provide details for at least one example of a higher-risk hazard without the appropriate administrative controls, if applicable. 	

6. Hazard Control

Question	6.4	Validation Method/Scoring	Observation (0–15)
Are the identified personal protective equipment (PPE) controls implemented?			
Instructions	Scoring	Validation Note Criteria	
<p>1. Determine how many PPE controls are in the formal hazard assessments. Select a sample from the documentation. Make note of the number of employees on site. This is the total number.</p> <p>Ensure controls for higher-risk hazards are in the sample.</p> <p>2. Determine through observation how many of the PPE controls identified in the formal hazard assessments are in place at worksites. This is the number of positive indicators.</p>	<p>Divide the number of employees observed wearing PPE by the number of employees required to wear PPE as sampled from the formal hazard assessments.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> Auditor chooses to sample hearing protection and hardhats for 50 employees Auditor verified 40 of the 50 employees using the required items during the worksite observations <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 40 (positive indicator) by 50 (total number) = 0.80 Multiply 0.80 x 15 (available points) = 12 Assign 12 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must include an example of a PPE control for a higher-risk hazard, if applicable. Must provide an example of a higher-risk hazard without the appropriate PPE controls, if applicable. 	

6. Hazard Control

Site-Specific Hazard Assessments			
Question	6.5	Validation Method/Scoring	Documentation (0-10)
Have controls been identified for hazards listed in site-specific hazard assessments?			
Instructions	Scoring	Validation Note Criteria	
<p>1. Determine the number of site-specific hazard assessments to review. Select a sample from this documentation. This is the total number.</p> <p>Note: Sampling size should remain consistent with 5.10</p> <p>2. From the selected sample, determine how many of the site-specific hazard assessments have identified controls for the hazards listed on the site-specific hazard assessments. This is the number of positive indicators.</p> <p>3. If there were no site-specific hazard assessments required in the previous 12 months, mark this question as N/A and provide a comment in the validation notes.</p>	<p>Divide the number of site-specific hazard assessments with appropriate controls, by the total number of site-specific hazard assessments in the sample.</p> <p>Sampling sizes for questions assessing the same documentation type should remain consistent.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> Employer has a total of 320 site specific hazard assessments Auditor sampled 42 (same sample from 5.10) Auditor confirmed 30 out of 42 of the hazard assessments have identified controls <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 30 (positive indicator) by 42 (total number) = 0.714 Multiply 0.714 x 10 (available points) = 7.14 Assign 7 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide an example of a higher-risk hazard and the identified control method. Must provide an example of a higher-risk hazard without the appropriate controls, if applicable. Must provide comment if N/A. 	

6. Hazard Control

Formal and Site-Specific Hazard Assessments			
Question	6.6	Validation Method/Scoring	Interview (0–10)
Are changes to hazard controls communicated to affected employees?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

6. Hazard Control

Question	6.7	Validation Method/Scoring	Interview (0–5)
Are employees using the required hazard controls?			
Instructions	Scoring	Validation Note Criteria	
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable. 	

6. Hazard Control

Question	6.8	Validation Method/Scoring	Interview (0–10)
Do supervisors enforce the use of hazard controls?			
Instructions	Scoring	Validation Note Criteria	
<p>Employee levels to interview: worker, supervisor</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>	<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable. 	

6. Hazard Control

Violence and Harassment Prevention			
Question	6.9	Validation Method/Scoring	Documentation (0–5)
Is a Violence Prevention Plan in place as per legislated requirements?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The three criteria for a Violence Prevention Plan are:</p> <ul style="list-style-type: none"> • Policy • Procedure • Training requirements <p>This is the total number.</p> <p>2. Review the relevant documentation to determine how many of the three criteria are in place. This is the number of positive indicators.</p> <p>3. Combining Violence and Harassment Prevention Plans into one plan is acceptable only if the combined plan meets the legislated and audit requirements for each separate plan.</p>	<p>Divide the number of found criteria by the total of 3 criteria.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • All the criteria are met except defining the training requirements for employees <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 2 (positive indicator) by 3 (total number) = 0.67 2. Multiply 0.67 x 5 (available points) = 3.3 3. Assign 3 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must identify a specific example of one of the criteria met. 4. Must identify all missing criteria, if applicable. 	

6. Hazard Control

Question	6.10	Validation Method/Scoring	Documentation (0–5)
Is a Harassment Prevention Plan in place as per legislated requirements?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The three criteria for a Harassment Prevention Plan are:</p> <ul style="list-style-type: none"> • Policy • Procedure • Training requirements <p>This is the total number.</p> <p>2. Review the relevant documentation to determine how many of the three criteria are in place. This is the number of positive indicators.</p> <p>3. Combining Violence and Harassment Prevention Plans into one plan is acceptable only if the combined plan meets the legislated and audit requirements for each separate plan.</p>	<p>Divide the number of found criteria by the total of 3 criteria.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Auditor discovers the company only has a Harassment Policy • No procedure or training requirements for employees have been identified <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 1 (positive indicator) by 3 (total number) = 0.33 2. Multiply 0.33 x 5 (available points) = 1.66 3. Assign 2 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must identify a specific example of one of the criteria met. 4. Must identify all missing criteria, if applicable. 	

6. Hazard Control

Question	6.11	Validation Method/Scoring	Documentation (0–5)
Have the Violence and Harassment plans been reviewed as per legislated requirements?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The three criteria for reviewing Violence and Harassment policies and procedures are:</p> <ul style="list-style-type: none"> • When an incident occurs related to violence and/or harassment • If the HSC or HS representative recommended a review • At least every three years <p>This is the total number.</p> <p>2. Review the relevant documentation to determine how many of the three criteria are in place. This is the number of positive indicators.</p> <p>3. The first criterion is a positive indicator if it is referenced in the policies and procedures, and no incidents occurred.</p> <p>4. The second criteria may be optional, if no review was recommended.</p>	<p>Divide the number of found criteria by the total of 3 criteria.</p> <p>For example, consider the following scenario.</p> <ul style="list-style-type: none"> • Neither criteria 1 nor 2 have occurred but are documented within their policy • Violence & Harassment policy and procedure is signed off as reviewed within 3 years prior to the start date of audit <p>In this case, award full points as all criteria have met requirements.</p>	<p>1. Must fully answer the question as presented.</p> <p>2. Must state the number of positive indicators and the total number.</p> <p>3. Must identify a specific example of one of the criteria met.</p> <p>4. Must identify all missing criteria, if applicable.</p>	

7. Inspections & Maintenance

Element 7 – Inspections & Maintenance

The formal inspection process is used to proactively identify new potential hazards, as well as confirm the performance of controls in place. Equipment that isn't working in optimal condition creates unsafe working conditions, which affects the safety of workers. Creating a successful preventive maintenance program will help improve equipment life and avoid downtime from unplanned maintenance activity.

Total points for this element: 105

Worksite Inspections			
Question	7.1	Validation Method/Scoring	Documentation (0, 5)
Is there a process that defines the formal inspection frequency for all areas of operations?			
Instructions	Scoring	Validation Note Criteria	
1. Review relevant documentation to determine how many of the company's areas of operations have a defined formal inspection frequency.	Award full points based on 100% positive indicators. Otherwise, score 0. Score 5 points if a system addressing the requirements is found. Score 0 points if the requirements are not met.	1. Must fully answer the question as presented. 2. Must justify the scoring of maximum or minimum points. 3. Must identify an area of operation that has a defined frequency. 4. Must identify all areas of operations not having a defined inspection frequency, if applicable.	

7. Inspections & Maintenance

Work Site Inspections			
Question	7.2	Validation Method/Scoring	Documentation (0-10)
Is there a process that defines the responsibilities for all employee levels in the formal inspection process?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine the number of employee levels. This is the total number. This should be consistent with question 1.2. 2. Review relevant documentation to determine the number of employee levels assigned responsibilities in the inspection process. This is the number of positive indicators. 	<p>Divide the number of employee levels with defined responsibilities by the total number of employee levels.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Company has 4 employee levels (senior manager, manager, supervisor and worker) • Only supervisor & worker responsibilities are noted <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 2 (positive indicator) by 4 (total levels) = 0.50 2. Multiply 0.50 by 10 (available points) = 5 3. Assign 5 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must state an example of a responsibility for one of the employee levels. 4. Must identify any employee levels without assigned responsibilities. 5. Must identify documents reviewed to determine employee levels. 	

7. Inspections & Maintenance

Question	7.3	Validation Method/Scoring	Documentation (0–5)
Are specific tools used to record formal inspections?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine how many areas of operations the company has. This is the total number. 2. Review relevant documentation to determine how many areas of operation have a specific tool to record formal inspections. This is the number of positive indicators. 	<p>Divide the number of work areas with an inspection tool by the total number of work areas.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Company has 1 office and 7 worksites (within set scope) • The company has 1 standard inspection form, that is used for all locations except the office • No other form and/or checklist was found for office inspections <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 7 (positive indicator) by 8 (total number) = 0.88 2. Multiply 0.88 by 5 (available points) = 4.4, round down to 4 3. Assign 4 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must include at least one example of a tool used to record formal inspections. 4. Must identify any areas of operations without a specific tool to record formal inspections. 	

7. Inspections & Maintenance

Question	7.4	Validation Method/Scoring	Documentation (0–10)
Are formal inspections completed following the specified frequency(s)?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine how many formal inspections the company plans to do according to the specified frequency in all areas of operations. This is the total number. 2. Review relevant documentation to determine how many formal inspections occurred according to the specified frequency in all areas of operations (identified in 7.1). This is the number of positive indicators. 3. Automatically score zero points if there are no specified frequencies. 	<p>Divide the number of inspection records that meet requirements by the number of inspections as required by the company policy.</p> <p>For example, consider the following scenario and calculation.</p> <p>Company policy outlines quarterly inspections for each location</p> <ul style="list-style-type: none"> • There are two locations (office and worksite) • Auditor discovered 6 completed work-site inspections records (2 office and 4 worksite) <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Multiply 2 (total work locations) x 4 (quarters in a year) = 8 (inspection records required) 2. Divide 6 (positive indicator) by 8 (total number) = 0.75 3. Multiply 0.75 x 10 (available points) = 7.5, round to 8 4. Assign 8 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must include an example of formal inspection records meeting the specified frequency. 4. Must identify any areas of operations where formal inspections do not occur according to their specified frequency, if applicable. 5. Must provide comment if zero points are automatically scored. 	

7. Inspections & Maintenance

Question	7.5	Validation Method/Scoring	Documentation (0, 10)
Is a system to correct deficiencies identified during formal inspections?			
Instructions	Scoring	Validation Note Criteria	
<p>1. Review relevant documentation to determine if there is a system to correct deficiencies that includes the following criteria:</p> <ul style="list-style-type: none"> • A method for identifying corrective actions • A requirement to assign responsibilities to individuals • Target and implementation dates 	<p>Award full points based on 100% positive indicators. Otherwise, score 0.</p> <p>Score 10 points if a system addressing the requirements is found.</p> <p>Score 0 points if the requirements are not met.</p>	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must identify all missing criteria, if applicable. 3. Must justify the scoring of maximum or minimum points. 	

7. Inspections & Maintenance

Question	7.6	Validation Method/Scoring	Observation (0–15)
Have deficiencies identified through formal inspections been corrected?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review formal inspection records to determine the number of deficiencies requiring corrective action and their locations. If required, select a sample of corrective actions. This is the total number. From the selected sample, determine through observation how many corrective actions were implemented. This is the number of positive indicators. If there were no deficiencies identified through formal inspections, mark this question as N/A and provide a comment in the validation notes. 	<p>Divide the number of corrective actions implemented by the total number sampled</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> There was a total of 25 corrective actions from inspection records The auditor sampled 14 corrective actions 9 corrective actions were observed as implemented. <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 9 (positive indicator) by 14 (total number) = 0.64 Multiply 0.64 x 15 (available points) = 9.64, rounded up to 10 Assign 10 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide an example of a corrected deficiency. Must provide an example of an uncorrected deficiency, if applicable. Must provide comment if N/A. 	

7. Inspections & Maintenance

Question	7.7	Validation Method/Scoring	Interview (0–10)
Do workers participate in the inspection process?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: worker</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable.

7. Inspections & Maintenance

Question	7.8	Validation Method/Scoring	Interview (0–10)
Do managers participate in the formal inspection process to observe OHS behaviours and conditions?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: manager</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

7. Inspections & Maintenance

Preventive Maintenance			
Question	7.9	Validation Method/Scoring	Documentation (0, 10)
Is there a preventive maintenance program?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The four criteria for this question are:</p> <ul style="list-style-type: none"> • Inventory or records of all items requiring preventive maintenance • Schedule of required preventive maintenance • Satisfies legislative requirements • Satisfies manufacturer's specifications <p>This is the total number.</p> <p>2. Review the relevant documentation to determine how many of the four criteria are in place. This is the number of positive indicators.</p>	<p>Award full points based on minimum of 70% positive indicator. Otherwise, score 0.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Auditor identified 3 of 4 criteria were met • Missing criteria that "satisfies legislative requirements" <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 3 (positive indicator) by 4 (total number) = 0.75 2. Multiply 0.75 by 100 (to determine percentage) = 75% 3. As 75% exceeds the minimum positive indicator, full points may be awarded 4. Assign 10 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must justify the scoring of maximum or minimum points. 4. Must identify all missing criteria, if applicable. 	

7. Inspections & Maintenance

Question	7.10	Validation Method/Scoring	Observation (0–10)
Is all equipment requiring preventive maintenance included within the preventive maintenance program?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Generate a list of all types of equipment in the preventive maintenance program, equipment inventory lists, or maintenance records for worksites that will be included in the observation tours. This is the total number. 2. Determine if the equipment within the preventive maintenance program is consistent with the equipment found on the worksite. This is the number of positive indicators. 	<p>Divide the number of types of equipment observed by the number of types of equipment included in the Preventive Maintenance program.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Auditor observes 9 different types of equipment that require preventive maintenance • Only 6 of the items that require preventive maintenance have been included in inventory <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 6 (positive indicator) by 9 (total number) = 0.67 2. Multiply 0.67 x 10 (available points) = 6.7, rounded up to 7 3. Assign 7 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example of a piece of equipment requiring preventive maintenance. 4. Must provide an example of at least one piece of equipment requiring preventive maintenance that is not in the preventive maintenance program, if applicable. 	

7. Inspections & Maintenance

Question	7.11	Validation Method/Scoring	Documentation (0-10)
Is the preventive maintenance program followed?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine how many equipment maintenance records exist. Select a sample from this documentation. This is the total number. 2. From the selected sample, review relevant documentation to determine how many equipment maintenance records show that equipment maintenance is following maintenance schedule requirements. This is the number of positive indicators. 3. Automatically score zero points if there is no preventive maintenance program. 	<p>Divide the total records from the sample that show compliance with the preventive maintenance program by the total number of records sampled.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Auditor identified 16 total maintenance records for trucks • 10 trucks were meeting the maintenance schedule requirements <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 10 (positive indicator) by 16 (total number) = 0.63 2. Multiply 0.63 x 10 (available points) = 6.3, round to 6 3. Assign 6 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example of a piece of equipment following the maintenance schedule requirements. 4. Must provide an example of at least one piece of equipment not following the maintenance schedule requirements, if applicable. 5. Must provide comment if zero points are automatically scored. 	

8. Emergency Response

Element 8 – Emergency Response

Prevention, mitigation, preparedness, response, and recovery are key components in an effective emergency response management system.

Emergency Response Plans (ERP) assist in preserving the safety and security of employees, visitors, and others in the surrounding areas in the event of an emergency or disaster. Training employees in Emergency Response will enable appropriate and efficient actions to take place to reduce further impact.

Reference to requirements related to Emergency Preparedness and Response located in OHS Code Part 7.

Points available in this element: 90

Question	8.1	Validation Method/Scoring	Documentation (0-5)
Does the Emergency Response Plan identify the potential emergency scenarios applicable to the company's operations and legislated requirements?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review relevant documentation to determine how many emergency scenarios may be applicable to the company's operations and legislated requirements. This is the total number. Determine how many emergency scenarios are in the Emergency Response Plan. This is the number of positive indicators. 	<p>Divide the number of emergency scenarios identified in the emergency response plan by the total number.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> Auditor identified 4 potential emergencies (fire, flood, chemical spills and motor vehicle) applicable to company's operations and based on documentation review Only fire, flood and motor vehicle emergencies have been identified in ERP <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 3 (positive indicator) by 4 (total number) = 0.75 Multiply 0.75 x 5 (available points) =3.75 Assign 4 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide an example of an identified scenario in the Emergency Response Plan. Must provide an example for at least one emergency scenario that should be in the Emergency Response Plan, if applicable. 	

8. Emergency Response

Question	8.2	Validation Method/Scoring	Observation (0-10)
Does the Emergency Response Plan (ERP) identify the potential emergency scenarios applicable to the company's operations and legislated requirements?			
Instructions	Scoring		Validation Note Criteria
<ol style="list-style-type: none"> 1. Prior to the observation tour, identify emergency scenarios in the company's ERP that are applicable to the work activities at the worksite. This is the total number. 2. Determine through observation if the ERP covers sufficient emergency scenarios for the worksite. This is the number of positive indicators. 3. Determine if any scenarios covered by legislation were missed. 	<p>Divide the total number of types of emergency scenarios observed by the number of potential emergencies identified in the Emergency Response Plan.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Auditor has determined through observations that 5 potential emergencies (fire, flood, chemical spills, motor vehicle and gas release) are applicable to company's operations • Only fire, flood and motor vehicle emergencies have been identified in ERP <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 3 (positive indicator) by 5 (total number) = 0.60 2. Multiply 0.60 by 10 (available points) = 6.00 3. Assign 6 points 		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example of a work activity observed in relation to one of the potential emergencies. 4. Must provide an example for at least one emergency scenario that is missing from the Emergency Response Plan, if applicable.

8. Emergency Response

Question	8.3	Validation Method/Scoring	Documentation (0–10)
Does the Emergency Response Plan include the required areas as per legislation?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The ten criteria for this question are:</p> <ul style="list-style-type: none"> • Identification of potential emergencies • Procedures for dealing with the identified emergencies • Identification, location and operating procedures for emergency equipment • Emergency response training requirements • Location and use of emergency facilities • Fire protection requirements • Alarm and emergency communication requirements • First aid services required • Procedures for rescue and evacuation • Designated rescue and evacuation of workers <p>This is the total number.</p> <p>2. Review the Emergency Response Plan to determine how many of the criteria are present. This is the number of positive indicators.</p>	<p>Divide the number of criteria met by a total of 10 criteria required.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Auditor determined all criteria outlined in company's ERP except emergency response training and fire protection requirements <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 8 (positive indicator) by 10 (total number) = 0.80 2. Multiply 0.80 by 10 (points available) = 8 3. Assign 8 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must identify a specific example of one of the criteria met. 4. Must identify all missing criteria, if applicable. 	

8. Emergency Response

Question	8.4	Validation Method/Scoring	Interview (0–10)
Are employee responsibilities communicated as established in the Emergency Response Plan?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

8. Emergency Response

Question	8.5	Validation Method/Scoring	Interview (0–10)
Are employees trained in their emergency response responsibilities?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

8. Emergency Response

Question	8.6	Validation Method/Scoring	Documentation (0–5)
Does the company have a policy or procedure to evaluate the performance of the Emergency Response Plan?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The three criteria for this question are:</p> <ul style="list-style-type: none"> • Testing at least annually • A means of identifying deficiencies • A means of correcting deficiencies <p>This is the total number.</p> <p>2. Review the relevant documentation to determine how many of the criteria are present. This is the number of positive indicators.</p>	<p>Divide the number of criteria met by a total of 3 criteria.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • The company has defined the annual testing requirements and the means for identifying deficiencies in policy • There was no indication of a means of correcting deficiencies through documentation review <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 2 (positive indicator) by 3 (total number) = 0.66 2. Multiply 0.66 x 5 (available points) = 3.3, rounded down to 3 3. Assign 3 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must identify a specific example of one of the criteria met. 4. Must identify all missing criteria, if applicable. 	

8. Emergency Response

Question	8.7	Validation Method/Scoring	Documentation (0–5)
Is the process and frequency for testing the ERP followed?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine the total number of times the company plans to test its ERP. This is the total number. 2. Review relevant documentation to determine the number of times the company tested the ERP. This is the number of positive indicators. 3. Automatically score zero points if there is no testing frequency established. 	<p>Divide the number of actual emergency drill response records by the number of drills required by the company policy.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • As per company policy, quarterly drills at each location are required • Two locations in set scope of audit • Auditor found 6 completed drills <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Multiply 4 (quarterly drills) x 2 (number of locations) = 8 (drills required) 2. Divide 6 (positive indicator) by 8 (total number) = 0.75 3. Multiply 0.75 x 5 (available points) = 3.75, rounded up to 4 4. Assign 4 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide a specific detail from an ERP test performed. 4. Must provide an example for at least one type of test that did not occur as scheduled, if applicable. 5. Must provide comment if zero points are automatically scored. 	

8. Emergency Response

Question	8.8	Validation Method/Scoring	Documentation (0–10)
Are the deficiencies identified in Emergency Response Plans corrected?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine the number of deficiencies identified related to the ERP. This is the total number. 2. Review relevant documentation to determine the number of corrected deficiencies. This is the number of positive indicators. 3. If there were no deficiencies identified, mark this question as N/A and provide a comment in the validation notes. 4. Automatically score zero points if no drills were conducted. 	<p>Divide the number of corrected deficiencies by the number of deficiencies identified.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Auditor identified 16 deficiencies from documentation review but only 8 were verified as corrected <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 8 (positive indicator) by 16 (total number) = 0.50 2. Multiply 0.50 x 10 (available points) = 5 3. Assign 5 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example of a deficiency that was corrected. 4. Must provide an example of a deficiency that did not get corrected, if applicable. 5. Must provide comment if N/A. 	

8. Emergency Response

Question	8.9	Validation Method/Scoring	Documentation (0–10)
Are the correct number of employees trained in first aid as required by occupational health and safety legislation?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine how many worksites the company has. This is the total number. 2. Review relevant occupational health and safety (OHS) legislation for first aid requirements for the worksites. 3. Review relevant documentation to determine how many worksites have the correct number and type of first aiders as required by legislation. This is the number of positive indicators. 	<p>Divide the total number of sites that meet legislated first aid training requirements by the total number of sites within set scope of audit.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • There are 10 sites within set scope of audit • Auditor determined that 9 sites met legislated requirements <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 9 (positive indicator) by 10 (total number) = 0.90 2. Multiply 0.90 x 10 (available points) = 9 3. Assign 9 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example of a situation where the company met the legislated requirements. 4. Must provide an example of at least one situation where the company did not meet legislated requirements, if applicable. 	

8. Emergency Response

Question	8.10	Validation Method/Scoring	Observation (0–15)
Are appropriate first aid equipment and supplies available in accordance with occupational health and safety legislation?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Determine how many worksites the company has. This is the total number. 2. Review relevant occupational health and safety (OHS) legislation for first aid equipment and supplies required for the worksites to be visited. 3. Determine through observations how many worksites have the appropriate first aid equipment and supplies required by legislation. This is the number of positive indicators. 	<p>Divide the total number of sites that meet legislated requirements by the total number of sites in set scope of audit.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • There are 10 sites within set scope of audit • 7 sites have met legislative requirements for first aid <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 7 (positive indicator) by 10 (total number) = 0.70 2. Multiply 0.70 x 15 (available points) = 10.5, rounded up to 11 3. Assign 11 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example of first aid equipment that met the legislated requirements. 4. Must provide details for at least one situation where the company did not meet the legislated requirements, if applicable. 	

9. Investigations

Element 9 – Investigations

The intent of Incident investigations is to determine the direct causes of an incident and recommend changes to the HSMS to prevent similar events.

Total points for this element: 85

Question	9.1	Validation Method/Scoring	Documentation (0,5)
Is there a reporting process for incidents, near misses, occupational illness, and work refusals?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> There are four criteria for this question. This is the total number. Review the relevant documentation to determine how many of the criteria are present. This is the number of positive indicators. <p>Note: This includes both internal and external reporting where required (e.g., OHS, WCB, etc.).</p>	<p>Award full points based on minimum of 70% positive indicator. Otherwise, score 0.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> With documentation review, auditor discovered all criteria met except there is no reporting process for occupational illness and work refusal <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 2 (positive indicator) by 4 (total number) = 0.50 0.50×100 (to determine percentage) = 50% As 50% percent is below the 70% positive indicator, points may not be awarded Assign 0 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must justify the scoring of maximum or minimum points. Must identify all missing criteria, if applicable. 	

9. Investigations

Question	9.2	Validation Method/Scoring	Interview (0–10)
Are employees aware of the reporting procedures for incidents (including near miss), occupational illness, and work refusals?			
Instructions	Scoring	Validation Note Criteria	
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>	<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable. 	

9. Investigations

Question	9.3	Validation Method/Scoring	Interview (0–10)
Are incidents (including near misses), occupational illness, and work refusals reported?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: worker, supervisor</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

9. Investigations

Question	9.4	Validation Method/Scoring	Documentation (0–10)
Is there an investigation procedure?			
Instructions	Scoring	Validation Note Criteria	
<p>1. The five criteria for this question are:</p> <ul style="list-style-type: none"> • The purpose of investigating incidents • An outline of the types of incidents requiring investigation, including near misses, occupational illness, and work refusals • Identification of underlying/basic cause • Corrective actions • Senior management, management, and supervisor responsibilities <p>This is the total number.</p> <p>2. Review relevant documentation to determine how many of the five criteria are present. This is the number of positive indicators.</p>	<p>Divide the number of criteria met by the total of 5 criteria.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Auditor identified all criteria is met except for the identification of underlying/basic cause <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 4 (positive indicator) by 5 (total number) = 0.80 2. Multiply 0.80 by 10 (available points) = 8 3. Assign 8 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must identify a specific example of one of the criteria met. 4. Must identify all missing criteria, if applicable. 	

9. Investigations

Question	9.5	Validation Method/Scoring	Interview (0–10)
Do employees participate in the investigation process?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

9. Investigations

Question	9.6	Validation Method/Scoring	Documentation (0–5)
Are the investigation reports completed according to company policy and procedures?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine how many investigation reports are present. Select a sample from the documentation. This is the total number. 2. From the selected sample, determine how many of the investigation reports meet the following criteria: <ul style="list-style-type: none"> • Involvement of senior managers, managers, and supervisors as required • Identification of underlying/basic cause • Development of corrective actions • Timeliness of completion <p>The number of reports that meet all the criteria is the number of positive indicators.</p> 3. If there have been no investigations in the last twelve months, score the question based on whether the four criteria mentioned above are in the investigation policy and procedures. 	<p>Divide the number of investigation reports that meet all the criteria by the total number of investigation reports.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • The company has 18 investigation reports within the audit period • The auditor samples 9 investigation reports • 7 of the sampled investigation reports have each met all 4 criteria <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 7 (positive indicator) by 9 (total number) = 0.78 2. Multiply 0.78 x 5 (available points) = 3.9, rounded up to 4 3. Assign 4 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must identify a specific detail from the reports to support one of the criteria found. 4. Must identify all missing criteria, if applicable. 	

9. Investigations

Question	9.7	Validation Method/Scoring	Documentation (0–10)
Are the recommended corrective actions implemented?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine how many corrective actions resulted from investigations. This is the total number. 2. Review relevant documentation to determine the number of corrective actions implemented by the company. This is the number of positive indicators. 3. If there were no investigations, mark this question as N/A and provide a comment in the validation notes. 	<p>Divide the number of corrective actions that have been implemented by the total number of corrective actions resulting from investigations.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Auditor identified 10 corrective actions from all investigations reviewed for audit period • Auditor confirmed through documentation review the implementation of 8 corrective actions <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 8 (positive indicator) by 10 (total number) = 0.8 2. Multiply 0.8 x 10 (available points) = 8.0 3. Assign 8 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example of a corrective action implemented. 4. Must provide an example of at least one corrective action the company did not implement, if applicable. 5. Must provide comment if N/A. 	

9. Investigations

Question	9.8	Validation Method/Scoring	Observation (0–15)
Are the recommended corrective actions implemented?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Review relevant documentation to determine how many corrective actions are in the company's investigation reports. This is the total number. Determine through observations the number of corrective actions implemented by the company. This is the number of positive indicators. If there were no investigations in the last twelve months, mark this question as N/A and provide a comment in the validation notes. 	<p>Divide the number of implemented corrective actions confirmed through observation by the total number of corrective actions resulting from investigations.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> Auditor identified 10 corrective actions from all investigations reviewed for audit period Only 8 of the corrective actions were observable at the time of the audit Auditor observed 6 of the corrective actions as implemented <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> Divide 6 (positive indicator) by 8 (total number) = 0.75 0.75 x 15 (total available points) = 11.25, round to 11 Assign 11 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide an example of an implemented corrective action observed. Must provide an example of at least one corrective action the company did not implement, if applicable. Must provide comment if N/A. 	

9. Investigations

Question	9.9	Validation Method/Scoring	Interview (0–10)
Are the results of investigations communicated?			
Instructions	Scoring		Validation Note Criteria
<p>Employee levels to interview: worker, supervisor, manager</p> <ol style="list-style-type: none"> 1. Determine interviewees, ensuring a representative sample is included. 2. Ask the interview question, which can be found in the Interview Checklist. 3. Record positive or negative responses of interviewees. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>		<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Details of a positive response from the interviewee, or 3. Details of a negative response, if applicable.

10. Program Administration

Element 10 – Program Administration

Evaluating the current state of the HSMS allows for opportunities to make improvements. The focus for this element is continuous improvement.

Total points available for this element: 65

Question	10.1	Validation Method/Scoring	Observation (0–15)
Is health and safety information readily available to employees?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> Identify all relevant information needed to complete observations. Determine the number and type of areas for observations. This is the total number. Observe worksites to verify applicable health and safety documentation is readily available to employees, either in paper form or stored electronically. This is the number of positive indicators. 	<p>Divide the number of sites confirmed to have readily available health and safety documentation by the number of total worksites included in the observation tour.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> Company has 4 sites where other parties may be present Auditor confirmed through observations that 2 of those sites have applicable health and safety documentation readily available <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> The auditor would divide 2 (positive indicator) by 4 (total number) = 0.50 Multiply 0.50 x 15 (available points) = 7.5, rounded up to 8 Assign 8 points 	<ol style="list-style-type: none"> Must fully answer the question as presented. Must state the number of positive indicators and the total number. Must provide an example where health and safety information is readily available Must provide an example where health and safety information is not readily available, if applicable. 	

10. Program Administration

Question	10.2	Validation Method/Scoring	Documentation (0, 10)
Does the company analyze health and safety records/statistics to identify potential trends on an annual basis?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation for compiling records and statistics for a representative twelve-month period. This is the total number. 2. Review relevant documentation to determine how many records and statistics the company compiled in a representative twelve-month period. This is the number of positive indicators. 3. Score this question using the relevant policy/procedure if the company does not have twelve months of records and statistics. 	<p>Award full points based on minimum of 70% positive indicator. Otherwise, score 0.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • Company policy lists a monthly requirement to compile records and statistics • The company only maintained 8 months of statistics within the last 12 months <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 8 (positive indicator) by 12 (total number) = 0.67 2. Multiply 0.67 x 100 (to determine percentage) = 67% 3. As 67 % is lower than the minimum 70% positive indicator, points may not be awarded 4. Assign 0 points <p>A policy outlining a minimum frequency of annual review may support scoring if the company does not have 12 months of records. Records/statistics for the time period audited are required at a minimum of 70% indicator to award points.</p>	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example of one type of records or statistic the company compiles as per policy/procedure. 4. Must provide details for at least one type of record or statistic the company does not compile as per policy/procedure, if applicable. 	

10. Program Administration

Question	10.3	Validation Method/Scoring	Documentation (0, 10)
Does the company have a system in place that requires an annual HSMS evaluation or action plan to support continuous improvement?			
Instructions	Scoring	Validation Note Criteria	
1. Review relevant documentation to determine if the company has a system in place requiring an annual evaluation of the HSMS or action plan.	<p>Award full points based on 100% positive indicators. Otherwise, score 0.</p> <p>Score 10 points if a process that meets requirements is in place.</p> <p>Score 0 points if requirements are not met.</p>	1. Must fully answer the question as presented. 2. Must justify the scoring of maximum or minimum points.	

10. Program Administration

Question	10.4	Validation Method/Scoring	Interview (0–10)
Have the results of a previous COR (or SECOR) audit been communicated to employees?			
Instructions	Scoring	Validation Note Criteria	
<p>Employee levels to interview: all levels</p> <ol style="list-style-type: none"> Determine interviewees, ensuring a representative sample is included. Ask the interview question, which can be found in the Interview Checklist. Record positive or negative responses of interviewees. If there was no COR/SECOR audit, COR maintenance option, or new COR/SECOR certification the previous year, mark this question as N/A and provide a comment in the validation notes. 	<p>Scoring results for interview questions are determined from positive/negative responses entered in the interview tab of the audit application.</p> <p>This will auto populate into a percentage for each interview question.</p>	<ol style="list-style-type: none"> Must fully answer the question as presented. Details of a positive response from the interviewee, or Details of a negative response, if applicable. Must provide comment if N/A. 	

10. Program Administration

Question	10.5	Validation Method/Scoring	Documentation (0, 10)
Was an action plan developed to address the previous COR (or SECOR) audit findings?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation to determine if the company developed an action plan to address the previous COR/SECOR audit findings including measurable actions items, target and completion dates, and individual responsibilities for follow-up. 2. If there was no COR/SECOR audit or COR maintenance option the previous year, mark as N/A and provide a comment in the validation notes. 	<p>Award full points based on minimum 100% positive indicators. Otherwise, score 0.</p> <p>Score 10 points if an action plan is developed to address previous COR (or SECOR) audit findings. Auditor does not award points if no action plan is developed.</p>	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must justify the scoring of maximum or minimum points. 3. Must provide comment if N/A. 	

10. Program Administration

Question	10.6	Validation Method/Scoring	Documentation (0–10)
Was the action plan implemented?			
Instructions	Scoring	Validation Note Criteria	
<ol style="list-style-type: none"> 1. Review relevant documentation and determine how many action items were in the action plan. This is the total number. 2. Review relevant documentation and determine how many action items the company completed. This is the number of positive indicators. 3. If there was no COR/SECOR audit or COR maintenance option the previous year, mark as N/A and provide a comment in the validation notes. 	<p>Divide the number of action items that were completed by the total number of action items that were in the sample.</p> <p>For example, consider the following scenario and calculation.</p> <ul style="list-style-type: none"> • There were 12 action items in total on action plan • The auditor sampled 9 action items • 7 action items were verified as completed <p>In this case, the calculation would be as follows.</p> <ol style="list-style-type: none"> 1. Divide 7 (positive indicator) by 9 (total number) = 0.78 2. Multiply 0.78 x 10 (available points) = 7.8 rounded up to 8 3. Assign 8 points 	<ol style="list-style-type: none"> 1. Must fully answer the question as presented. 2. Must state the number of positive indicators and the total number. 3. Must provide an example of an action item the company implemented. 4. Must provide details for at least one action item the company did not implement, if applicable. 5. Must provide comment if N/A. 	