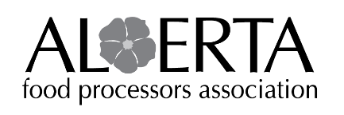
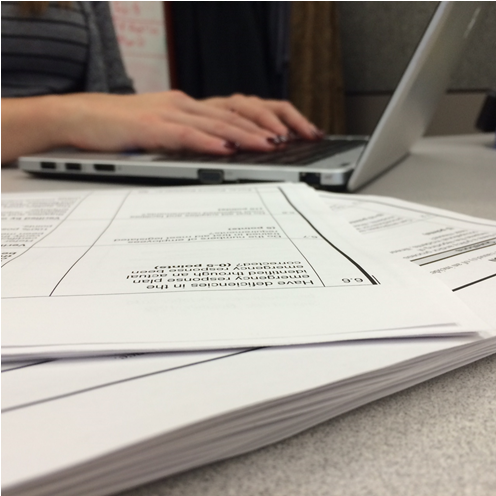
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AUDIT INSTRUMENT

PACKAGE

DOCUMENT ONLY





The **Partnerships Document Only Audit Instrument Package** is to be used during the COVID-19 global pandemic. All questions validated through interview and observations have been removed.

Auditors are encouraged to complete all components of the audit remotely, including pre/post audit meetings and documentation review.

***INTRODUCTION***

### Purpose

A Health and Safety System Audit is a comprehensive and objective review of the design and effectiveness of your health and safety system. Evaluating your health and safety system allows you to:

* Obtain valuable input from employees and others at your work site on the usability and practicality of your health and safety system.
* Review each individual component of your operation to determine how well your system is being implemented.

### Who Performs the Audit?

A Health and Safety Audit can be done by employees trained in auditing or by external, trained auditors. Note that an external, independent audit is required for achieving a Partnerships Certificate of Recognition (COR).

### Frequency of Audits

How often you audit your health and safety system may vary. The frequency will depend on:

|  |  |
| --- | --- |
| * Changes in business operations | * Staffing changes |
| * Degree of work hazards | * Past audit results |
| * Incident frequency | * COR requirements |

***Thank you for choosing the Partnerships Audit Instrument for evaluating your organization.   
If you have questions or suggestions for improvement, we encourage you to contact the Partnerships Team at (780) 415-8690 or toll free at 1-866-415-8690.***

***INSTRUCTIONS***

### How to Score

**All-or-none questions (e.g. 10 points):** In order to award points, some questions will require 100% positive indicators, while other questions may only require 70%, 80% or 90% positive indicators. . The auditor must reference each instruction to determine scoring requirements for a particular question.

**Range-of-points questions (e.g. 0-10 points)**: The auditor can award part marks based on findings in sampling. Points are awarded based on the percentage of positive indicators.

**Validation Techniques:** The auditor must validate the answer to the audit question using documentation only.

**Use of “Not Applicable” (N/A):**  In a few cases, the auditor has the option of determining that the question is "not applicable" (n/a). This option has been provided because some questions may not be applicable to every operation. 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. Auditor notes must clearly justify any "n/a" response.

**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.

**All scoring must be justified through the use of clear and complete auditor notes that:**

* clearly explain how scoring was derived
* the percentage positive indicators found
* are consistent with the notes and score awarded for other related questions

Once all audit questions have been completed and the scores determined, the total audit score can be calculated. A table for calculating the final score is provided at the end of the audit instrument.

**Steps for Completing a documentation only Audit**

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| **1.** | Pre-Audit Meeting | This is to give a brief overview of the audit process. Attendees should include appropriate senior management and labour representatives. **This can be done remotely via teleconference or using an online meeting platform.** |
| **2.** | Review Documentation | This is a review of the applicable health and safety documentation. Use the Audit Documentation Guideline included in Section E of the appendix in this package. Use the findings from the documentation review to score the appropriate audit questions. **Documents can be sent via email, or provided auditors access to employer’s online data platforms as appropriate.** |
| **3.** | Organize The Findings | Create a summary of your overall findings for the Post-Audit Meeting (Step 4). |
| **4.** | Post-Audit Meeting | The same people who attended the pre-audit meeting should be present. You will be reviewing the audit process, presenting strengths and recommendations, and answering any questions. An audit score should not be shared at the meeting. You can inform attendees that a final report, once approved through the Quality Assurance process, will be forwarded to the employer in a reasonable amount of time. **This can be done remotely via teleconference or using an online meeting platform.** |
| **5.** | Final Report | Once data gathering activities have concluded, you will prepare a final report that the organization can use for improving its health and safety system. You can use the **Audit Report Summary** template to provide a summary of all the audit findings. |

**AUDIT INSTRUMENT**

***(Audit Instrument Package)***

**Partnerships Audit Instrument**

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| **1. Management Leadership and Organizational Commitment**  Management commitment and leadership is the essential foundation for a successful occupational health and safety management system (OHSMS). Management and employees working cooperatively together is required for a health and safety system to succeed. | | | | |
| **Questions** | | **Score** | **Instructions** | **Notes** |
| 1.1 | Is there a written Health and Safety Policy signed by the current senior manager?  **(5 points)** |  | **Verified by reviewing written policy.**  To award the 5 points, the policy be signed by the current senior manager, and **must include**:   * declaration of management commitment to health and safety that addresses physical, psychological, and social well-being * general health and safety responsibilities of managers, supervisors, workers and contractors * expectation that employees will comply with applicable legislation and the organization’s own health and safety standards   Points are awarded based on 100% positive indicators from documentation. |  |
| 1.5 | Have specific health and safety responsibilities been written for all levels?  **(0-10 points)** |  | **Verified by reviewing documentation**, other than the policy (e.g. job descriptions, and health and safety manuals, staff handbooks, etc.).  There must be responsibilities written for all applicable employee levels:   * Senior Managers * Managers * Supervisors * Workers   Points awarded based on the percentage of positive indicators. |  |
| 1.12 | Does management participate in meetings where health and safety is discussed?  **(0-10 points)** |  | **Verified by review of health and safety meeting minutes.**  To award points there must be documented evidence of management participation in meetings where health and safety is on the agenda.  Points are awarded based on the percentage of positive indicators of sampled meeting minutes. |  |
|  | **Total Points Possible: 25** |  |  |  |
| Audit Score | | | | |
| Total points possible 25 - Points not applicable (N/A) = Total points  Total points scored =  (divided by) x 100 = FINAL SCORE %    Total points possible = | | | | |

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| **2. Hazard Assessment**  A **formal hazard assessment** takes a close look at the overall operations of an organization 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, can involve many people, and will require time to complete.  A **site-specific hazard assessment** (also called field-level) is performed before work starts at a site and at a site where 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 are to be eliminated or controlled right away, before work begins or continues. | | | | |
| **Questions** | | **Score** | **Instructions** | **Notes** |
| 2.1 | Have jobs been inventoried for the purpose of formal hazard assessments?  **(0-10 points)** |  | **Verified by reviewing documentation.**  Notes must include examples of the jobs/positions identified, and any that were missed.  Points are awarded based on the percentage of jobs and occupations inventoried compared to the number required as identified on staff listings or organizational charts. Sampling is not acceptable for this question. |  |
| 2.2 | Has the employer compiled a list of tasks associated with each job?  **(0-20 points)** |  | **Verified by review of formal hazard assessments.**  The various tasks associated with each occupation/job must be identified. Notes must include examples, and list any tasks that were missed.  Points are awarded based on the percentage of tasks identified for jobs in the inventory. The **maximum** score allowed for this question will be determined by the total percentage awarded in question 2.1.  For example, if only 50% of the points are awarded in question 2.1 (e.g. 5 points), then a maximum of 50% (e.g. 10 points) can be awarded in question 2.2. |  |
| 2.3 | Are health and safety hazards identified for the tasks associated with each job?  **(0-20 points)** |  | **Verified by review of formal hazard assessments** to confirm that **both** health and safety hazards have been identified for tasks where applicable. (confirmed by question 2.2).  Notes must include examples of both health and safety hazards identified. A health hazard is anything that could harm someone’s health, either immediately or over time. A safety hazard is anything that could cause injury or damage.  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.)   Provide examples.  Score: 0 - 10 points for health hazards  0 - 10 points for safety hazards  Note: All hazard categories may not be applicable to every task identified on formal hazard assessments.  Points are awarded based on the average percentage of tasks for which hazards have been identified. The **maximum** score allowed for this question will be determined by the total percentage awarded in question 2.2.  For example, if only 50% of the points are awarded in question 2.2 (e.g. 10 points), then only 50% (e.g. 10 points) can be awarded in question 2.3. The scoring maximums for both health and safety hazards would be reduced to a maximum of 5 points each for this question. |  |
| 2.4 | Have the identified health and safety hazards been evaluated according to risk?  **(0-10 points)** |  | **Verified by review of formal hazard assessments** to confirm that each hazard identified in question 2.3 has been assessed for risk to determine priority using a consistent approach of at least 2 factors (e.g. severity and likelihood). Notes must describe the system in use.  Points are awarded based on the percentage of health and safety hazards that have been assessed/prioritized.  The **maximum** percentage allowed for this question cannot exceed the percentage awarded in question 2.3. |  |
| 2.8 | Are employees designated to lead the formal hazard assessment process trained?  **(0-5 points)** |  | **Verified by review of formal hazard assessments and training records.**  Employees who lead the formal hazard assessment process (e.g. managers, supervisors, team leaders, etc.) must be trained.  Refer to completed formal hazard assessments to determine who lead employees are. Then refer to the training records to determine if these employees have completed training. Training may be done internally or by a third party provider.  Points are awarded based on the percentage of positive indicators. |  |
| 2.9 | Is there a written policy and/or process to review formal hazard assessments?  **(5 points)** |  | **Verified by review of formal hazard assessment policy and/or process.**  Documentation must confirm a requirement to review formal hazard assessments, and includes the following criteria:   * On a regular basis to keep the results up-to-date * When changes are made to the operation or work-related process * When a new work process is introduced * When site-specific hazard assessments identify a new hazard * When an inspection identifies a new hazard * When an investigation identifies a new hazard   Points are awarded based on 100% positive indicators from documentation. |  |
| 2.11 | Does the employer have a process for conducting site-specific hazard assessments when:   1. A new activity has been temporarily introduced at the work site?   **(5 points)**   1. Work is conducted at a temporary/mobile work site (whether owned by the employer or not)?   **(5 points)** |  | **Verified by review of documentation.**  A policy and/or process and procedures for conducting site-specific hazard assessments must be in place to award points for this question.  Question “a” cannot be marked not applicable (n/a).  If the employer does not have temporary/mobile work sites, question “b” may be marked not applicable (n/a). Provide justification.  Points are awarded based on 100% positive indicators from documentation. |  |
| 2.12 | Have site-specific hazard assessments been:   1. conducted before work begins on the day of the job?   **(5 points)**   1. repeated if changes are introduced?   **(5 points)** |  | **Verified by review of completed site-specific hazard assessments.**  If site specific hazard assessments were not required in the previous 12 months, this question may be marked not applicable (n/a). Provide justification.  Points are awarded based on 100% positive indicators from documentation. |  |
| 2.13 | Have controls been identified for site specific hazard assessments?  **(0-5 points)** |  | **Verified by review of documentation.**  Site-specific hazard assessment records must identify controls.  Points are awarded based on the percentage of positive indicators.  If site specific hazard assessments were not required in the last 12 months, this question may be marked not applicable (n/a). Provide justification. |  |
|  | **Total Points Possible: 95** |  |  |  |
| Audit Score | | | | |
| Total points possible 95 - Points not applicable (N/A) = Total points  Total points scored =  (divided by) x 100 = FINAL SCORE %    Total points possible = | | | | |

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| **3. 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 (i.e. elimination, substitution, guards, ventilation, sound barriers, etc.); Administrative (i.e. safe work practices, job procedures, job rotation, training, etc.); Personal Protective Equipment (i.e. eye protection, hearing protection, gloves, fire retardant coveralls, etc.). | | | | |
| **Questions** | | **Score** | **Instructions** | **Notes** |
| 3.1 | Have controls been identified for the hazards listed in the formal hazard assessments?  **(0-10 points)** |  | **Verified by review of formal hazard assessments.**  Hazard assessments must include controls for each hazard identified, including engineering, administrative, and PPE controls where applicable.  Points are awarded based on the percentage of hazards for which controls have been identified in question 2.3. The **maximum** percentages allowed for this question will be determined by the percentage awarded in question 2.3.  See question 2.3 for an example on calculating score. |  |
| 3.3 | Have the identified administrative controls been implemented?  **(0-20 points)** |  | **Verified by review of documentation**  Refer to question 3.1 obtain a sample of administrative controls to verify through a review of documentation.  Auditors must include high hazard items in the sample to verify they have been given priority.  Points are awarded based on the percentage of administrative controls sampled from the formal hazard assessments that have been verified through documentation. |  |
| 3.8 | Is there a process in place for preventative maintenance of equipment, vehicles, facilities, and tools?  **(5 points)** |  | **Verified by review of policy and/or process documents.**  Documentation must include a policy and/or process requiring ongoing preventative maintenance for vehicles, equipment, facilities, and tools. (e.g.: overhead doors, cranes, localized ventilation, forklifts, power tools, etc.). There must be maintenance schedules where applicable.  Points are awarded based on 100% positive indicators from documentation. |  |
| 3.9 | Is the preventative maintenance process in use?  **(0-5 points)** |  | **Verified by review of documentation.**  Documentation must confirm that preventative maintenance is being performed according to the schedule as identified in question 3.8.  Points are awarded based on the percentage of positive indicators. |  |
| 3.11 | Is there a written Violence Prevention Policy as per legislative requirements?  **(5 points)** |  | **Verified by review of documentation**  As part of an employer’s violence prevention plan, a policy must be in place that includes (but is not limited to):   * commitment to eliminating or controlling the violence * responsibility to investigate any incidents of violence * commitment to maintain confidentiality of personal information of those involved, where appropriate. * statement that the policy is not intended to discourage a worker from exercising their rights   **Points are awarded based on 100% positive indicators.** |  |
| 3.12 | Are there Violence Prevention Procedures written as per legislative requirements?  **(5 points)** |  | **Verified by review of documentation**  As part of an employer’s violence prevention plan, a procedure must be in place that includes (but is not limited to):   * the hazards related to specific, general, or potential violence * eliminating or controlling the hazard of violence * how to obtain immediate assistance when an incident of violence occurs * how to report violence * investigating an incident of violence, and implementing controls as appropriate * informing the parties involved of the results of the investigation, and corrective actions.   **Points are awarded based on 100% positive indicators** |  |
| 3.14 | Is there a Harassment prevention policy as per legislative requirements?  **(5 points)** |  | **Verified by review of documentation**  Documentation must confirm the Harassment Prevention policy includes the following criteria:   * commitment to eliminating or controlling the harassment * responsibility to investigate any incidents of harassment and take corrective actions * commitment to maintain confidentiality of personal information of those involved where appropriate. * statement that the policy is not intended to discourage a worker from exercising their rights   **Points are awarded based on 100% positive indicators** |  |
| 3.15 | Are there Harassment Prevention Procedures written as per legislative requirements?  **(5 points)** |  | **Verified by review of documentation**  Documentation must confirm there are Harassment Prevention procedures written for the following   * how to report harassment * documenting, investigating and preventing harassment * informing the parties involved of the results of the investigation, and corrective actions.   **Points are awarded based on 100% positive indicators** |  |
| 3.17 | Have the Violence and Harassment Policies and Procedures been reviewed?  **(5 points)** |  | **Verified by review of documentation**  The violence and harassment policies and procedures must be reviewed:   * when an incident occurs related to violence and/or harassment; or * if the HSC or HS representative recommend a review; or * at least every 3 years.   **Points are awarded based on 100% positive indicators** |  |
|  | **Total Points Possible: 65** |  |  |  |
| Audit Score | | | | |
| Total points possible 65 - Points not applicable (N/A) = Total points  Total points scored =  (divided by) x 100 = FINAL SCORE %  Total points possible = | | | | |

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| **4. Joint Work Site Health and Safety Committees (HSC) and Health and Safety Representatives (HS representatives)**  Joint Work Site Health and Safety Committees are a key element of the internal responsibility system. It brings work site parties together to work on topics such as hazard identification and control, investigation of health and safety incidents, and responding to reports of dangerous work. If the employer has 1-4 employees as determined through the audit scope, this element may be marked not applicable. | | | | |
| **Questions** | | **Score** | **Instructions** | **Notes** |
| 4.1 | Do the terms of reference for the HSC include all legislated requirements?  **(5 points)** |  | **Verified by review of documentation.**  A terms of reference for the HSC must include:   * Memberships structure requirements * Membership succession strategy * Committee dispute resolution process * Coordinating with the employer’s other work site HSCs or representatives * Meeting frequencies * Meeting quorum * Reporting to management * Term of office * Training requirements for co-chairs and members * Worker confidentiality   Points are awarded based on 100% indicators from documentation.  If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification. |  |
| 4.2 | Does a policy or procedure include all legislated requirements for an HS representative?  **(5 points)** |  | **Verified by review of documentation.**  A policy or procedure for the HS representative(s) must include:   * Requirement to appoint a representative(s) * Reporting to management * Term of office * Training Requirements   Points are awarded based on 100% indicators from documentation.  If the employer is only required to have an HSC, this question may be marked not applicable (n/a). Provide justification. |  |
| 4.3 | Has the HSC been established as required in the terms of reference?  **(5 points)** |  | **Verified by review of documentation**  Review terms of reference and meeting minutes to determine there is an established HSC.  Points are awarded based on 100% indicators from documentation.  If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification. |  |
| 4.4 | Has a HS representative been appointed?  **(5 Points)** |  | **Verified by review of documentation.**  Review any policies, procedures, meeting minutes or documentation that can verify that the HS representative has been appointed as per legislated requirements.  Points are awarded based on 100% indicators from documentation.  If the employer is only required to have an HSC, this question may be marked not applicable (n/a). Provide justification. |  |
| 4.5 | Have duties been written for the HSC and/or HS representative(s)?  **(5 Points)** |  | **Verified by review of documentation.**  Duties of the HSC and/or HS representative(s) must be written and **must** include:   * Responding to workers health and safety concerns and complaints * Participating in hazard and control identification * Developing and promote health and safety education and training * Conducting inspections of the work site * Participation in investigations * Developing and promoting health and safety measures, and check effectiveness * Making recommendations to improve the health and safety management system * Maintaining records pertaining to the committee associated with the above duties   Points are awarded based on 100% positive indicators from documentation |  |
| 4.6 | Have the HSC members and/or the HS representative(s) been trained in their duties and responsibilities?  **(0-10 points)** |  | **Verified by review of documentation.**  Review training records for committee members and/or the HS Representative(s).  Points are awarded based on percentage of positive indicators. |  |
| 4.9 | Is there a policy or procedure in place for the HSC and/or HS representative(s) to address employee concerns related to the health and safety system?  **(5 points)** |  | **Verified by review of documentation.**  There must be a policy or procedure in place for the receipt, consideration, and disposition of concerns and complaints regarding the health and safety of workers.  Points are awarded based on 100% positive indicators from documentation. |  |
| 4.12 | Are health and safety concerns/complaints resolved in a timely manner?  **(0-5 Points)** |  | **Verified by review of documentation.**  Consider the complexity of the concerns/complaints to determine timeliness.  Points are awarded based on percentage of positive indicators.  This question may be marked “n/a” if there were no concerns/complaints in the previous 12 months. Provide justification. |  |
| 4.13 | Does the HSC hold meetings as identified in the terms of reference?  **(0-5 Points)** |  | **Verified by review of documentation.**  Review committee meeting minutes to confirm the meeting frequency is being met as per the HSC Terms of Reference. HSC meetings must be held at least quarterly.  Points are awarded based on percentage of positive indicators from documentation.  If the employer is only required to have a HS Representative(s), this question may be marked not applicable (n/a). Provide justification. |  |
| 4.14 | Are formal inspections completed prior to HSC meetings?  **(0-5 points)** |  | **Verified by review of documentation.**  There should be a connection between formal inspections and the HSC meetings. Inspection frequencies should not be limited by HSC meeting frequencies; however, an inspection(s) must take place prior to each scheduled HSC meeting.  Points are awarded based on percentage of positive indicators from documentation.  If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification. |  |
|  | **Total Points Possible: 55** |  |  |  |
| Audit Score | | | | |
| Total points possible 55 - Points not applicable (N/A) = Total points  Total points scored =  (divided by) x 100 = FINAL SCORE %  Total points possible = | | | | |

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| **5. Qualifications, Orientation and Training**  Qualifications, orientations and training are essential to ensure employees perform their job tasks in a safe and healthy manner. An employer is responsible to ensure the employee is competent. | | | | |
| **Questions** | | **Score** | **Instructions** | **Notes** |
| 5.1 | Is there a process to ensure employees are qualified for the position for which they are being considered?  **(5 points)** |  | **Verified by review of documentation.**  A process must exist that requires a check for qualifications required for the job/tasks (e.g. degrees, diplomas, certificates, trade certificates, apprenticeship program, diplomas, driver’s licenses, etc.).  Points are awarded based on 100% positive indicators from documentation. |  |
| 5.2 | Does the orientation process cover OHS rights, and critical health and safety information prior to starting regular duties?  **(5 points)** |  | **Verified by review of documentation.**  The OHS rights, and critical health and safety information must be reviewed with the employee prior to beginning regular duties. These must, at minimum include:   * Right to know * Right to participate * Right to refuse dangerous work * Emergency response procedures * Rules of enforcement * Critical hazards * Hazard reporting * Incident reporting   Points are awarded based on 100% positive indicators from documentation. |  |
| 5.4 | Are managers/supervisors provided with training to support them in their role?  **(0-5 points)** |  | **Verified by review of training documents.**  Managers/supervisors must be provided training specific to their role (e.g. incident investigation, hazard identification, communications, conducting meetings, supervisory techniques, enforcement and discipline, legislation, etc.).  To confirm which training is deemed appropriate to their role, refer to employer’s defined roles and responsibilities in question 1.5, job descriptions, job competencies, etc. Provide examples.  Documentation points are awarded based on percentage of positive indicators. |  |
| 5.5 | Do employees receive job-specific training when they are a new employee, assigned new tasks, or when an operational change affects their work?  **(0-10 points)** |  | **Verified by review of training documents.**  Employees must be trained in the hazards and controls associated with their job. Examples may include a combination of reviewing policies, procedures, practical demonstrations, safe work practices, hazard assessments and training (e.g. WHMIS 2015, Confined Space Entry, TDG, tasks specialized to the employer, using specialized tools and equipment, etc.). Provide examples.  Documentation points are awarded based on percentage of positive indicators. |  |
| 5.8 | Are competency assessments conducted?  **(0-5 points)** |  | **Verified by reviewing documentation.**  Verify that competency assessments are being conducted as identified by the employer. Refer to question 5.7.  Points are awarded based on the percentage of positive indicators. |  |
| 5.9 | Is required refresher training provided?  **(0-10 points)** |  | **Verified by reviewing documentation.**  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. Employers must document any refresher training requirements, and ensure schedules are met.  Points are awarded based on the percentage of positive indicators. |  |
|  | **Total Points Possible: 40** |  |  |  |
| Audit Score | | | | |
| Total points possible 40 - Points not applicable (N/A) = Total points  Total points scored =  (divided by) x 100 = FINAL SCORE %  Total points possible = | | | | |

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| **6. Other Parties at or in the Vicinity of the Work Site**  Other employers, and/or self-employed persons, visitors, and external worksite parties must be included in the employer’s health and safety management system.  **This element may not be marked not applicable.** | | | | |
| **Question** | | **Score** | **Instruction** | **Notes** |
| 6.1 | Is a policy and/or process is in place to address the protection of others not under the employer’s direction?  **(10 points)** |  | **Verified by review of documentation.** The policy and/or process must take into account the protection of other workers not under the employer’s direction, visitors and other persons in the vicinity of work that is being carried out. Points are awarded based on 100% positive indicators from documentation. |  |
| 6.2 | Is a process is in place that includes criteria for evaluating and selecting other employers and/or self-employed persons  **(5 points)** |  | **Verified by review of documentation.**  An employer must identify what requirements they use to evaluate and select other employers and/or self-employed persons in order to allow them to conduct work at the employer’s work site.  Points are awarded based on 100% positive indicators from documentation.  If the auditor can confirm the audited employer does not use other employers and/or self-employed persons, this question may be marked not applicable (n/a). Provide justification. |  |
| 6.3 | Is a policy and/or process in place that includes a system for monitoring other employers and/or self-employed persons  **(5 points)** |  | **Verified by review of documentation.**  A process to monitor health and safety performance and correct identified deficiencies is in place for other employers and/or self-employed persons during the period of the contracted services.  Points are awarded based on 100% positive indicators from documentation. If the auditor can confirm the audited employer does not use other employers and/or self-employed persons, this question may be marked not applicable (n/a). Provide justification. |  |
| 6.4 | Are health and safety orientations provided to:   1. Visitors?   **(10 points)**   1. Other employers and/or self-employed persons?   **(5 points)** |  | **Verified by review of documentation.**  Confirm orientations are provided to other employers and/or self-employed persons, and visitors (e.g. visitor logs, contractor sign off, etc.)  Points are awarded based on 100% positive indicators from documentation.  If the auditor can confirm 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). Provide justification. |  |
| 6.8 | Is a process in place to address non-compliance of other employers and/or self-employed persons under the direction of the contracting employer?  **(5 Points)** |  | **Verified by review of documentation.**  The contracting employer must have a process to deal with other employers and/or self-employed persons when there is non-compliance to the employer’s OHSMS.  Points are awarded based on 100% positive indicators from documentation.  If the auditor can confirm the audited employer does not use other employers and/or self-employed persons, this question may be marked not applicable (n/a). Provide justification. |  |
|  | **Total Points Possible: 40** |  |  |  |
| Audit Score | | | | |
| Total points possible 40 - Points not applicable (N/A) = Total points  Total points scored =  (divided by) x 100 = FINAL SCORE %  Total points possible = | | | | |

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| **7. Inspections**  The formal inspection process can proactively identify new potential hazards, as well as confirm the effectiveness of controls already in place. | | | | |
| **Questions** | | **Score** | **Instructions** | **Notes** |
| 7.1 | Is there an inspection policy and/or process that states the frequency of inspections and includes the following:   1. All areas of the operation?   **(0-5 points)**   1. All employee levels?   **(0-5 points)** |  | **Verified by review of inspection policy and/or process.**  a. The frequency is established by the employer based on the level of risk. Different inspection frequencies for different areas may be established. For example, a shop may require more inspections than the administrative office. Inspection policies and/or processes must include the frequency of inspections for each area.  b. Participation by all levels (m/s/w) is not expected for every inspection, but each level should be assigned some responsibility in the inspection process in order to award points for all parts of this question.  Depending on the size or nature of the organization, one or more employee levels may be not applicable (n/a). Provide justification.  Points are awarded based on percentage positive indicators from documentation. |  |
| 7.2 | Are checklists or forms used for formal inspections?  **(5 points)** |  | **Verified by review of completed inspection checklists or forms.** An inspection checklist or form customized to the scope of the inspection must be in place and in use. Checklists may be work site, department, operation-specific, employee observation, etc.  Points are awarded based on 100% positive indicators from documentation. |  |
| 7.3 | Have individuals leading formal inspections received training?  **(0-10 points)** |  | **Verified by review of inspection and training records.**  Identify employees leading inspections, and verify they have completed training.  Points are awarded based on percentage positive indicators from documentation. |  |
| 7.4 | Are formal inspections carried out in accordance with the policy and/or process by:   1. Managers?   **(0-5 points)**   1. Supervisors?   **(0-5 points)**   1. Workers?   **(0-5 points)** |  | **Verified by review of inspection records.**  Records must show participation from each level, and the frequency stated in the policy and/or process is being met (question 7.1).  To award points for part “a” of this question, there must also be documented evidence that inspections conducted by management include a component of employee observation (behaviours and conditions).  Points are awarded based on percentage positive indicators from documentation |  |
|  | **Total Points Possible: 40** |  |  |  |
| Audit Score | | | | |
| Total points possible 40 - Points not applicable (N/A) = Total points  Total points scored =  (divided by) x 100 = FINAL SCORE %  Total points possible = | | | | |

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| **8. Emergency Response**  An emergency response plan helps ensure appropriate and efficient actions will take place in the event of an emergency or disaster. | | | | | | | | | | | |
| **Questions** | | | | **Score** | | **Instructions** | | **Notes** | | | |
| 8.1 | | Have written emergency response plans been developed for potential emergencies?  **(0-10 points)** | |  | | **Verified by review of emergency response plans applicable to the operations.**  Emergency response plans should be specific to the employer. Examples of potential emergencies to consider could include:   * Fire * Severe weather * Medical emergencies * Hazardous materials release * Violence * Suspicious persons * And other situations appropriate for the nature of the work being performed   Provide examples of emergencies identified.  Points are awarded based on the percentage of positive indicators. | |  | | | |
| 8.2 | | Do written emergency response plans include:   1. Communication systems?  **(2 points)** 2. Emergency phone numbers?  **(2 points)** 3. List of emergency response personnel?   **(2 points)**   1. Appropriate Response?   **(2 points)**   1. Monitoring the effectiveness of the plan? **(2 points)** | |  | | **Verified by review of emergency response plans and/or procedures.**   1. Communication systems include alarms, procedures for contacting both internal and external emergency contacts, etc. 2. Emergency phone numbers must include more than “9-1-1.” 3. A list of persons designated to respond to specific types of emergencies. 4. Appropriate employee response procedures must be written for all potential emergencies that require them (e.g. Evacuation, lockdown, muster point, shelter in place, equipment, etc.). 5. A requirement to monitor the effectiveness of the plan through drills and actual responses.   Notes must include examples of auditor findings to support the scores for each part of the question.  Points are awarded based on 100% positive indicators from documentation. | |  | | | |
| 8.5 | | Are emergency response drills conducted?  **(0-10 points)** | |  | | **Verified by review of records.**  Records of drills must be kept. Drills are *required* at least once every 12 months applicable to the operations. If records cannot be found from the past 12 months, points cannot be awarded.  An emergency response drill could include a practice drill or table top exercise. (e.g. evacuation, lockdown, shelter in place, etc.).  A drill type may cover multiple emergency response plans. For example, an evacuation drill might address multiple scenarios including a fire, hazardous material release, bomb threat, etc.  **Actual emergency responses cannot be used as a drill for scoring this question.**  Points are awarded based on the percentage of positive indicators. | |  | |
| 8.6 | | Have deficiencies in the emergency response plan identified through a drill been corrected?  **(0-5 points)** | |  | | **Verified by review of documentation.**  Review drill records, meeting minutes, etc. for documented deficiencies. Confirm any corrective action(s) were completed.  Notes must contain examples of the findings from records of drills, and how deficiencies were corrected.  Points are awarded based on percentage of positive indicators.  This question may be marked not applicable (n/a) only if deficiencies were not identified from drills. Provide justification.  If points have not been awarded in question 8.5, then 0 points must be awarded for this question. | |  | |
| 8.7 | | Have deficiencies in the emergency response plan identified through an actual emergency response been corrected?  **(0-5 points)** | |  | | **Verified by review of emergency response documentation.**  Notes must contain examples of how identified issues were corrected.  Points are awarded based on percentage of positive indicators.  If an actual emergency response has not occurred, or deficiencies were not noted in the past 12 month period, the question may be marked not applicable (n/a). Provide justification. | |  | |
| 8.8 | | Do the numbers of employees trained in first aid meet legislated requirements?  **(5 points)** | |  | | **Verified by review of documentation.**  Refer to legislation and review first aid certificates. To award points, the auditor must verify that legislated first aid requirements have been met across all shifts.  Points are awarded based on 100% positive indicators from documentation. | |  | |
|  | | **Total Points Possible: 45** | |  | |  | |  | |
| Audit Score | | | | | | | | | |
| Total points possible 45 - Points not applicable (N/A) = Total points  Total points scored =  (divided by) x 100 = FINAL SCORE %  Total points possible = | | | | | | | | | |
| **9. Incident Investigation**  Investigations determine the cause(s) of an incident, and the corrective action(s) required to prevent a recurrence. | | | | | | | | | |
| **Questions** | | | | | **Score** | | **Instructions** | | **Notes** |
| 9.1 | | Is there a policy and/or process that requires the reporting of incidents (including near miss), occupational illness, and work refusals?  **(5 points)** | | |  | | **Verified by review of documentation.**  A policy and/or process must require the reporting of incidents (including near miss), occupational illness, and work refusals to award full points. These must include both internal and external reporting (e.g. OHS, WCB, etc.).  Points are awarded based on 100% positive indicators from documentation. | |  |
| 9.3 | | Do employees report incidents, occupational illnesses and work refusals?  **(5 points)** | | |  | | **Verified by review of documentation.**  Review completed incident, occupational illness, and work refusal reports that support reporting is taking place.  Points are awarded based on 70% positive indicators from documentation.  This question may be marked not applicable (n/a) if there were no incidents in the previous 12 months. Provide justification. | |  |
| 9.4 | | Do employees report near misses?  **(5 points)** | | |  | | **Verified by review of documentation.**  Review completed near miss reports to support that reporting is taking place.  Points are awarded based on 70% positive indicators from documentation.  If the employer is considered low hazard or does not have field sites AND did not have a near miss in the previous 12 months, this question may be marked not applicable (n/a)**.** Provide justification. | |  |
| 9.5 | | Is there a procedure for investigating incidents (including near miss), occupational illness, and work refusals?  **(5 points)** | | |  | | **Verified by review of documentation.**  The procedure must include:   * how to investigate incidents (near misses), occupational illness, work refusals * how to identify root causes * the requirement to implement corrective actions   Points are awarded based on 100% positive indicators from documentation. | |  |
| 9.6 | Have the individuals leading investigations been trained in investigation techniques?  **(0-5 points)** | | |  | | **Verified by review of completed investigation records and training records.**  Review training records of individuals who have completed investigation reports and confirm they have received training.  Points are awarded based on the percentage of positive indicators. If third party investigators are brought in, full points may be awarded, but documented evidence of this must exist. | |  |
| 9.9 | Do investigations:   1. Identify root causes?   **(0-5 points)**   1. Recommend corrective actions?   **(0-5 points)** | | |  | | **Verified by reviewing completed investigation reports.**   1. Investigations must identify the root causes resulting from deficiencies in the health and safety system. 2. Corrective actions must be designed to implement system changes that will prevent reoccurrence. (e.g. Advising employees to “be more careful” is not an acceptable corrective action.)   Points are awarded based on the percentage of reviewed investigation reports that identify causes and recommend corrective action.  If there have been no investigations conducted in the previous 12 months, refer to blank investigation forms or the investigation process. | |  |
| 9.10 | Are corrective actions identified in investigation reports implemented to prevent reoccurrence?  **(0-5 points)** | | |  | | **Verified by review of documentation.**  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 corrective actions reviewed that are implemented. | |  | |
| 9.11 | Are investigations completed in a timely manner?  **(0-5 points)** | | |  | | **Verified by review of investigation reports.**  Consider the complexity of the investigation to determine timeliness (i.e. length of time that the investigations were completed in relation to the date of the incident).  Points are awarded based on percentage of positive indicators. | |  | |
| 9.12 | Do managers/supervisors ensure investigations are complete as required by the investigation procedures?  **(0-5 points)** | | |  | | **Verified by review of investigation reports.**  Investigation reports should be complete, including identifying causes and corrective actions as outlined in the investigation procedure verified in question 9.5.  Points are awarded based on percentage of positive indicators. | |  | |
|  | | **Total Points Possible: 50** | |  | |  | |  | |
| Audit Score | | | | | | | | | |
| Total points possible 50 - Points not applicable (N/A) = Total points  Total points scored =  (divided by) x 100 = FINAL SCORE %  Total points possible = | | | | | | | | | |

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| **10. System Administration**  System administration provides an evaluation of the overall effectiveness of the occupational health and safety management system (OHSMS). | | | | | | |
| **Questions** | | | **Score** | **Instructions** | **Notes** | |
| 10.3 | | Are health and safety records/statistics analyzed to identify trends on at least an annual basis? **(10 points)** |  | **Verified by review of documentation.**  Notes must provide examples of the records/statistics being analyzed, and any trends/gaps identified by the employer.  Points are awarded based on 70% positive indicators from documentation. |  | |
| 10.5 | | Is an OHSMS evaluation or action plan completed at least annually?  **(5 points)** |  | **Verified by review of previous evaluations.**  Evaluations or action plans must be completed annually to support continuous improvement.  Points are awarded based on 100% positive indicators from documentation.  If this is the employer's first health and safety evaluation, this question may be marked not applicable (n/a). Provide justification. |  | |
| 10.7 | | Was a plan developed to address identified OHSMS deficiencies from the previous evaluation?  **(0-5 points)** |  | **Verified by review of documentation.**  To award points for this question, a plan must have been developed to address deficiencies identified in the past year.  A plan format may include:   * measureable action items, * completion dates, and * individuals responsible for follow-up.   If this is the employer's first health and safety evaluation, this question may be marked not applicable (n/a). Provide justification. |  | |
| 10.8 | | Has the plan been implemented?  **(0-10 points)** |  | **Verified by review of documentation.**  Verify if the items identified in question 10.7 have been initiated or implemented.  Points awarded are based on the percentage of items initiated and/or completed on the plan.  This question may be marked not applicable (n/a) if question 10.7 has been marked not applicable. Provide justification. |  | |
|  | **Total Points Possible: 30** |  |  |  | |
| Audit Score | | | | |
| Total points possible 30 - Points not applicable (N/A) = Total points  Total points scored =  (divided by) x 100 = FINAL SCORE %  Total points possible = | | | | |

**SUMMARY SCORE SHEET**

**Employer Name**:

**Date of Audit**:

**Lead Auditor**:

**Additional Auditor(s):**

**Scope of Audit**: **WCB Number**­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Industry Code(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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| **Element Number** | **Total Points Possible** | **Points not Applicable (N/A)** | **Total Points**  **Available** | **Total Points Scored** | **Percentage** |
| **1. Management Leadership and Organizational Commitment** | **25** |  |  |  |  |
| **2. Hazard Assessment** | **95** |  |  |  |  |
| **3. Hazard Control** | **65** |  |  |  |  |
| **4. Joint Work Site Health and Safety Committee and/or Health and Safety Representatives** | **55** |  |  |  |  |
| **5. Qualifications, Orientation and Training** | **40** |  |  |  |  |
| **6. Other Parties at or in the Vicinity of the Work Site** | **40** |  |  |  |  |
| **7. Inspections** | **40** |  |  |  |  |
| 1. **Emergency Response** | **45** |  |  |  |  |
| 1. **Incident Investigation** | **50** |  |  |  |  |
| 1. **System Administration** | **30** |  |  |  |  |
| **Total Audit Points** | **485** |  |  |  |  |

**AUDIT REPORT SUMMARY**

***(Audit Instrument Package)***

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| --- | --- | --- | --- |
| Partnerships  **HEALTH & SAFETY SYSTEM AUDIT SUMMARY SHEET** | | | |
| Employer Legal Name (as registered with WCB): | | | |
| Employer Trade Name (if applicable): | | | |
| Address: | | | |
| WCB Account(s) in scope: | | | Industry Code(s) in scope: |
| Facilities/Work Sites in scope: | | | |
| Contact Person: | | | Phone Number: |
| Fax Number: | | | Email: |
| Lead Auditor Name: | | | Auditor Certification: |
| Auditor Company & Address: | | | Auditor Phone Number: |
| Auditor Fax: | | | Auditor Email: |
| Audit Start Date: | | | Audit End Date: |
| Audit Purpose (external, internal, auditor qualification): | | | |
| **Audit Team** | | | |
| **Auditor Name** | **Auditor Type** (internal/external/corporate) | **Certification Number/**  **\*Training Date** | |
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*\*Training date if audit team member is not a certified auditor.*

1. **Management Leadership and Organizational Commitment**

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| **Element Score:** |  | **%** | **Total Points:** |  | **Point Scored:** |  |
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| **Existing Strengths:** | | | | | | |
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| **Suggestions for Improvements:** | | | | | | |
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**2. Hazard Assessment**

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| **Element Score:** |  | **%** | **Total  Points:** |  | **Point Scored:** |  |
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| **Existing Strengths:** | | | | | | |
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| **Suggestions for Improvements:** | | | | | | |
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**3. Hazard Control**

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| **Element Score:** |  | **%** | **Total  Points:** |  | **Point Scored:** |  |
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| **Existing Strengths:** | | | | | | |
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| **Suggestions for Improvements:** | | | | | | |
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**4. Joint work site health and safety committee (HSC) and health and/or Safety Representatives (HS representatives)**

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| **Element Score:** |  | **%** | **Total  Points:** |  | **Point Scored:** |  |
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| **Existing Strengths:** | | | | | | |
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| **Suggestions for Improvements:** | | | | | | |
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**5. Qualifications, Orientation and Training**

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| **Element Score:** |  | **%** | **Total  Points:** |  | **Point Scored:** |  |
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| **Existing Strengths:** | | | | | | |
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| **Suggestions for Improvements:** | | | | | | |
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**6. Other Parties at or in the Vicinity of the Work Site**

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| **Element Score:** |  | **%** | **Total  Points:** |  | **Point Scored:** |  |
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| **Existing Strengths:** | | | | | | |
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| **Suggestions for Improvements:** | | | | | | |
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**7. Inspections**

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| **Element Score:** |  | **%** | **Total  Points:** |  | **Point Scored:** |  |
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| **Existing Strengths:** | | | | | | |
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| **Suggestions for Improvements:** | | | | | | |
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**8. Emergency Response**

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| **Element Score:** |  | **%** | **Total  Points:** |  | **Point Scored:** |  |
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| **Existing Strengths:** | | | | | | |
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| **Suggestions for Improvements:** | | | | | | |
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**9. Incident Investigation**

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| **Element Score:** |  | **%** | **Total  Points:** |  | **Point Scored:** |  |
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| **Existing Strengths:** | | | | | | |
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| **Suggestions for Improvements:** | | | | | | |
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**10. System Administration**

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| **Element Score:** |  | **%** | **Total  Points:** |  | **Point Scored:** |  |
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| **Existing Strengths:** | | | | | | |
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| **Suggestions for Improvements:** | | | | | | |
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**APPENDICES**

***(Audit Instrument Package)***

**Document List**

This list has been developed directly from the Partnerships audit instrument. Examples of specific types of documentation that may be used for validation are listed.

| **Questions** | **Documentation to Review** |
| --- | --- |
| 1.1 | Health and Safety Policy. |
| 1.5 | Written statement of responsibilities, job descriptions, employee contracts, and manuals, staff handbooks, etc. |
| 1.12 | Health and Safety meeting minutes. |
| 2.1 | Inventory of job positions, task or job inventories. |
| 2.2, 2.3, 2.4 3.1, | Completed formal hazard assessment forms. These may be titled formal hazard assessments, job safety analysis, etc.  Note that site specific hazard assessments cannot be used to score these questions. |
| 2.8 | Training records of individuals conducting formal hazard assessments. Course material for hazard assessment training. |
| 2.9 | Formal hazard assessment policy and/or process. |
| 2.11 | Documents outlining the policy/process and procedure for conducting site specific hazard assessments. |
| 2.12, 2.13 | Completed site specific hazard assessments. |
| 3.3 | Completed formal hazard assessment forms, job procedures, work practices, rules, job schedule or rotation of workers, training records. |
| 3.8 | Documents outlining the policy and/or process for the preventative maintenance process. |
| 3.9 | Preventative maintenance records of equipment, tools, and PPE. Work order records, defective equipment tags, written procedures/policy regarding the removal of defective equipment. |
| 3.11, 3.12, 3.17 | Violence Prevention Plan that includes policies and procedures |
| 3.14, 3.15, 3.17 | Harassment Prevention Plan that includes policies and procedures |
| 4.1, 4.2, 4.3, 4.4, 4.9, 4.13 | HSC and/or HSR policies, procedures, terms of reference, meeting minutes, etc. |
| 4.5 | Written statement of the HSC and/or HS representative duties and responsibilities |
| 4.6 | Training records of HSC members and/or HS representatives |
| 4.9 | HSC meeting minutes |
| 4.12 | Documentation that supports corrective action were completed in a timely manner, e.g. feedback forms, emails, HSC meeting minutes, communications, etc. |
| 4.14 | Meeting minutes and formal inspections |
| 5.1 | Application forms (blank), hiring records, training records, copies of trade certificates/diplomas/degrees, proof of apprenticeship program, driver’s license, etc. |
| 5.2, | Orientation records, orientation checklist, orientation package/contents. |
| 5.4, 5.5, 5.9 | Department/job specific training material and training records. |
| 5.8 | Completed competency assessments. |
| 6.1 | Policy and/or process to address the protection of others not under the employer’s direction. |
| 6.2, 6.3 | Policy and/or process for monitoring, evaluating and selecting other employers and/or self-employed persons |
| 6.4 | Orientation records, orientation checklist, orientation package/contents for visitors, other employees and/or self-employed persons. |
| 6.8 | Process for non-compliance of other employers and/or self-employed persons at the work site. |
| 7.1 | Health and Safety Policy and Procedures Manual, Inspection Policy and/or Process, inspection records, inspection schedule. |
| 7.2 | Inspection checklist (blank and completed), inspection reports. |
| 7.3 | Training records of individuals designated to conduct inspections. |
| 7.4 | Completed inspection reports, checklists, or forms. |
| 8.1 | Emergency Response Plans and/or Procedure |
| 8.2 | Emergency Response Plan and/or Procedure |
| 8.5 | Emergency Response drill records, minutes of meetings, emergency response table-top review exercises. |
| 8.6 | Drill - Emergency response records, minutes of meetings documenting review of drills, documents outlining corrective action or change in procedure as a result of the drills. |
| 8.7 | Actual Emergency - Response records, minutes of meetings documenting review of actual emergencies, documents outlining corrective action or change in procedure as a result of the actual emergency. |
| 8.8 | First aid regulations, first aid certificates, first aid training records, shift schedules of certified first aiders. |
| 9.1, 9.5 | Incident reporting procedure and/or process, reporting form (blank/completed). |
| 9.3, 9.9 | Completed incident investigation forms |
| 9.4 | Completed near miss and incident forms. |
| 9.5 | Incident investigation procedures. |
| 9.6 | Training records of individuals conducting investigations, investigation training course material. |
| 9.9, 9.10, 9.11, 9.12 | Investigation report forms (completed), investigation reports, memos outlining implementation of corrective action, minutes of meetings outlining results of investigation. |
| 10.3 | Company specific monthly, quarterly or annual health and safety reports, analysis of injury reports, graphical reports of health and safety statistics to show trends. |
| 10.5 | Previous health and safety system evaluations. |
| 10.7, 10.8 | Health and safety action plans. |