ACSA COR Audit Tool

Acknowledgements

The Alberta Construction Safety Association (ACSA) extends its sincere appreciation to all those individuals from industry who took part in the development of this audit tool.

ACSA

The ACSA is an association fully funded by its member companies in the construction industry. The association's goal is to assist its member companies in safety-related matters.

Disclaimer

The information presented in this publication is intended for general use and may not apply to every circumstance. It is not a definitive guide to government regulations and does not relieve persons using this publication from their responsibilities under applicable legislation. The ACSA does not guarantee the accuracy of, nor assume liability for, the information presented here. Counseling and advice on construction safety and training issues are available on request.

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Introduction

The Alberta Construction Safety Association COR Audit Tool is designed for use in auditing health and safety systems. Audits are a proactive way to find system strengths and opportunities for continual improvement.

Who Performs the Audit?

A Health and Safety Audit can be done by employees certified in auditing or by external, certified auditors. An external, independent audit is required for achieving an ACSA Certificate of Recognition (COR).

Maintaining Confidentiality

Auditors must ensure that all confidential information obtained through the audit process is treated as confidential and is not disclosed to any other person or organization, other than to the employer and the ACSA, except where the auditor is authorized or otherwise legally obligated to disclose the confidential information.

Refer to the ACSA Auditor Code of Ethics and Conflicts of Interest statement and auditor training materials for further details about auditor responsibilities.

Steps for Completing an Audit

1.	Pre-Audit Preparation	Communicate with the employer to determine the audit scope, timing, and representative sampling requirements.
2.	Pre-Audit Meeting	Meet with employer to establish expectations. Give a brief overview of the audit process.
3.	Site Familiarization	Complete a brief escorted tour or discussion to become familiar with the work site(s) and any areas where special caution is required.
4.	Documentation Review	Determine if the employer has the required processes, policies, and procedures in place, and if adequate records are being kept. Use the COR Audit Document List to communicate required documents to the audited employer.
5.	Interviews	Meet with staff to verify the audited documents. Conduct the interviews that you have pre-determined using representative sampling requirements. The COR Audit Interview Questions provide a format to record the interview results.
6.	Observations	Observe and verify specific conditions at a work site. The COR Audit Observation Checklist provides a format for verifying findings from your documentation review and interview results.
7.	Post-Audit Meeting	Review the audit process, present strengths and suggestions for improvement, and answer any questions. Ensure the auditor and employer representative sign the Audit Summary Sheet. Inform attendees that a final report, once approved through the Quality Assurance process, will be forwarded to the employer.
8.	Writing the Report	Once data gathering activities have concluded, you will prepare a final report that the organization can use for improving its health and safety management system. **The completed audit report must be submitted to the ACSA within 21 days of the last day of on-site audit activities.**
9.	Quality Assurance	Once the audit is submitted, the ACSA will confirm that all standards listed in the ACSA Quality Assurance Document have been met. The employer will receive a copy of the audit report after the audit successfully passes the quality assurance review by the ACSA.

Audit Start Date

The Start Date of an audit is the first day the auditor begins to gather data. This includes receiving company documents via mail, email, or by hand prior to visiting the company office or worksites.

Audit Completion Date

The Audit Completion Date is the last day the auditor gathers data. The audit Completion Date must be within 45 days of the Audit Start Date.

Audit Submission Deadline

The auditor must submit the completed audit within 21 days of the Audit Completion Date.

45 Days
Steps 1-6

+

21 Days
Steps 7-9

=

66 Days
Audit Timeline

Quality Assurance Amendments

The auditor should return amendments no later than 15 days from the issue date. The maximum amount of time allowed for amendments is 30 days.

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.

How to Score Audit Questions

Validation Techniques: Evaluate each audit question using the validation method outlined within the audit instruction for each question. (i.e., documentation review, interviews, and observations)

Types of Scoring	
All-or-Nothing (A/N) Scoring	• Either 0 or full marks are awarded if positive indicators meet 70%, or other specified percentage • Indicated by a comma between the zero and the possible score, such as (0,5)
Range Scoring	• Award points within an allowable range of scores based on the percentage of positive indicators • Indicated by a dash between the lowest and highest positive scores, such as (0–20)
Cascading Questions	• The score is linked to a score on an earlier related question • The question and scoring instructions will show this
Not Applicable (N/A)	• May be used in certain cases as shown in the questions scoring instructions • If the auditor scores a question as "n/a," the points for that question are deducted from the total points possible for the element and for the audit • Justify any N/A within each question's validation note

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 be rounded down to 6, and 5.67 would be rounded up to 6.

Audit Score (COR Program)

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 Notes

All audit questions must be justified through validation notes that:

• answer the audit question,
• justify the points awarded,
• identify the verification technique used,
• be professional in style and content, and
• give at least one company-specific example.

1. Management Commitment

The 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: 80

Question	1.1	Validation Method/Scoring	Documentation (0–10)

Does the company have a written health and safety policy that contains:
1. a reference to the company's goals, aims, responsibilities for and/or commitment to health and safety?
2. a reference to addressing the protection and maintenance of the health and safety (including physical, psychological, and social well-being) of employees?
3. a reference to the health and safety responsibilities of managers, supervisors, workers and contractors?
4. the requirement to comply with government legislation?
5. the signature of the current most senior manager for the business units being audited?

Instructions	Scoring	Validation Note
Review the company's written health and safety policy for the specified criteria as listed in the question.	Divide the number of found criteria by the total of 5 criteria. For example, if all the criteria are met except the signature of the senior manager: divide 4/5 = .80 x 10 (available points) = assign 8 points. Note: for criterion 2 and 3, all requirements must be met, no partial points can be awarded.	The note must include: • How many of the 5 criteria were met. • Any criteria not found. • An example of a specific detail from the policy (e.g., the date signed) to support one of the criteria identified.

Question	1.2	Validation Method/Scoring	Documentation (0–10)

Have health and safety responsibilities been written for each applicable employee level within the company (senior management, management, supervisors, and workers)?

Instructions	Scoring	Validation Note
Review policies and procedures to determine that all employee levels have their specific health and safety responsibilities developed. These documented responsibilities must be described separately and in addition to the health and safety policy.	Divide the number of levels having specific health and safety responsibilities documented by the total applicable levels. For example, if the company has 4 applicable levels and 3 of them have their health and safety responsibilities outlined in the written system, divide 3 by 4 = 0.75 x 10 (available points) = 8 points assigned	The note must include: • The number of levels applicable to the company. • The number of levels that have specific responsibilities developed. • Any levels that did not have responsibilities developed. • Include at least one example of a health and safety responsibility for any applicable level (if identified).

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
Interview employees at all levels to determine if they are aware of and understand, in general terms, the policy's content.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor interviewed 2 senior managers, 3 managers, 2 supervisors, and 13 workers, and the results were 15 positive and 5 negative responses, the auditor would divide 15/20, multiply 0.75 x 5 (available points) = 3.75 = 4 points assigned.	The note must include: • The number of interviewees that verified the policy was communicated. • An example noted from the policy by employees or, • An example of a negative comment if applicable.

Question	1.4	Validation Method/Scoring	Interview (0–5)

Does senior management demonstrate commitment to occupational health and safety?

Instructions	Scoring	Validation Note
Interview managers, supervisors and workers to verify how senior management demonstrates their commitment to health and safety (e.g., site tours, participate in inspections or committees, using hazard controls, etc.).	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor's interview sample includes 10 managers, and 10 supervisors, and 15 answered the question positively, divide 15/20 = 0.75 x 5 (available points) =3.75 = 4 points assigned.	The note must include: • The number of interviewees that verified management's commitment to health and safety. • An example of a way management demonstrates this.

1. Management Commitment

Question	1.5 a, b, c)	Validation Method/Scoring	Interview (0–5) for each of a, b, and c

Do employees understand their:
a) Individual OHS rights? (0–5)
b) Company assigned health and safety responsibilities? (0–5)
c) Legislated health and safety responsibilities? (0–5)

Instructions	Scoring	Validation Note
Interview employees at all levels to determine if they are aware of and understand the following: • three OHS rights (right to know, right to participate, right to refuse dangerous work) • company specific health and safety responsibilities (e.g., report incidents, follow safe work procedures, participate in inspections, take required training, etc.) • applicable legislation for their work	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor interviewed 1 senior manager, 2 managers, 2 supervisors and 5 workers, and the results were 8 positive and 2 negative responses, the auditor would divide 8/10, multiply 0.8 x 5 (available points) = 4 points.	The note must include: • The number of interviewees that verified awareness of their rights, company responsibilities, and legislated responsibilities. • An example of a responsibility associated with an employee level, or • An example of a negative comment if applicable.

Question	1.6	Validation Method/Scoring	Interview (0–5)

Do managers and supervisors understand their responsibility for the health and safety of the workers under their supervision?

Instructions	Scoring	Validation Note
Interview supervisory personnel to determine if they understand their responsibility for the protection and safety of workers. Note: Supervisory personnel may include managers under the multi-role function where the company has no designated supervisor positions.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor's interview sample includes 10 managers, and 10 supervisors, and 15 answered the question positively, divide 15 by 20 = 0.75 x 5 (available points) = 3.75 = 4 points assigned.	The note must include: • The number of interviewees that verified awareness of their responsibilities. • An example of a responsibility associated with an employee level, or • Verification that supervisory personnel have or do not have an understanding that they are responsible for the protection/safety of workers.

1. Management Commitment

Question	1.7	Validation Method/Scoring	Interview (0–5)

Does senior management/ management communicate OHS topics to employees?

Instructions	Scoring	Validation Note
Interview workers to determine how senior management/management communicates health and safety topics. (e.g., safety meetings, participate in committees, bulletins/ company newsletters, etc.).	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the interview sample includes 52 workers, and 46 responded positively by providing examples of how management demonstrates commitment, divide 46/52, 0.88 x 5 (available points) = 4.4 = 4 points assigned.	The note must include: • The number of interviewees that verified senior management/management communicates on OHS topics. • An example of how senior managers/managers communicate health and safety.

Question	1.8 a)	Validation Method/Scoring	Interview (0–5)

Does the employer provide resources needed to support effective management of occupational health and safety hazards?

Instructions	Scoring	Validation Note
Interview senior managers and managers to determine if there is a basic awareness of how health and safety resources are allocated. Interview supervisors and workers to determine if they believe the health and safety resources provided are sufficient for their work. (e.g., paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.). Examples may include: • Safety budget • Allocation of health and safety personnel • Allocation of health and safety training costs • Dedicated OHS professional • Other health and safety initiatives	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor interviewed 1 senior manager, 2 managers, 2 supervisors and 5 workers, and the results were 8 positive and 2 negative responses, the auditor would divide 8/10 = 0.8 x 5 (available points) = 4 points assigned.	The note must include: • The number of interviewees that verified appropriate resource allocation. • An example of how resources are or are not allocated adequately.

Question	1.8 b)	Validation Method/Scoring	Observation (0–10)

Does the employer provide resources needed to support effective management of occupational health and safety hazards?

Instructions	Scoring	Validation Note
Observe work areas to confirm appropriate health and safety resources are available as identified from the interviews. • Materials (e.g., Safety manual, inspection checklists, SDS, etc.) • Safety representatives (Includes health and safety committee members)	Points are awarded based on the percentage of work sites that have appropriate resources available. Divide the number of worksites included in the observation tour, by the number of observed worksites with appropriate resources. For example, if the auditor sample includes 5 sites, and 3 have sufficient resources, divide 3/5 = 0.60 x 10 (available points) =6 points assigned.	The note must include: • The number of sites sampled. • The number of sites sampled that verified sufficient resources were available. • An example of a resource made available or not available.

Question	1.9	Validation Method/Scoring	Observation (0–10)

Does the company provide access to current, applicable health and safety legislation?

Instructions	Scoring	Validation Note
Consider the types of health and safety legislation applicable to the company's operations and determine the availability of these documents to employees. Examples include: • Provincial OHS Act, Regulation, and Code • Federal Legislation (e.g., Canada Labour Code, Part ll) if applicable • Transport Safety Codes (e.g., TDG, National Safety Code) • Environmental regulations Delivery of this information to employees may vary (e.g., paper copy, electronic delivery, etc.)	Divide the total number of sites sampled, by the total number of sites that meet legislated requirements. For example, if the company has 10 sites, and 9 have access to current, applicable legislation, divide 9/10, 0.9 x 10 (available points) = 9 points assigned. Note: access to the current legislation strictly online is not acceptable, however a downloaded pdf version is. Employees must have access to the current legislation in the failure of internet connection.	The note must include: • The number of sites sampled. • The number of sites sampled that verified sufficient resources were available. • A brief description of how access is or is not provided to one or more of these types of legislation.

2. Public, Visitors, and Contracted Employers

This element addresses the health and safety of other employers, self-employed persons, visitors, and external worksite parties that are present, or affected by the employer's work activities. These affected worksite parties must be included and evaluated with the audited employer's health and safety management system.

Total points for this Element: 70

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
Review the company's written health and safety policies or procedures for the specified criteria as listed in the question. This includes other employers, self-employed persons, visitors, and external worksite parties affected by the employer's work activities.	Score 5 points if a policy addressing the requirements is found. Score 0 points if requirements are not met. For example, if the company has a policy that addresses the protection of people not under the employer's direction, assign 5 points.	The note must include: • The score awarded. • An example of a specific detail from the policy addressing the protection of others at the worksite; or • Justify the 0 points assigned.

Question	2.2	Validation Method/Scoring	Interview (0–10)

Is the health and safety policy communicated to contracted employers and self-employed persons?

Instructions	Scoring	Validation Note
Interview managers and supervisors responsible for hiring contracted employers and self-employed persons to determine if they ensure the health and safety policy is communicated to affected people.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the interview sample included 5 total managers and supervisors, and all 5 responded positively, score 10 points.	The note must include: • The number of interviewees that verified the policy is communicated. • An example of how the policy is communicated by employees or, • An example of a negative comment if applicable.

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2. Public, Visitors, and Contracted Employers

Question	2.3	Validation Method/Scoring	Documentation (0–5)

Is a process in place to evaluate, select, monitor, and address non-compliance of contracted employers and self-employed persons?

Instructions	Scoring	Validation Note
Review documentation to determine if there is a process in place to select, monitor and address non-compliance of contracted employers and/or self-employed persons under the direction of the contracting employer. Determine if the company has included the following items within their process: 1. evaluate, 2. select, 3. monitor, 4. address non-compliance. Examples include: • Pre-qualifications • Contractor evaluations • Project meetings • Site inspections • Contractor management policy	Divide the number of criteria found by the total of 4 criteria. For example, if all the criteria are met except for monitoring, divide 3 by 4, multiply 0.75 x 5 (available points) = 3.75 = 4 points assigned.	The note must include: • How many of the 4 criteria were met. • Any criteria not found. • An example of a specific detail from the system (e.g., policy or procedure) to support one of the criteria identified.

Question	2.4	Validation Method/Scoring	Interview (0–10)

Is a process in place for monitoring contracted employers and self-employed persons?

Instructions	Scoring	Validation Note
Interview managers and supervisors to determine if there is a process in place to monitor the health and safety performance and correct deficiencies for contracted employers and self-employed persons.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor's interview sample includes 10 managers, and 10 supervisors, and 15 answered the question positively, divide 15/20 = 0.75, and multiply 0.75 by 10 (available points), and assign 8 points.	The note must include: • The number of interviewees that verified a monitoring process for other persons on site. • An example of the system the company uses. • An example of a negative comment if applicable.

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2. Public, Visitors, and Contracted Employers

Question	2.5 a, b, c)	Validation Method/Scoring	Interview (0–5) for each of a, b, and c

Does the employer communicate with external work site parties regarding:
a) work site hazards and controls   (0–5)
b) their health and safety responsibilities while on site?   (0–5)
c) changes to the site?   (0–5)

Instructions	Scoring	Validation Note
Interview managers and supervisors to verify the process in use and provide examples of how external work site parties are made aware of their health and safety responsibilities, work site hazards and controls, and any changes that may affect their health and safety. Note: Work site parties may include other employers and/or self-employed persons, suppliers, prime contractors, etc. conducting activities at a work site or receiving products.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the interview sample included 15 total managers and supervisors, and 5 responded positively, divide 5/15, and multiply 0.33 by 5 (available points), and assign 2 points.	The notes must include: • The number of interviewees that verified the criteria is communicated. • An example of how the criteria is communicated; or • An example of a negative comment if applicable.

Question	2.6 a, b)	Validation Method/Scoring	Documentation (0,5) for each of a and b

Does the company provide health and safety orientations to:
a) visitors?   (0,5)
b) contractors and self-employed persons?   (0,5)

Instructions	Scoring	Validation Note
Review orientation records to confirm they are provided to contracted employers and/or self-employed persons, and visitors (e.g., visitor logs, contractor sign off, etc.)	Score 5 points if the auditor confirms orientations are provided to visitors (a), and contracted employers (b). Otherwise, assign 0 points respectively for each (a) and (b) for missing orientations. If the audited employer does not use other employers and/or self-employed persons, part b of this question may be marked not applicable (n/a). For example, if the auditor confirms an orientation is provided to visitors, but not for the contracted employers on site, the auditor would score 5 points for a) and 0 points for b).	The note must include: • An example of the orientation process for visitors. • An example of the orientation process for other employers; or • Justify the 0 points assigned. If n/a is applied, note must include rationale.

Question	2.7	Validation Method/Scoring	Observation (0–15)

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2. Public, Visitors, and Contracted Employers

Is health and safety information readily available to affected external work site parties as per legislated requirements?		
Instructions	**Scoring**	**Validation Note**
Observe worksites to verify that health and safety information such as hazard assessments, inspections, and procedures are readily available to affected work site parties.	Divide the total number of worksites with other parties present, by the number of sites confirmed to have accessible documentation to other worksite parties. For example, if the company has 4 sites where other parties may be present, and only 2 sites confirmed accessibility, the auditor would divide 2 by 4, multiply 0.5 x 15 (available points) = 7.5 = assign 8 points. Auditor may apply n/a if other employers and/or self-employed persons are not typically present on company work sites.	The note must include: • Number of worksites sampled. • Number of worksites where the health and safety documents were accessible to affected parties. • An example of how these documents were or were not confirmed as accessible onsite. If n/a is applied, note must include rationale.

Health and Safety Committees are a key element of the internal responsibility system. They bring work site parties together to collaborate on topics such as hazard identification and control, investigation of health and safety incidents, and responding to reports 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 entire element. As identified in the Alberta Occupational Health and safety Legislation

Total points for this Element: 70

Question	3.1	Validation Method/Scoring	Documentation (0–5)
Is there an established system for the health and safety committee to follow?			

Instructions	Scoring	Validation Note
Determine if the company has included the following items within their process, as per legislated requirements. 1. terms of reference, 2. policy or procedure, 3. duties.	Divide the number of criteria found by the total of 3 criteria. For example, if all the criteria are met except for the definition of the duties, divide 2 by 3, multiply 0.67 by 5 (available points) = 3.35 = 3 points. If the employer is only required to have a HS representative(s), this question may be marked as n/a.	The note must include: • How many of the 3 criteria were met. • Any criteria not found. • A specific detail from the system (e.g., policy or procedure) to support one of the criteria identified. If n/a is applied, note must include rationale.

Question	3.2	Validation Method/Scoring	Documentation (0–5)
Does a policy or procedure include all legislated requirements for an HS Representative?			

Instructions	Scoring	Validation Note
Determine if the company has included the following items within their process, as per legislated requirements. 1. duties of the HS representative(s), 2. requirement to appoint a representative(s), 3. reporting to management, 4. term of office, 5. training requirements.	Divide the number of criteria found by the total of 5 criteria. For example, if all the criteria is met except for the reference of the terms of office (4/5), assign a score of 4 points. If the employer is only required to have a HSC (or committees), this question may be marked as n/a.	The note must include: • How many of the 5 criteria were met. • Any criteria not found. • A specific detail from the policy or procedure to support one of the criteria identified. If n/a is applied, note must include rationale.

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

Question	3.3	Validation Method/Scoring	Documentation (0–10)

Have the appropriate committees and representative(s) been established as per required legislation?

Instructions	Scoring	Validation Note
If applicable, review the terms of reference to determine if there is an established HSC as required for work site(s). If applicable, review the HS representative policy or procedure to determine if there is a HS representative(s) as required for work site(s). Review a sample of HSC meeting minutes or related documents (HS Rep.) to determine if they are in place as required.	Divide the expected number of separate worksite committees/work site representatives, by the number of HSC or work site representatives established. For example, if the company records indicate there are 3 HSC established, yet there should be 4 HSC total, divide 3/4 = 0.75 x 10 (available points) = 7.5 = 8 points assigned.	The note must include: • The number of expected worksite committees/ individual worksite health and safety representatives. • The number of worksite committees/ individual worksite health and safety representatives documented. • An example of the established committee or HS rep confirmed or not confirmed.

Question	3.4	Validation Method/Scoring	Documentation (0–5)

Are the HSC members and/or HS representative(s) trained as required?

Instructions	Scoring	Validation Note
Review training records for committee members and/or the HS Representative(s). Determine if legislated requirements are met.	Divide the total number of HSC members and HS representatives that have the required training, by the total number of HSC members and HS representatives. For example, if there are 10 members, and eight have the required training, divide 8/10 = 0.80 x 5 = 4 points assigned.	The note must include: • The number of HSC members and HS representatives. • The number of HSC members and HS representatives that have the required training. • An example of the assigned training, and records available or not available for review.

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

Question	3.5	Validation Method/Scoring	Interview (0–10)

Do the HSC members and/or HS representative(s) understand their duties and responsibilities?

Instructions	Scoring	Validation Note
Interviewees must be able to describe their general duties and responsibilities. (e.g. participation in hazard identification, investigations, inspections, development and promotion of hazard controls, handling health and safety concerns, etc.)	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the interview sample includes 10 HSC members and/or HS representatives, and 8 of them responded positively to understanding their duties and responsibilities. Divide 8/10 = 0.80 x 10 (available points) = 8 points assigned.	The note must include: • The number of interviewees that verified awareness of their responsibilities. • An example of a responsibility or general duty stated.

Question	3.6	Validation Method/Scoring	Interview (0–10)

Is a system in place for the HSC and/or HS representative(s) to address and provide recommendations for employee concerns related to the health and safety system?

Instructions	Scoring	Validation Note
Interview HSC and/or HS representative(s) to verify if they are able to explain how they address and provide recommendations for health and safety concerns and complaints.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the interview sample includes 16 HSC members and or/ HS Representatives, and 12 responded positively by explaining how they address and provide recommendations for health and safety concerns, divide 12/16 = 0.75 x 10 (available points) = 7.5 = 8 points assigned.	The note must include: • The number of interviewees that verified awareness of the process. • An example of how concerns are addressed, and recommendations are made.

Question	3.7	Validation Method/Scoring	Documentation (0–5)

Are the appropriate health and safety activities conducted as per the HSC terms of reference and/or HS Representative system?

Instructions	Scoring	Validation Note
Review a sample of HSC or HS Representative records, or both, to confirm the following elements of the system are followed as per the established system, and legislated requirements. 1. meetings, 2. inspections, 3. investigations, 4. hazard identification, and 5. response to concerns/complaints in a timely manner.	Divide the number of criteria found by the 5 total criteria. For example, if all the criteria are met except for inspection records, divide 4 by 5, 0.80 x 5 (available points) = 4 points assigned.	The note must include: • How many of the 5 criteria were met. • Any criteria not found. • A specific detail from the policy (e.g., the number of investigations) to support one of the criteria identified.

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
Interview employees at all levels to verify their awareness of the health and safety committee or HS representative meetings and activities, or both. Delivery of this information to employees may vary (e.g., paper copy, electronic delivery, etc.)	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the interview sample includes 45 employees, and 40 of them responded positively. Divide 40 by 45, multiply 0.88 x 10 (available points) = 8.8 = assign 9 points.	The note must include: • The number of interviewees that verified awareness of the health and safety committee/representative meeting and/or activities. • An example of the health and safety committee/representative meetings or activities.

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

Question	3.9	Validation Method/Scoring	Observation (0–10)

Have the names and contact information of the HSC members and/or the HS representative(s) been posted?

Instructions	Scoring	Validation Note
Determine the number of active worksites that are required to have a HSC or HS representative. Observe a sample of the represented worksites to confirm the names and the contact information for the HSC members and/or the HS representative(s) are visibly posted at each represented work site. Delivery of this information to employees may vary depending on accessibility (e.g., paper copy, electronic delivery, etc.)	Divide the number of active worksites with a posted list, by the number active worksites that are required to have a posted list. For example, if the auditor samples 5 worksites that require a posted list, and only 3 have a list posted, divide 3/5 = 0.6 x 10 (available points) = assign 6 points.	The note must include: • The number of sites sampled. • The number of sites with the contact posting available, or not available. • An example of a specific location the contact information was observed on site.

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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 for this Element: 150

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
Review the company's orientation policy and/or the orientation package to determine if it includes the following: 1. worker rights (right to refuse, right to know, right to participate), 2. health and safety policies and procedures, 3. health and safety responsibilities, 4. task specific hazards and controls, 5. hazard reporting, 6. applicable regulatory requirements (e.g., OHS legislation, WCB etc.), 7. discipline/enforcement policies, 8. violence and harassment prevention plans, 9. emergency response procedures (including alert/alarm systems), and 10. incident and near miss reporting.	Divide the number of found criteria by the total of 10 criteria. For example, if all of the criteria were included except workers' rights, 9 of 10 criteria = 9 points assigned.	The note must include: • How many of the 10 criteria are met. • Any requirements not found. • An example of how one of the requirements is or is not addressed by the orientation materials.

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Question	4.2	Validation Method/Scoring	Documentation (0–10)

Are all employees provided orientations within an appropriate time frame?

Instructions	Scoring	Validation Note
Determine if all new hires and transferred workers were provided an orientation as per the company's orientation program and defined timeframe. Review a sample of orientation records from within the past 12 months to verify. For the purpose of this question, an "appropriate time frame" means certain orientation elements may be addressed over several days. However, critical elements must be addressed prior to starting work.	Divide the number of employees requiring orientation by the number of orientation records completed as per policy. If no new employees have been hired within the past 12 months, not applicable (n/a) may be applied to the score. For example, the company records indicate 50 employees required orientation within the previous 12 months, and the auditor can only verify 42. Divide 42 by 50, 0.84 x 10 (available points) = 8.4 = assign 8 points.	The note must include: - Number of employees requiring orientation. - Number of orientations completed as per policy. - An example of a completed or missing orientation record reviewed. If n/a is applied, note must include rationale.

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
Interview managers and supervisors to determine if they are able to describe the process used to ensure employees have received orientation prior to starting regular duties.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, the auditor's interview sample includes 10 managers and 10 supervisors, and 15 answered the question positively. Divide 15 by 20, multiply 0.75 by 10 (available points) = 7.5 = 8 points assigned.	The note must include: - The number of interviewees that verified workers receive orientations. - An example of the company orientation process.

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
Review a sample of employee training records to confirm appropriate qualifications are verified. The audit is concerned with qualifications that are essential or required by law for a new hire to perform jobs safely. Examples include: • Journeyman or trade certificates • Driver's license or specified class of license • Specialized operator training (e.g., forklift, crane) • Work site related training (e.g., TDG, WHMIS 2015, First Aid, H2S Alive) • Any other company requirements (safety related) Note: Not all positions/disciplines may have qualification requirements that are applicable to safety.	Divide the number of training records found, by the number of training records expected. For example, a company has a mandatory pre-hire training requirement of CSTS, and the company has hired 150 employees over the past 12 months. The auditor sampled 50 employee training records and verified 40 have the training available. Divide 40 by 50 = 0.80 x 5 = 4 points assigned. The auditor may apply n/a only in the case of exclusively low risk administrative work sites where qualifications for health and safety sensitive positions/disciplines are not required.	The note must include: • The number of employee training records reviewed. • The number of employees with the appropriate training. • An example of the qualifications reviewed, and how it is or is not met. If n/a is applied, note must include rationale.

Question	4.5 a)	Validation Method/Scoring	Documentation (0,5)

Is there a process to assess the competency of new and re-assigned workers?

Instructions	Scoring	Validation Note
Review training policy and/or procedure to verify there is a competency assessment process that includes: • set intervals, • refresher when operational changes require it. Examples include: • On-the-job training policy • New worker program (green hand, etc.) • Testing, work observation checklists, etc.	Score 5 points if a competency assessment process that meets requirements is in place. Otherwise, score 0 points.	The note must include: • An example of the competency system in place; or • Justify the 0 points assigned.

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Question	4.5 b)	Validation Method/Scoring	Documentation (0–5)

Are competency assessments conducted?

Instructions	Scoring	Validation Note
Review a sample of documentation to verify that competency assessments are being conducted as identified by the employer. Examples include: • On-the-job training records • Trade qualification checklists • Completed tests, checklists, etc.	Divide the number of competency assessments conducted by the number of competency assessments expected. For example, if the company has 5 employees operating forklifts, and the company requires an initial knowledge test, and the auditor is only able to confirm 1/5 employees have assessments on file, score 1 point.	The note must include: • Number of employees expected to have an assessment completed. • Number of employees with the completed assessment. • An example of a task that was or was not assessed.

Question	4.6	Validation Method/Scoring	Interview (0–10)

Do managers and supervisors conduct competency assessments for workers?

Instructions	Scoring	Validation Note
Managers and supervisors must be able to describe how they determine the competency of their workers (e.g., on the job training, task observation, test, etc.). Reassignment can include a new job, task, or a move to a new location.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, the auditor's interview sample includes 6 managers and 4 supervisors, and 5 answered the question positively. Divide 5 by 10, multiply 0.5 by 10 (available points) = assign 5 points.	The note must include: • The number of interviewees that verified a competency assessment process for the company. • An example of a task that is assessed for competency for company employees. • An example of a negative comment 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
Review a sample of training documents to confirm job-specific training has been provided which includes the potential hazards and required controls (Eng, Admin, PPE) associated with the job. Examples may include a combination of policies, procedures, practical demonstrations, safe work practices, hazard assessments and training (e.g. WHMIS, Confined Space Entry, TDG, tasks specialized to the employer, using specialized tools and equipment, etc.).	Divide the by the number of training records that cover the appropriate hazards and controls by the number of completed training records reviewed in the sample. For example, if the auditor reviews 10 training records, and 9/10 training records include appropriate training for the related hazards and controls, assign 9 points.	The note must include: • Number of job specific training records reviewed. • Number of job specific training records that include appropriate hazards and controls. • An example of a job specific training record reviewed that does or does not include the appropriate hazards and controls.

Question	4.8	Validation Method/Scoring	Interview (0–15)

Does job-specific training include a practical demonstration?

Instructions	Scoring	Validation Note
Workers must confirm their training included a practical demonstration. This is required to confirm employees have acquired the necessary knowledge or skill related to the subject-matter. Examples may include working at a computer, using a ladder, operating equipment, changing a tire, etc.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, the auditor's interview sample includes 30 workers, and 12 answered the question positively. Divide 12/30 = 0.40, multiply 0.4 x 15 = assign 6 points.	The note must include: • The number of interviewees that verified a practical demonstration was provided. • An example of a practical demonstration that was required of an employee. • An example of a negative comment if applicable.

Question	4.9	Validation Method/Scoring	Documentation (0–5)

Is required refresher training provided?

Instructions	Scoring	Validation Note
Review a sample of training records to determine if they are reviewed/refreshed as per established timeframes. An organization may choose to set timelines in their policies for in-house refresher training. Some certifications (e.g. First Aid, trade certificates, etc.) also have requirements for re-training/refresher training on a set schedule, or when operational changes require it. The employer must document any refresher training requirements, and ensure schedules are met.	Divide the number of records reviewed that require refresher/review, by the number of records meeting the refresher/review timeframe. For example, the company has 10 employees who operate forklifts, and the company requires a refresher course every 3 years, and only 3/10 employees have received the 3 year refresher. Divide 3 by 10, 0.30 x 5 (available points) = 1.5 = 2 points assigned.	The note must include: • The assigned score. • An example of a training record reviewed and the related refresher/review period. • Any requirements not found.

Question	4.10 a)	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
Review policies or procedures to verify the company has defined frequencies for regular two-way communication regarding health and safety issues. This is separate from the Health and Safety Committee meetings. Ensure every work area and employee level is included. Note: A measurable frequency is required. The sole reference to communicating on a "regular basis" does not meet the intent for scoring.	Score 10 points if a system addressing the requirements is found. Score 0 points if requirements are not met. For example, the company policy indicates they hold quarterly health and safety meetings for all employees. Assign 10 points.	The note must include: • The score applied. • An example of a type and frequency of two-way communication designed for all employees. • Any missing employee levels or work groups.

Question	4.10 b)	Validation Method/Scoring	Documentation (0–5)

Is two-way health and safety communication completed as per the defined frequency?

Instructions	Scoring	Validation Note
Review a sample of documentation to confirm the company policy is met. At a minimum, quarterly communications are required. If the company policy defines a frequency other than quarterly (e.g., weekly, monthly etc.) evaluate these requirements. Examples to sample include: • meeting minutes, • attendance records, • emails, and/or • newsletters.	Divide the number of records available by the total number of records required. For example, the company requires monthly safety meetings, and the auditor verifies 11 records. Divide 11 by 12, 0.92 x 5 (available points) = 4.6 = 5 points assigned.	The note must include: • The number of records sampled. • The number of records meeting the established frequency. • An example of a record reviewed that meets, or does not meet the company requirements.

Question	4.11	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
Interview workers to verify how they are able to offer feedback on health and safety issues (e.g. health and safety meetings, suggestion boxes, contacts with supervisor, etc.).	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, the auditor's interview sample includes 6 workers and 5 answered the question positively. Divide 5 by 6, 0.83 x 10 (available points) = 8.3 = 8 points assigned.	The note must include: • The number of interviewees that verified a system for providing feedback on health and safety issues. • An example of how workers communicate their feedback. • An example of a negative comment if applicable.

Question	4.12	Validation Method/Scoring	Interview (0–5)

Are employees evaluated on their individual health and safety performance?

Instructions	Scoring	Validation Note
Employees at all levels must be able to explain how their occupational health and safety performance is evaluated. Examples of this include: • Performance appraisals with safety related measures • Documented observations/inspections with follow up • Safety-related participation tracking (e.g., safety meeting attendance, inspections conducted, etc.) • Safety awards, bonus, other incentives based on meeting health and safety goals or targets (could be individual or group)	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, the auditor interviewed 1 senior manager, 2 managers, 2 supervisors, and 5 workers, and the results were 8 positive and 2 negative responses. Divide 8 by 10, 0.80 x 5 (available points) = 4 points assigned.	The note must include: • The number of interviewees that verified individual health and safety performance evaluation. • An example of how employees are evaluated. • An example of a negative comment if applicable.

Question	4.13 a)	Validation Method/Scoring	Documentation (0–10)

Have individuals received training for leading the following processes:
a) Formal hazard assessments?

Instructions	Scoring	Validation Note
Identify employees leading the formal hazard assessment process and verify they have received training. Examples include: Leadership for Safety Excellence (LSE) Hazard Management (HM)	Divide the number of employees with the required training by the total number of employees sampled. For example, if there are 10 employees, and 3 have appropriate training, divide 3/10, and multiply 0.30 by the available points (10). 0.30 x 10 = 3 points assigned	The note must include: • The number of employee(s) training sampled. • The number of employee(s) holding appropriate training. • An example of the training reviewed, and how it does or does not meet the requirements.

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Question	4.13 b)	Validation Method/Scoring	Documentation (0–10)

Have individuals received training for leading the following processes:
b) Inspections?

Instructions	Scoring	Validation Note
Identify employees leading inspections and verify they have received training. An example is: Leadership for Safety Excellence (LSE)	Divide the number of employees with the required training by the total number of employees sampled. For example, if there are 10 employees, and 1 has appropriate training, divide 1/10, and multiply 1 by the available points (10). 0.10 x 10 = 1 point assigned.	The note must include: • The number of employee(s) training sampled. • The number of employee(s) holding appropriate training. • An example of the training reviewed, and how it does or does not meet the requirements.

Question	4.13 c)	Validation Method/Scoring	Documentation (0–10)

Have individuals received training for leading the following processes:
c) Investigations?

Instructions	Scoring	Validation Note
Review training records of individuals who have completed investigation reports and confirm they have received training. Examples include: • Leadership for Safety Excellence (LSE) • Work Site Investigation Basics (WIB)	Divide the number of employees with the required training by the total number of employees sampled. For example, if there are 10 employees, and 8 have appropriate training, divide 8/10, and multiply by the available points (10). 0.80 x 10 = 8 points assigned.	The note must include: • The number of employee(s) training sampled. • The number of employee(s) holding appropriate training. • An example of the training reviewed, and how it does or does not meet the requirements.

4. Training

Question	4.14	Validation Method/Scoring	Interview (0–5)

Have supervisors received training appropriate to their role?

Instructions	Scoring	Validation Note
Interview supervisors to determine if they have received appropriate supervisor training. Examples include: • regulations and legislative requirements • supervisory skills (e.g., coaching, evaluative skills, mentorship, conflict management, etc.) • Leadership for Safety Excellence (LSE)	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor's interview sample includes 30 supervisors, and 12 answered the question positively, the auditor would divide 12/30, and then multiply by the points available. Divide 12/30 = 0.40 x 5 (available points) = assign 2 points.	The note must include: • The number of interviewees that verified they received supervisor training. • An example of the training received. • An example of a negative comment if applicable.

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5. Hazard Assessment

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

A formal hazard assessment 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) is performed before work starts at a site, when conditions change, or when non-routine work is added. This flags 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 work site (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: 150

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?			
Instructions	Scoring		Validation Note
Review available documents such as organizational charts or employee lists to determine all possible positions/jobs within the company. Compare this list of company positions with the positions or jobs addressed in the formal hazard assessment system. Note that within a formal hazard assessment system, individual positions or roles may be grouped such as "administrative staff," "office workers," "shop workers," "field staff," etc.	Divide the number of jobs/positions captured in formal hazard assessments by the total number of jobs/positions evident within the company. For example, if records confirm the company has 10 jobs/work types, but only 6 are listed in the formal hazard assessment process, divide 6/10 = 0.60 x 10 (available points) = 6 points assigned (60%)		The note must include: • The number of jobs/positions the company has as evident in company documentation. • The number of jobs/positions captured in the formal hazard assessments sampled. • Examples of the jobs/positions captured, and any that are missing.

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Question	5.2	Validation Method/Scoring	Documentation (0–15)

Are the tasks/activities identified for each job or position?

Instructions	Scoring	Validation Note
Review the company's formal hazard assessments to determine what percentage of jobs/positions have their tasks identified or listed. As noted in question 5.1, tasks may be identified by individual positions or by discipline headings such as "administrative staff," "shop staff," "field staff," etc. For large companies with a complex formal hazard assessment system, select a representative sample of positions or jobs for further review. *Note: The auditor is not assessing the quality of tasks identified, but rather that each job/position has one or more tasks identified within the formal hazard assessments. Where companies have job descriptions, responsibilities such as conducting investigations, or completing orientations are not considered job tasks.*	Points are awarded based on the percentage of tasks identified for jobs and/or positions in the inventory. The maximum score permitted for this question will be determined by the percentage of score awarded in Question 5.1. For example, if 6 points (60%) were awarded in question 5.1, the auditor will multiply 0.60 (Question 5.1 score) by 15 (points available in Question 5.2) = 9 point maximum for scoring Question 5.2. The auditor identifies 5 of the 6 positions/jobs evaluated in Question 5.1 have their tasks identified. Divide 5 by 6, 0.83 x 9 (available points for 5.2) = 7.5 = 8 points assigned.	The note must include: • The number of jobs/positions that have tasks identified. • The total number of jobs/positions the company has. • An example of a job/position and the associated task(s) that are or are not identified.

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Question	5.3	Validation Method/Scoring	Documentation (0–15)

Are both health and safety hazards identified for each task?

Instructions	Scoring	Validation Note
Review a sample of formal hazard assessments to determine if applicable health and safety hazards have been identified for each task. Consider the four categories for health and safety hazards, which include: • Physical (e.g., radiological, working at heights, lifting heavy loads, extreme temperatures, violence, ergonomics, etc.) • Chemical (e.g., fumes, vapours, gases, waste products, etc.) • Biological (e.g., bodily fluids, viruses, bacteria, moulds, etc.) • Psychological (e.g., harassment and bullying, stress, fatigue, etc.) *Note: All hazard categories may not be applicable to every task identified on formal hazard assessments.*	Points are awarded based on the percentage of tasks for which hazards have been properly identified. Divide the number of formal hazard assessments with hazards identified for each task, by the total number of formal hazard assessments in the sample. The maximum score permitted for this question is determined by the points assigned in question 5.2. For example, if 8 points were assigned in Question 5.2, the maximum score for 5.3 is 8 points. Records confirm the company has identified a total of 10 tasks, and individual hazards are identified for 9 of the 10 tasks. Divide 9 by 10, 0.9 x 8 (available points from Question 5.2) = 7.2 = 7 points assigned.	The note must include: • The number of FHAs with hazards identified for each task. • The number of FHAs in your sample. • An example of the health and safety tasks and their related hazards, or missing hazards from the sample.

5. Hazard Assessment

Question	5.4	Validation Method/Scoring	Documentation (0-10)

Are the identified health and safety hazards evaluated according to risk?

Instructions	Scoring	Validation Note
Verified by review of formal hazard assessments to confirm that each hazard identified has been assessed for risk to determine priority using a consistent approach of at least 2 factors (e.g. severity and likelihood). Review a sample of formal hazard assessments to verify a system is used to measure risk. Risk assessment may use any combination of severity (s), frequency (f), probability (p), or similar measurement.	Points are awarded based on the percentage of health and safety hazards that have been assessed and prioritized according to risk. For example, if the sample of formal hazard assessments reviewed contains 50 hazards, and only 40 have an assigned risk ranking, the auditor would score 80% (8/10).	The note must include: • The number of hazards identified in the sample. • The number of hazards that have a risk ranking assigned. • The risk ranking system in use. • An example of a hazard and the assigned risk ranking, or the missing criteria.

Question	5.5	Validation Method/Scoring	Interview (0–10)

Is the senior management knowledgeable about the high hazard tasks related to their operations?

Instructions	Scoring	Validation Note
Senior management must be knowledgeable of the high hazard tasks related to their operations (identified in question 5.4).	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the interview sample includes 4 senior managers, and 3 answered the question positively, the auditor would divide 3 by 4, multiply 0.75 x 10 (available points) = 7.5 = 8 points assigned.	The note must include: • The number of interviewees that verified awareness of high hazard tasks for the company operations. • An example of a high hazard task for the company operations.

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5. Hazard Assessment

Question	5.6	Validation Method/Scoring	Documentation (0–5)

Does the company have a policy or procedure to create, review and revise formal hazard assessments:
1. when new operations, work processes, equipment, materials or products are introduced?
2. when operations work-related processes or equipment are modified?
3. when site-specific hazard assessments, inspections, or investigations identify a previously unrecognized hazard?
4. as per a pre-determined frequency?

Instructions	Scoring	Validation Note
Determine if the company has a policy or procedure that requires the creation, review and revision of the FHAs for the 4 criteria listed in the question. *Note: indicating a review at regular intervals does not meet the requirement of a pre-determined frequency. A minimum review of every 3 years is required, however an annual review is recommended.*	Divide the number of criteria met by the total criteria of 4. For example, if the company has a documented requirement to review FHAs annually, but does not include the requirement for new/modified equipment or operations, or when other documents identify a previously unrecognized hazard, the auditor would divide 3 by 4, multiply 0.75 x 5 (available points) = 3.75 = 4 points assigned.	The note must include: • How many of the 4 criteria are met. • Any criteria not found. • An example of how one of the criteria is or is not addressed within the policy or procedure.

Question	5.7	Validation Method/Scoring	Documentation (0,5)

Are formal hazard assessments created, reviewed and/or revised as per defined frequency in Question 5.6?

Instructions	Scoring	Validation Note
Review a sample of formal hazard assessments to determine reviews were completed as per the defined frequency in Question 5.6. For example, if the company has defined annual reviews, confirm the required annual reviews were completed on a sample of formal hazard assessments.	Score 5 points if your sample of FHAs verify review has been completed as per the company's pre-determined frequency. Score 0 points if requirements are not met. For example, the company assigns an annual review for formal hazard assessments. Sample the formal hazard assessments to confirm this frequency is met. If the formal hazard assessments have been reviewed within the last year, assign 5 points.	The note must include: • The pre-determined frequency defined or missing. • The number of formal hazard assessments sampled. • An example of a formal hazard assessment that was reviewed meeting, or not meeting, the defined frequency.

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5. Hazard Assessment

Question	5.8 a, b, and c)	Validation Method/Scoring	Interview (0–10) for each a, b, and c

Do employees participate in the development, review, and revision of formal hazard assessments, as needed?

a) Senior Managers/Managers   (0-10)
b) Supervisors   (0-10)
c) Workers   (0-10)

Instructions	Scoring	Validation Note
Employees must be able to describe how they participate in the formal hazard assessment process. This may include a combination of development, review, and revisions of the formal hazard assessments.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, for a) if the interview sample is 5 total senior managers and managers, and 4 respond positively, divide 4/5, multiply 0.8 by 10 (available points) = 8 points assigned.	The note must include: • The number of interviewees that verified participation in formal hazard assessments. • An example of formal hazard assessment participation. • An example of a negative comment if applicable.

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
Review policy and procedures for conducting site-specific hazard assessments to confirm the following (as applicable to operations) is included: 1. work is conducted at temporary/mobile work sites 2. workers are conducting activities at a work site not owned by their employer 3. a new activity has been temporarily introduced at the work site 4. before the job or task begins 5. repeated if changes are introduced	Score 10 points if a system addressing all requirements (5) is found. Score 0 points if requirements are not met. This question cannot be marked as not applicable (n/a). For example, of the site-specific hazard assessment system identifies 3 of the 5 required areas, assign 0 points.	The note must include: • A summary of the system the company uses for site specific hazard assessments. • Reference to meeting each criteria (5); or • Justify the 0 points assigned.

5. Hazard Assessment

Question	5.10 a and b)	Validation Method/Scoring	Documentation (0–10) for each a and b).

Have site specific hazard assessments been:

a) conducted before the job or task begins? (0-10)
b) repeated if changes are introduced? (0-10)

Instructions	Scoring	Validation Note
Review a sample of completed site-specific hazard assessments. Determine if both the requirements for a) and b) are met.	Divide the number of site specific hazard assessments meeting requirements by the total number of site-specific hazard assessments sampled. Complete this for each a) and b). For example, if the reviewed sample contains 25 hazard assessments, and 20 confirm both a) and b) criteria, divide 20 by 25, 0.80 x 10 (available points) and score 8 points for both a) and b). If site specific hazard assessments were not required in the previous 12 months, this question may be marked as not applicable (n/a).	The note must include: • The sample used to determine score. Number of records reviewed, and the number of records confirmed. • An example of a specific task or project reviewed that did or did not meet company requirements. If n/a is applied, note must include rationale.

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5. Hazard Assessment

Question	5.11	Validation Method/Scoring	Documentation (0–10)

Do affected employees participate in site-specific hazard assessments?

Instructions	Scoring	Validation Note
Review a sample of site-specific hazard assessments and verify the affected employees participate in the identification, assessment and control of hazards in their work areas. Confirm all levels of employees participate as appropriate.	Divide the number of site specific hazard assessments with appropriate employee participation by the total number of site-specific hazard assessments sampled. If all appropriate employee levels are involved in the sample reviewed (management, supervisors and workers), assign a positive indicator to this sample. If a hazard assessment is missing a level of employee participation, no points are awarded for this sample. For example, if the auditor confirmed affected employees participated in 18/20 of the hazard assessments reviewed, divide 18 by 20, multiply 0.9 x 10 (available points) = 9 points assigned.	The note must include: • The sample used to determine score. • An example of a site-specific hazard assessment reviewed for verification. • Confirm all levels of employees participate as appropriate.

Question	5.12	Validation Method/Scoring	Interview (0–10)

Is a system in place for workers to report newly identified hazards?

Instructions	Scoring	Validation Note
Interview workers to determine they are able to describe the company's system used to report unsafe or unhealthy conditions and practices. Examples include hazard ID's, reporting directly to supervisor, tailgate meetings, etc.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the interview sample includes 4 workers, and 3 answered the question positively, divide 3 by 4, 0.75 x 10 (available points) = 7.5 = 8 points.	The note must include: • The number of interviewees that verified the reporting procedure. • An example of how hazards are reported. • An example of a negative comment if applicable.

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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: 120

Site–Specific Hazard Assessments			
Question	6.1	Validation Method/Scoring	Documentation (0–10)
Have controls been identified for hazards listed in site specific hazard assessments?			
Instructions	Scoring		Validation Note
Review a sample of completed site-specific hazard assessments to confirm controls are identified for the health and safety hazards listed.	Divide the number of site specific hazard assessments with appropriate controls identified by the total number of site specific hazard assessments in the sample. If site specific hazard assessments were not required in the previous 12 months, this question may be marked not applicable (n/a). For example, if there are 20 site specific hazard assessments sampled, and 15 have appropriate controls identified. Divide 15 by 20, multiply 0.75 x 10 (available points) = 7.5 = 8 points assigned.		The note must include: • The number of site specific hazard assessments included in the sample size. • The number of sampled hazard assessments that included appropriate hazard controls. • An example of a hazard, and the listed control method. If n/a is applied, note must include rationale.

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6. Hazard Control

Formal Hazard Assessments			
Question	6.2	Validation Method/Scoring	Documentation (0–10)

Have controls been identified for hazards listed in the formal hazard assessments?

Instructions	Scoring	Validation Note
Review a sample of formal hazard assessments and determine if the controls are selected according to the "hierarchy of controls", emphasizing in order of priority: elimination, engineering controls, administrative controls, and PPE. All hazards must have a control identified.	Divide the number of hazards where controls are identified in Question 5.3 by the total number of hazards in the sample that should have had a control. For example, if there are 100 hazards identified on the formal hazard assessments, and only 50 have controls identified. Divide 50 /100, multiply 0.5 x 10 (available points) = 5 points assigned.	The note must include: • The total number of formal hazard assessments available, and the number of formal hazard assessments included in the sample size. • The number of sampled hazards that did or did not include hazard controls. • An example of a hazard, and the listed control method.

Question	6.3	Validation Method/Scoring	Observation (0–10)

Have the identified engineering controls been implemented?

Instructions	Scoring	Validation Note
Sample engineering controls identified in the formal hazard assessments to verify implementation. Observe the work areas to confirm these assigned engineering controls are in place. Auditor must include high hazard items in the sample to verify they have been given priority.	Points are awarded based on the percentage of engineering controls sampled from the formal hazard assessment that are confirmed during site visits. 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. For example, the auditor's sample includes 10 engineering controls, and 8 were confirmed during work-site observations. Divide 8 by 10, multiply 0.8 by 10 (points available) = 8 points assigned.	The note must include: • The number of specific observations • The number of compliant observations • An example of a hazard and the associated engineering control that was observed or not observed.

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6. Hazard Control

Question	6.4	Validation Method/Scoring	Documentation (0–10)

Are the identified administrative controls implemented?

Instructions	Scoring	Validation Note
Sample administrative controls identified in the formal hazard assessments to verify implementation. Verify administrative controls are in place by reviewing company documents. Include high hazard items in the sample to verify they have been given priority. For example, if the formal hazard assessment identifies a specific SJP as a control method, the auditor should be able to confirm this noted SJP exists within the HSMS.	Points are awarded based on the percentage of administrative controls sampled from the formal hazard assessments that are verified through documentation. For example, if the formal hazard assessment identifies a 'safe lifting - SWP' as an administrative control. Confirm this SWP exists in the company documents reviewed. For example, the auditor's sample includes 10 administrative controls, and 8 were confirmed within documentation. Divide 8 by 10, multiply 0.8 by 10 (points available) = 8 points assigned.	The note must include: • The number of administrative controls sampled. • The number of administrative controls confirmed as implemented within company documents. • An example of a listed hazard, and the identified administrative control method.

Question	6.5	Validation Method/Scoring	Observation (0–10)

Are the identified personal protective equipment (PPE) controls implemented?

Instructions	Scoring	Validation Note
Sample PPE controls identified in the formal hazard assessments to verify implementation. Determine a sample of PPE controls, and verify through observation they are in place. Auditor must include high hazard items in the sample to verify they have been given priority.	Points are awarded based on the percentage of PPE controls sampled from the formal hazard assessment that are confirmed during work-site observations. For example, the auditor chooses to sample hearing protection and hardhats for 50 employees. The results are 40/50 are using the required items during the worksite observations. Divide 40 by 50, multiply 0.8 x 10 (available points) = 8 points assigned.	The note must include: • The number of instances where PPE is in use. • The number of instances where PPE should have been in use. • An example of a hazard and the PPE that was observed or not observed in use of a control.

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6. Hazard Control

Formal AND Site-Specific Hazard Assessments			
Question	6.6	Validation Method/Scoring	Interview (0–15)

Are changes to hazard controls communicated to affected employees?

Instructions	Scoring	Validation Note
Interviewees must be able to explain how they were informed of changes to hazard controls relevant to their job tasks. If no changes have been made, interviewees must be aware of how they will be informed of changes.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor interviewed 1 senior manager, 2 managers, 2 supervisors and 5 workers, and the results were 8 positive and 2 negative responses, the auditor would divide 8/10 = 0.8 x 15 (available points) = 12 points assigned.	The note must include: • The number of interviewees that verified changes to hazard controls are communicated. • An example of a method that is used to communicate hazard control changes. • An example of a negative comment if applicable.

Question	6.7 a)	Validation Method/Scoring	Interview (0–10)

Are employees using the required hazard controls?

Instructions	Scoring	Validation Note
Interviewees must confirm their use of hazard controls applicable to their work tasks.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor interviewed 2 senior managers, 6 managers, 12 supervisors and 30 workers, and the results were 20 positive and 30 negative responses, the auditor would divide 20/50, multiply 0.4 by 10 = 4 points assigned.	The note must include: • The number of interviewees that verified awareness of hazard controls applicable to their work. • An example of a hazard control used. • An example of a negative comment if applicable.

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Question	6.7 b)	Validation Method/Scoring	Observation (0–20)
Are employees using the required hazard controls?			

Instructions	Scoring	Validation Note
Observe employees performing their jobs, and verify they are using the established hazard controls identified in the interviews.	Divide the number of controls identified during the interviews (Question 6.7a), by the number of controls confirmed during worksite observations. For example, if a worker identifies a specific control such as 'safety glasses' used during grinding tasks, and the auditor is able to confirm workers wearing safety glasses while grinding during site observations, this would be a positive indicator. If the auditor completed 10 specific observations, and 9 were positive, divide 9 by 10, multiply 0.9 x 20 (available points) = 18 points assigned.	The note must include: • The number of hazard controls identified in the interviews. • The number of hazard controls confirmed during site observations. • An example of a hazard and control confirmed, or not confirmed during site observations.

Question	6.8	Validation Method/Scoring	Interview (0–10)
Do supervisors enforce the use of hazard controls?			

Instructions	Scoring	Validation Note
Supervisors must be able to give examples of how they enforce the use of controls. Workers must be able to describe the enforcement process.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if there are 30 total supervisor and worker interviews, and 20 responded positively, divide 20 by 30, multiply 0.67 x 10 (available points) =6.7 = 7 points assigned.	The note must include: • The number of interviewees that verified the enforcement of hazard controls. • An example of a control that was enforced.

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
Review documentation to confirm a violence prevention plan is in place. The plan must include: 1. policy 2. procedure 3. training requirements for employees	Divide the number of found criteria by the total of 3 criteria. For example, if all the criteria are met except defining the training requirements for employees, divide 2 by 3, multiply 0.67 x 5 (available points) = 3.3 = 3 points assigned.	The note must include: • How many of the 3 criteria were met. • Any criteria not found. • A specific example from the plan (e.g., the date signed) to support one of the criteria identified.

Question	6.10	**Validation Method/Scoring**	Documentation (0–5)

Is a Harassment Prevention Plan in place as per legislated requirements?

Instructions	Scoring	Validation Note
Review documentation to confirm a harassment prevention plan is in place. The plan must include: 1. policy 2. procedure 3. training requirements for employees	Divide the number of found criteria by the total of 3 criteria. For example, if all the criteria are met except defining the training requirements for employees, divide 2 by 3, multiply 0.67 x 5 (available points) = 3.3 = 3 points assigned.	The note must include: • How many of the 3 criteria were met. • Any criteria not found. • A specific example from the plan (e.g., the date signed) to support one of the criteria identified.

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6. Hazard Control

Question	6.11	Validation Method/Scoring	Documentation (0–5)

Have the Violence and Harassment Policies and Procedures been reviewed?

Instructions	Scoring	Validation Note
Review documentation to confirm the violence and harassment policies and procedures are reviewed as required. 1. when an incident occurs related to violence and/or harassment; or 2. if the HSC or HS representative(s) recommended a review; or 3. at least every three years.	Divide the number of found criteria by the total of 3 criteria. For example, if all the criteria are met except the review every 3 years, divide 2 by 3, multiply 0.67 x 5 (available points) = 3.3 = 3 points assigned.	The note must include: • How many of the 3 criteria were met. • Any criteria not found. • A specific example from the plan (e.g., the date signed) to support one of the criteria identified.

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7. Inspections and 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: 100

Work Site Inspections			
Question	7.1 a and b)	Validation Method/Scoring	Documentation (0,5) for each of a and b)

Is there a policy or procedure that defines the inspection frequency for:
a) All areas of operations?   (0,5)
b) All employee levels?   (0,5)

Instructions	Scoring	Validation Note
Review the inspection policy or procedure to confirm all areas of operation (a) and all levels of employees (b) are included. Inspection frequency should be determined by the employer based on the level of risk. The frequency of inspections for each work area must be defined in order to award points for a. E.g., Offices, shops, yards, storage, mobile work-sites, work-sites etc. Employee involvement in the inspection process must be specified individually for each employee level in order to award points for b). E.g., senior managers - annual inspection, review reports quarterly.	All areas of company operations must have a specified inspection frequency in order to award points for a). All employee levels must have specific responsibilities for work area inspections in order to award points for b). Points are awarded based on 100% positive indicators from documentation.	The note must include: • An example of the frequency defined for work areas. • Verification that each work area has a defined frequency. • An example of a specific responsibility for one of the employee levels. • Verification that each employee level has specific responsibilities in the inspection process. • Any criteria not found.

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Question	7.2	Validation Method/Scoring	Documentation (0–5)

Are specific tools used to record formal inspections?

Instructions	Scoring	Validation Note
Review completed inspection reports to confirm a standardized tool is used to record inspections. Inspection tools may be specific to a work site, department, operation, employee observation, etc.	Determine the types of work areas. Ensure a format for inspecting each area exists. Divide the # of work area types, by the # of work area types covered by the inspection tools. For example, if the company has 1 shop, 1 office, and 3 worksites, and they have 1 standard inspection form that is used for all 3 locations, award 5 points. If the form is not used for the office, and only the shop and worksites inspections, divide 4 by 5, multiply 0.8 by 5 = 4 points assigned.	The note must include: • The number of distinct work areas. • The number of work area types covered by the inspection tool available. • An example of the evaluation content reviewed within an inspection tool. • Any missing criteria.

Question	7.3	Validation Method/Scoring	Documentation (0–10)

Are formal inspections completed following the specific frequency(s)?

Instructions	Scoring	Validation Note
Review a sample of inspection records to verify participation from each employee level, and the frequency specified by the policy is met.	Divide the number of inspection records meeting requirements, by the number of inspections as required by the company policy. For example, if the policy outlines quarterly inspections for each location, and there are two locations, the auditor will be looking to verify 8 inspection records. Divide the number of inspection records located, by the pre-determined number (8). If the company completed 6 out of the 8 required inspections, divide 6/8 = 0.75 x 10 (available points) = 7.5 = 8 points assigned.	The note must include: • The number of inspections required. • The number of inspections available. • An example of the defined frequency and the related inspection records. • Verification that all employee levels are included in the inspection reports.

7. Inspections and Maintenance

Question	7.4 a)	Validation Method/Scoring	Documentation (0, 10)

Is a system to correct deficiencies identified during inspections?

Instructions	Scoring	Validation Note
Review the inspection system to confirm it includes: • a method for identifying corrective actions, • requirement to assign responsibilities to individuals, and • target and implementation dates.	Score 10 points if a system addressing the requirements is found. Score 0 points if requirements are not met.	The note must include: • How many of the 3 criteria were met. • Any criteria not found. • An specific example from the policy (e.g., the date signed) to support one of the criteria identified; or • Justify the 0 points assigned.

Question	7.4 b)	Validation Method/Scoring	Observation (0–15)

Have deficiencies identified through formal inspections been corrected?

Instructions	Scoring	Validation Note
Identify a sample of deficiencies that are observable. Based on the observations of the audited work areas, determine if sampled deficiencies identified in the inspection reports have been corrected.	Observation points are awarded based on the percentage of corrected deficiencies. Where no deficiencies are identified or observable, this question may be marked not applicable (n/a). For example, if the auditor samples 8 deficiencies, and 7/8 are corrected, divide 7 by 8, multiply 0.88 x 15 (available points) = 13.2 = 13 points assigned.	The note must include: • The number of deficiencies sampled for observation. • The number of deficiencies confirmed implemented or not implemented. • An example of a deficiency that was or was not implemented. If n/a is applied, note must include rationale.

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Question	7.5	Validation Method/Scoring	Interview (0–10)

Do workers participate in the inspection process?

Instructions	Scoring	Validation Note
Workers must be able to describe how they participate in the inspection process. This may include a combination of participation and review of inspection reports.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor interviews 50 workers, and the results were 40 positive and 10 negative response, the auditor would divide 40/50, multiply 0.8 x 10 (available points) = 8 points assigned.	The note must include: • The number of interviewees that confirmed participation in the inspection process. • An example of how employees did or did not participate.

Question	7.6	Validation Method/Scoring	Interview (0–10)

Do managers participate in the formal inspection process to observe OHS behaviours and conditions?

Instructions	Scoring	Validation Note
Managers must be able to describe how they participate in the formal inspection process. This may include a combination of participation and review of inspection reports. This participation must include a component of employee observation (behaviours and conditions).	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor interviews 10 managers, and the results were 8 positive and 2 negative, the auditor would divide 8/10, multiply 0.8 x 10 (available points) = 8 points assigned.	The note must include: • The number of interviewees that confirmed participation in the inspection process by observing OHS behaviours and conditions. • An example of how managers did or did not participate.

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7. Inspections and Maintenance

Preventive Maintenance

Question	7.7	Validation Method/Scoring	Documentation (0,10)

Is there a preventive maintenance program that includes:
- inventory or record of all items requiring preventive maintenance?
- schedule of required preventative maintenance?
- satisfies legislative requirements?
- satisfies manufacturer's specifications?

Instructions	Scoring	Validation Note
Review documentation to verify an inventory of all assets with maintenance schedules satisfying legislative requirements and manufacturer's specifications as applicable. Examples include vehicles, equipment, facilities, and tools. (e.g.: cranes, forklifts, power tools, etc.). Rental equipment may be considered, depending on contract requirements.	Score 10 points if a preventive maintenance program addressing the 4 criteria is found. Score 0 points if requirements are not met.	The note must include: • The score applied. • A specific detail from the maintenance schedule to verify the criteria. • Verify all 4 criteria are met; or • Justify the 0 points assigned.

Question	7.8	Validation Method/Scoring	Observation (0–10)

Is all equipment requiring preventive maintenance included within the preventive maintenance program?

Instructions	Scoring	Validation Note
Prior to the observation tour, generate a list of all types of equipment in the preventive maintenance program, equipment inventory lists, or maintenance records for work sites to be visited. During the site visit, verify if the equipment within the preventive maintenance program is consistent with the equipment found on the work site. A sample may be required for large work sites.	Divide the number of types of equipment observed by the number of types of equipment included in the Preventive Maintenance program. For example, the auditor observes 30 different types of equipment, and the inventory is missing 10 items. Divide 20/30 = 0.67 x 10 (available points) = 7 assigned points.	The note must include: • The number of types of equipment that appeared in the company's preventive maintenance program. • The number of types of equipment that should have appeared. • An example of equipment that did or did not appear in the preventive maintenance program.

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Question	7.9	Validation Method/Scoring	Documentation (0-10)

Is the preventive maintenance program followed?

Instructions	Scoring	Validation Note
Review a sample of documentation to confirm preventive maintenance is performed according to the schedules identified in Question 7.7. Examples include: • Certified equipment inspections, • Pre-start checklists, • Logbooks, and • Receipts for maintenance.	Divide the total number of records reviewed, by the total records that show compliance with the preventive maintenance program. For example, if the auditor reviewed 10 truck records, and 8 were meeting the maintenance schedule requirements, divide 8/10, 0.80 x 10 (available points) = 8 points assigned.	The note must include: • The number of records included in the sample. • The number of records that met or did not meet the maintenance schedule requirements. • An example of a record, and the related maintenance requirement met or not met.

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8. Emergency Response

Prevention, Mitigation, Preparedness, Response, and Recovery are key components in an effective emergency response management system. Emergency response planning assists 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 will enable appropriate and efficient actions to take place to reduce further impact.

Total points for this Element: 100

Question	8.1 a)	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
Review the potential emergency scenarios for the employer to determine if all have been included. Identify potential scenarios based on the following: • the company's operations and activities (hazard assessments, equipment, hazardous materials), and • legislative requirements.	Score 5 points if all potential emergencies have been identified. Score 0 points if requirements not met. For example, if the company has identified 3 potential emergencies (Fire, Flood, and Medical Aid) but did not include motor vehicle incident as applicable to their operations, the auditor would score 0 points.	The note must include: • The number of potential scenarios found in the ERP. • An example of a scenario that has or has not been included in the ERP. • A description and justification for any potential scenarios determined missing.

Question	8.1 b)	Validation Method/Scoring	Observation (0,10)

Does the Emergency Response Plan identify the potential emergency scenarios applicable to the company's operations and legislated requirements?

Instructions	Scoring	Validation Note
Prior to the observation tour, identify a sample of emergency scenarios evaluated in question 8.1 a) from the company's ERP that are applicable to the work activities at the work sites. During the visit, determine if the ERP covers sufficient emergency scenarios for the work sites sampled. In particular, determine if any scenarios covered by legislation were missed.	Score 10 points if the Emergency Response scenarios are sufficient for the work activities observed. Score 0 points if requirements not met. For example, if the company has identified 3 (Fire, Flood, and Medical Aid) but the auditor observed workers driving vehicles and the ERP did not include motor vehicle incident, the auditor would score 0 points.	The note must include: • An example of the work activity observed in relation to one of the potential emergencies. • A description of any potential emergency scenarios identified, but not present in the ERP, if applicable.

ACSA™

8. Emergency Response

Question	8.2	Validation Method/Scoring	Documentation (0–10)

Does the Emergency Response Plan include the required areas as per legislation?

Instructions	Scoring	Validation Note
Review the company's ERP to determine if the ten criteria have been outlined for the potential emergencies identified. 1. identification of potential emergencies; 2. procedures for dealing with the identified emergencies; 3. identification of, location of and operational procedures for emergency equipment; 4. emergency response training requirements; 5. location and use of emergency facilities; 6. fire protection requirements; 7. alarm and emergency communication requirements; 8. first aid services required; 9. procedures for rescue and evacuation; 10. designated rescue and evacuation workers. Reference Part 7, Section 116, Alberta OHS Occupational Health and Safety Code.	Divide the number of criteria met by a total of 10 criteria. For example, if the plan includes everything except fire protection requirements and first aid services required, divide 8 by 10, 0.80 x 10 (available points) = 8 points assigned.	The note must include: • The number of criteria met. • Any criteria not found. • An example of how one of the criteria is or is not addressed by the emergency response plan.

Question	8.3	Validation Method/Scoring	Interview (0–10)

Are employee responsibilities communicated as established in the Emergency Response Plan?

Instructions	Scoring	Validation Note
Interview employees to confirm they are aware of their responsibilities within the ERP. Responses should be consistent with written responsibilities in the ERP.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor had a total of 30 employee interviews, and 25 were positive, divide 25 by 30, multiply 0.83 x 10 (available points) = 8.3 = 8 points assigned.	The note must include: • The number of interviewees that verified employee's awareness of their ERP responsibilities. • An example of an ERP responsibility communicated.

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Question	8.4	Validation Method/Scoring	Interview (0–10)

Are employees trained in their emergency response responsibilities?

Instructions	Scoring	Validation Note
Interviewees must be able to describe the type of training they received in emergency response.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if there are a total of 50 interviews with 25 positive, and 25 negative responses, divide 25/50, 0.50 x 10 (available points) = 5 points assigned.	The note must include: • The number of interviewees that were able to describe their training for emergency response. • An example of the training that was provided. • An example of a negative comment if applicable.

Question	8.5	Validation Method/Scoring	Observation (0–10)

Are non-medical emergency supplies and equipment identified in the emergency response plan available?

Instructions	Scoring	Validation Note
Review a sample of emergency equipment listed in the ERP that is applicable to worksite(s) to be visited. During the site visit, confirm the equipment listed in the ERP is available and in working condition. Where the ERP fails to provide a list of appropriate non-medical supplies or equipment, the auditor may measure the company's equipment and supplies against regulatory requirements. Examples include: • High visibility clothing, • Self contained breathing apparatus, • Spill kits, • Fire extinguishers, and • Aerial work platform (as identified in fall rescue plans), etc.	Divide the number of equipment and supplies identified in the ERP by the total number of required equipment and supplies that should have been identified. For example, the company has 3 vehicles that transport hazardous waste, and each requires a spill kit as per the emergency response plan. The auditor observes that only 1 of the vehicles in operation has the required spill kit. Divide 1 by 3 = 0.33 x 10 = 3.3 = 3 points assigned.	The note must include: • Number of non-medical equipment sampled, as required by the site ERP. • Number of non-medical equipment observed. • An example of non-medical equipment available or missing from observations.

8. Emergency Response

Question	8.6	Validation Method/Scoring	Documentation (0–10)

Is there a process to evaluate the performance of the Emergency Response Plan?

Instructions	Scoring	Validation Note
Review ERP-related documentation (policies/procedures) or records (emergency drills) to establish if the following criteria are met to ensure continuous improvement. 1. testing at least annually, 2. a means of identifying deficiencies, and 3. a means of correcting deficiencies.	Divide the number of criteria met by a total of 3 criteria. For example, if the company has defined the annual testing requirement, and a means of identifying deficiencies, but has not addressed correcting deficiencies, the auditor would divide 2/3 = 0.67 x 10 (available points) = 6.7 = 7 points assigned.	The note must include: • The number of the criteria met. • Any criteria not found. • An example of a specific detail from the plan (e.g., the scheduled frequency) to support one of the criteria identified.

Question	8.7	Validation Method/Scoring	Documentation (0–5)

Is the process and frequency for testing the ERP followed?

Instructions	Scoring	Validation Note
Review a sample of records to verify that the company is meeting its own standard on ERP testing and drills. An emergency response drill could include a practice drill or table top exercise. (e.g. evacuation, shelter in place, lockdown, etc.). Actual emergency responses cannot be used as a drill for scoring this question. *Note: The company is not required to test every ERP scenario annually. However, if the company's policy states that it will do so, it must then be evaluated on that basis.*	Divide the number of actual emergency drill response records, by the number of drills required by the company policy. For example, it the company requires quarterly drills for each location, and there are two locations, the auditor will be looking to verify 8 drill records. Divide the number of ERP drill records located, by the pre-determined number (8). If the company completed 6 of the 8 required drills, divide 6/8 = 0.75 x 5 (available points) = 3.75 = 4 points assigned.	The note must include: • The number of scheduled drills required per the company policy. • The number of drills completed. • An example of a detail from a ERP drill record reviewed for verification. (e.g., drill scenario)

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8. Emergency Response

Question	8.8	Validation Method/Scoring	Documentation (0–5)

Are the deficiencies identified in Emergency Response Plans corrected?

Instructions	Scoring	Validation Note
Review records of the drills sampled, simulations and/or action logs related to ERP testing/drills/actual emergency response documentation. Sample identified deficiencies to determine they were corrected.	Points are awarded based on the percentage of deficiencies corrected. For example, it there are 10 deficiencies identified, and 8 are verified as corrected the auditor will score 80% (4/5). This question may be marked not applicable (n/a) only if deficiencies were not required. Provide justification.	The note must include: • The number of deficiencies in the sample. • The number of deficiencies corrected. • An example of a deficiency that was or was not corrected. If n/a is applied, note must include rationale.

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
Review provincial occupational health and safety (OHS) regulations for: • the type of first aid training required, and • the number of first aiders required. Review the company's list of first aiders for a sampling of the company's worksites. Verify this meets minimum provincial OHS requirements. Examples of first aider levels are emergency, standard, advanced, nurse, etc.	Divide the total number of sites sampled, by the total number of sites that meet legislated first aid training requirements. For example, if the company has 10 sites, and 9 meet legislated requirements, divide 9/10, 0.90 x 10 (available points) = 9 points assigned.	The note must include: • The sample size of worksites. • The number of worksites from the sample that did or did not meet legislated requirements. • An example of how the company met or failed to meet its legislated requirements for first aid.

ACSA™

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
Review provincial occupational health and safety (OHS) legislation for first aid equipment and supplies required for the work sites to be visited. Observe first aid equipment and supplies during work site visits. Examples include: • No. 2 First Aid Kit • Blankets • First Aid room	Divide the total number of sites visited, by the total number of sites that meet legislated requirements. For example, the auditor samples 10 sites, and 7 meet legislated requirements, the auditor would divide 7 by 10, multiply 0.7 by 15 (points available) = 10.5 = 11 points assigned.	The note must include: • The number of work sites sampled. • The number of locations where appropriate first aid equipment and supplies were observed. • An example of any first aid equipment and supplies found or not found as expected.

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9. Investigations

Incident investigations are intended to determine the direct causes of an incident and recommend changes to the HSMS to prevent similar events.

Total points for this Element: 90

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
Review documentation to confirm a written policy and/or process requiring the report of all incidents, near miss, occupational illness, and work refusals. This includes both Internal and external reporting, where required. (e.g., OHS, WCB, etc.)	Score 5 points if a reporting process addressing all requirements is found. Score 0 points if requirements are not met.	The note must include: • The score awarded. • An example of how the criteria is or is not addressed.

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
Employees must be able to explain the process for reporting incidents (including near miss), occupational illness, and work refusals.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor had a total of 30 employee interviews, and 25 were positive, divide 25 by 30, 0.83 x 10 = 8 points assigned.	The note must include: • The number of interviewees that verified awareness of the reporting procedures. • An example of a step in one of the reporting procedures. • An example of a negative comment if applicable.

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Question	9.3	Validation Method/Scoring	Interview (0-10)

Are incidents, occupational illness, and work refusals reported?			

Instructions	Scoring	Validation Note
Interview supervisors and workers to verify that incidents are reported as required by policy or procedures.	The percentage of points assigned is determined by the auditor's positive and negative findings. For example, if the auditor interviewed 15 supervisors, and 30 workers, and 40 responded positively, divide 40/45, 0.89 x 10 (available points) = 9 points assigned.	The note must include: • The number of interviewees that verified incidents, occupational illness and work refusals are reported. • An example of a reported incident, occupational illness or work refusal. • An example of a negative comment if applicable.

Question	9.4	Validation Method/Scoring	Documentation (0,5)

Are near misses reported?			

Instructions	Scoring	Validation Note
Review a sample of completed near miss reports to support that reporting is taking place.	Score 5 points if near miss reports are documented as per policy. Score 0 points if no near misses were reported. For example, the company has 5 near miss reports on file. Assign 5 points.	The note must include: • The score awarded. • The number of near miss reports reviewed. • An example of a near miss report reviewed; or • Justify the 0 points assigned.

Question	9.5	Validation Method/Scoring	Documentation (0–10)

Is there an investigation procedure?

Instructions	Scoring	Validation Note
Review policies or procedures to determine if the listed criteria is documented. 1. the intent/purpose of investigating incidents, 2. an outline of the types of incidents that need to be investigated, including near misses, occupational illness, and work refusals, 3. identification of root causes, 4. follow-up on corrective actions, and 5. senior management, management, and supervisor responsibilities.	Divide the number of criteria met by the total of 5 criteria. For example, if all criteria is met except for the identification of root causes, divide 4/5, 0.8 x 10 (available points) = 8 points assigned.	The note must include: • How many of the 5 criteria were met. • Any criteria not found. • An example of a specific detail from the policy or procedure to support one of the criteria identified.

Question	9.6 a, b)	Validation Method/Scoring	Interview (0–5) for each of a and b

Do employees participate in the investigation process?
a) Workers   (0–5)
b) Senior Managers/Managers/Supervisors   (0–5)

Instructions	Scoring	Validation Note
Interview employees to confirm their participation in the investigation process. Not all employees need to actively participate in the incident investigation process. However, all employees must be able to describe how employees participate in the investigation process.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, for a) if the auditor interviews 50 workers, and all 50 respond positively, the auditor will score 5 points.	The note must include: • The number of interviewees that verified participation in the investigation process. • An example of how employees did or did not participate.

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Question	9.7	Validation Method/Scoring	Documentation (0–5)

Are the investigation reports completed according to company policy and procedures?

Instructions	Scoring	Validation Note
Review a sample of completed investigation reports to verify the investigation procedure is followed. Verify the following items are included: 1. senior management, management, and supervisor involvement as appropriate, 2. root causes resulting from deficiencies in the health and safety system, 3. corrective actions designed to implement system changes to prevent recurrence, 4. completed in a timely manner.	Points are awarded based on the percentage of reviewed investigation reports that include manager/supervisors, identify causes, recommend corrective action, and timeliness. For example, if the auditor's sample includes 5 investigation reports, and 3 included all 4 identified criteria. Divide 3/5, 0.60 x 5 (available points) = 3 points assigned.	The note must include: • The sample of investigation reports reviewed. • The number of reports that did or did not meet the 4 criteria. • A specific detail from the reports (e.g., corrective action identified) to support one of the criteria identified.

Question	9.8 a)	Validation Method/Scoring	Documentation (0–10)

Are the recommended corrective actions implemented?

Instructions	Scoring	Validation Note
Review a sample of recommended corrective actions identified from the investigation process. Verify these corrective actions are documented as completed. If corrective actions include administrative controls, implementation may be confirmed through documentation (e.g. training, memos, safety bulletins, etc.).	Documentation points are awarded based on the percentage of sampled corrective actions completed. For example, if there are 10 corrective actions identified, and 8 are verified as completed, divide 8/10 = 0.8 x 10 (available points) = 8 points assigned. If there have been no corrective actions required within the past 12 months, this question may be scored as n/a.	The note must include: • The number of corrective actions in the sample. • The number of corrective actions completed. • An example of a corrective action that was or was not implemented. If n/a is applied, note must include rationale.

Question	9.8 b)	Validation Method/Scoring	Observation (0–15)
Are the recommended corrective actions implemented?			

Instructions	Scoring	Validation Note
For corrective actions that are observable, award points if implementation of the corrective actions is confirmed based on observations of audited work areas.	Observation points are awarded based on the percentage of implemented observable corrective actions. If corrective actions are not observable, the observation portion of this question may be marked not applicable (n/a). For example, if the auditor samples 5 corrective actions, and 2 are not implemented, divide 3/5, 0.60 x 15 (available points) = 9 points assigned.	The note must include: • The number of corrective actions sampled for observation. • The number of corrective actions confirmed implemented or not implemented. • An example of a corrective action that was or was not implemented. If n/a is applied, note must include rationale.

Question	9.9	Validation Method/Scoring	Interview (0–10)
Are the results of investigations communicated?			

Instructions	Scoring	Validation Note
Employees must be able to describe how investigation results are communicated.	Points are awarded based on the percentage of the auditor's positive and negative findings. For example, if the auditor interviewed 2 managers 3 supervisors and 5 workers, and the results were 8 positive and 2 negative responses, divide 8/10 = 0.8 x 10 (available points) = 8 points assigned.	The note must include: • The number of interviewees that verified how investigation results are communicated. • An example of how the investigation results were communicated. • An example of a negative comment if applicable.

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10. Program Administration

The focus for this element is continuous improvement. Opportunities to make improvements may be found by evaluating the current state of the HSMS.

Total points for this Element: 70

Question	10.1	Validation Method/Scoring	Documentation (0–10)

Are health and safety records kept as per legislated requirements?

Instructions	Scoring	Validation Note
Verify required documents are maintained for a minimum of three years, or longer, if specified by legislation. Retention can be electronic or hard copies. Examples of records to sample include: • training records, • inspections, • first aid records, • incident reports, • incident investigations, and • safety meeting minutes. Points may be awarded for a policy defining the retention period for documents, if the company has not operated for three years. This should be accompanied by records for the available time period.	Divide the types of records maintained for three years by the expected number of records to be maintained. For example, if the company maintains 4 of 6 of the listed items, divide 4/6, 0.66 x 10 (available points) = 6.6 = 7 points assigned.	The note must include: • How many of the record types have been retained as required. • Any record types that do not meet the standard. • An example of how one of the record types is retained and for how long, or • How the standard has not been met.

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10. Program Administration

Question	10.2	Validation Method/Scoring	Documentation (0,10)

Does the company analyze health and safety records/statistics to identify trends?

Instructions	Scoring	Validation Note
Review documentation to confirm statistics are maintained by the employer. (e.g. first aids, medical aids, claims rates, # of inspections, # of orientations, # of safety meetings, etc.) A minimum of annual review is required. For first time certifications with less than one year of records, evaluate the data for the time period audited. Small companies with low risk or primarily administrative tasks may not produce statistically significant results. However, some form of health and safety data collection for reporting purposes must be present.	Score 10 points if health and safety records/statistics are created as per company policy. Score 0 points if requirements are not met. If the company does not have 12 months of records, a policy outlining a minimum frequency of an annual review can be used to support scoring. Records/statistics for the time period audited are required. For example, if the company policy lists a quarterly (4) requirement to compile records and statistics, and the company only completed 3 quarters within the past 12 months, the auditor would assign 0 points.	The note must include: • An example of records/statistics analyzed, and any trends identified by the employer. • Verification of annual review, or the policy if 12 months of documentation is not available. • Any items not meeting the company policy.

Question	10.3	Validation Method/Scoring	Interview (0,5)

Is senior management/management held accountable for the implementation of the HSMS?

Instructions	Scoring	Validation Note
Interview senior managers and managers to determine how they are involved in improving the performance of the HSMS (e.g. develop a health and safety plan for the upcoming year, provide resources for health and safety initiatives, etc.) and how they are held accountable.	Points are awarded based on a minimum 80% positive interview results. Otherwise, score 0. For example, if 5 of the 5 senior managers/managers interviewed responded positively, score 100% (5 points). If 3 of 5 senior managers/managers interviewed responded positively (60%), score 0 points, as the minimum of 80% was not met.	The note must include: • The number of interviewees that verified senior management participation. • An example of how senior managers participate in improving the HSMS.

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10. Program Administration

Question	10.4	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
Review policies or procedures to establish the company's requirement for continuous improvement of the Health and Safety Management System (HSMS). This could include regular COR audits, or audit options such as Action Plans or Safety Surveys.	Score 10 points if a process that meets requirements is in place. Score 0 points if requirements are not met.	The note must include: • The score awarded. • An example of a specific detail from the policy addressing the annual requirement to evaluate the HSMS; or • Justify the 0 points assigned.

Question	10.5	Validation Method/Scoring	Interview (0–10)

Have the results of the previous COR (or SECOR) audit been communicated to employees?

Instructions	Scoring	Validation Note
Interview employees at all levels to determine if the general results of the previous SECOR/COR audit or maintenance option were communicated.	Points are awarded based on the percentage of the auditor's positive and negative findings. This question may be marked not applicable (n/a) if an audit (COR/SECOR) or COR maintenance option was not performed in the previous year, which includes new COR/SECOR certifications. For example, if the auditor's interview sample includes 2 senior managers, 8 managers, 10 supervisors, and 30 workers and 35 responded positively, the auditor would score 70%.	The note must include: • The number of interviewees that verified the audit results were communicated. • An example of how the results were communicated. If n/a is applied, note must include rationale.

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10. Program Administration

Question	10.6	Validation Method/Scoring	Documentation (0,10)

Was an action plan developed to address the previous COR (or SECOR) audit findings?

Instructions	Scoring	Validation Note
Determine if an action plan was developed, based on the previous year COR or SECOR audit. This may include COR maintenance options. An action plan includes: • measurable action items, • target and completion dates, and • individuals responsible for follow-up.	Score 10 points if an action plan was created. Otherwise, score 0. This question may be marked not applicable (n/a) if an audit (COR/SECOR) or COR maintenance option was not performed in the previous year, which includes new COR/SECOR certifications.	The note must include: • The score applied. • An action item identified within the plan; or • Identify what was missing. If n/a is applied, note must include rationale.

Question	10.7	Validation Method/Scoring	Documentation (0–15)

Was the action plan implemented?

Instructions	Scoring	Validation Note
Review the action plan created from the previous year's COR (or SECOR) results. Sample the action items and supporting documents to determine they were implemented or completed.	Divide the number of action items that were completed by the total number of action items that were in the sample. For example, if the auditor sampled 4 action items, and 3 were verified complete, divide 3/4 = 0.75 x 15 (available points) = 11.25 = 11 points assigned. This question may be marked not applicable (n/a) if question 10.5 has been marked not applicable.	The note must include: • The number of action items sampled. • The number of action items completed. • An action item reviewed, referencing the supporting documents used to verify.

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Score Summary

#	Element Name	Possible Score	Element %	Minimum Standard
1	Management Commitment	80	8%	40
2	Public, Visitors and Contracted Employers	70	7%	35
3	Health and Safety Committees/ Health and Safety Representatives	70	7%	35
4	Training	150	15%	75
5	Hazard Assessment	150	15%	75
6	Hazard Control	120	12%	60
7	Inspections & Maintenance	100	10%	50
8	Emergency Response	100	10%	50
9	Investigations	90	9%	45
10	Program Administration	70	7%	35
	Total	1000	100%	

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