

Health and Safety Standard National Audit Document

Construction Safety Network

Construction Safety Network (CSN)

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

Acknowledgements

The Construction Safety Network with the assistance of the Canadian Federation of Construction Safety Associations, specifically the Alberta Construction Safety Association developed this audit document. Their collective input and dedication to the issues is greatly appreciated by the CSN.

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1. Instructions for Completing the Health and Safety Audit Document

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

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

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

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

2. The Audit Process

There are three phases in the process. Each phase has several activities.

A. Audit Preparation:

- Inform participants
- Locate background material
- Gather tools
- Familiarization tour
- Pre-Audit meeting

B. Performing the Audit:

- **Step 1** – Health & safety program review (Manual and Documentation)
- **Step 2** – Detailed audit (Observation and Interviews)
- **Step 3** – Summarizing results

C. Summarizing the Audit:

- Close-out meeting
- Auditor executive summary



A. Audit Preparation

Planning in advance saves time and energy. Before the audit begins, follow the steps below:

i. Inform Participants

The auditor should contact the company to verify the following points:

- The date, time, and location of the pre-audit meeting
- The names of the people that should be in attendance at the pre-audit meeting
- The availability of the audit document
- The date, time, and location of audit
- The company activity the day of the audit
- The number of workers/managers currently employed in order to determine interview or sample size
- The personnel designated as an escort while the auditor is on site
- Site orientation requirements
- The name of the person designated as the key contact for the company
- The availability of a quiet, comfortable area for interviews
- The personal protective equipment (PPE) required
- The availability of the company health and safety manual for review
- The availability of records for review (health and safety meetings, orientations, inspections, etc.)

ii. Locate Background Material

Get as much background information as possible about the company that will be audited. Look for things such as:

- A written description of the organization
- An organizational chart
- The previous action plan (if available)

iii. Gather Tools

Gather the tools you will need to perform the audit:

- Note paper and pens
- Appropriate personal protective equipment
- Copies of the most current applicable health and safety legislation
- The standard national audit document and interview questions



iv. Familiarization Tour

Arrange for a tour of the site(s). Ensure that you have a knowledgeable company employee to escort you.

v. Pre-Audit Meeting

The auditor should arrange to meet the company representatives prior to the audit to address the following items:

- The confidentiality of the auditor (code of ethics) and the audit results
- The scope of the audit (documentation review, observational tour, and interviews)
- The minimum performance standards
- To answer company concerns or questions

B. Performing the Audit

Before proceeding with the audit, complete the audit information sheet (page 1). **Fill in ALL the blanks.**

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

D = Documentation
O = Observation
I = Interview

Step 1. Documentation Review

Health & Safety Manual Verification

This is the initial step in document review. There are 13 items in this section that will require a “yes” answer in order for the audit to proceed. Some of the information required may exist in other forms, i.e., several policies may be covered in one corporate policy.

Review each section of the health and safety manual and use a “✓” for a positive response or an “X” for any negative response under the yes/no column.

If significant parts of the health and safety program do not exist in any written form, you need to discuss this with the company representative(s). You and/or the organization/company may wish to stop the audit at this point until they have had the opportunity to develop their program further.

Documentation Review

Document review is the process of reviewing the health and safety manual as well as health and safety records. What the auditor is looking for is written proof or a historical record that describes activities in place. Health & safety records are typically checked for completeness such as dates, frequency, agenda items, signature, senior management initials or signature, and/or attendance.

Documents that need to be reviewed may include:

- Company Health and Safety Policy
- Completed Hazard Assessment Forms
- Safe Work Practices/Safe Job Procedures
- Company Rules, disciplinary measures (where applicable)
- Personal Protective Equipment (PPE)
- Preventative Maintenance Program (check schedule to actual samples)
- Training and Communication — health and safety meetings, on-the-job training, orientations, specialized training
- Completed Inspection Reports
- Completed Investigations (where applicable)
- Emergency Preparedness (review site specific plans, emergency contact numbers, ensure the current date is on the form)
- Statistics (where applicable)
- Medical Monitoring Records (where applicable)
- Action Plans from previous Audit Reports (if available)



Work through each question in the national audit document requiring the review of health and safety documents to confirm or verify the answer. Use a “✓” for a positive response or an “X” for a negative response under the Documentation (D) technique column.

Step 2. Observational Tour



The purpose of the site observational tour is to confirm the information gathered during documentation review and obtain additional information to confirm during interviews. Auditors should observe that company employees are meeting the requirements of the health and safety program. The auditor should note general site conditions on the observation checklist. This is **not** a detailed inspection.

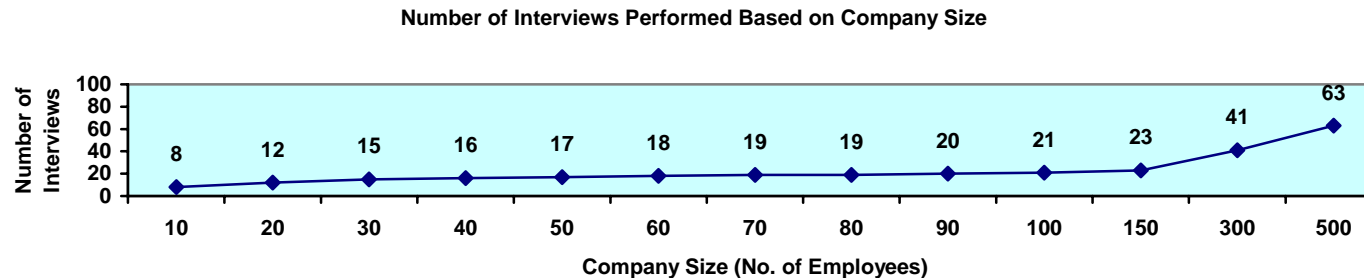
Work through each question regarding what was noticed during the observational tour. Use a “✓” for a positive response or an “X” for a negative response under the Observation (O) technique column.

Step 3. Interviews

It is essential to get a good cross section of **all** company personnel when conducting interviews. The auditor must constantly strive to collect data that is representative of actual conditions. For companies that contract out all their labour, temporary workers and volunteers must be included in the interview process in order to achieve a representative sample of those on a work site. Interviews should include senior management, management, supervisors, office personnel, workers, and contract personnel, where applicable. Verbal group interviews are not an accepted auditing practice. Refer to the chart on the next page or contact the Construction Safety Network for exact numbers, or when employee numbers exceed the chart printed below.



Interviews Requirements Based on Company Size



Exception: An auditor has the autonomy to conduct as many interviews as deemed necessary to establish program proficiency. The above chart outlines the minimum number of interviews required. If the auditor performs fewer interviews than outlined on the above chart, they must confirm the number of interviews with the CSN prior starting the audit.

When conducting interviews, use the question sheets provided for managers/supervisors and workers. Careful time management is essential and stress that the answers given by interviewees are strictly confidential.

Work through each question where the interview is required to verify or confirm that answer. Use a “✓” for a positive response or an “X” for a negative response under the Interview (I) technique column.

Note: Under this technique, the responses for management, supervisors, and workers are added together for each question. In order to award a “✓” for a positive response, there needs to be more positive than negative responses to the questions being asked. If there are an **equal** number of positive and negative responses, award a positive response.

Step 3. Audit Document Awarding Points

When an “AND” is used under the verification technique column, this indicates the need to confirm the answer using **both** techniques. If both techniques are positive then points may be awarded. For example, Documentation **and** Interview techniques require both to be positive.

When an “OR” is used under the verification column, a positive response in **either** technique can be used to award points. Note: **both** techniques must be filled in.

DO NOT AWARD PARTIAL POINTS.

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

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

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

Audit Document Submission Checklist

Prior to submitting the audit document to the CSN for review, ensure that you have completed and signed the “**audit document submission checklist**” included at the back of the audit document.

C. Summarizing the Audit

Auditor Executive Summary

The auditor’s executive summary report is an important part of the audit. This report should address the positives and negatives of each element and the overall recommendations of the audit. The executive summary should contain enough information to be useful to the company so they can develop an action plan based on the findings of the audit.

Closeout Meeting

Once the audit is completed, the closeout meeting should take place, usually involving the same personnel that attended the pre-audit meeting. At this time the audit is reviewed in its entirety. Credit should be given where the safety program performed well and recommendations for improvement should be identified for areas that they need to address. You should also recommend that the company develop an action plan based on the results of this audit. Once the meeting is concluded, allow for questions and have the company’s senior representative insert the goal for the next audit and sign off the “**audit summary sheet**” on behalf of the company.

The company's Health and Safety Program Audit, results in the following major benefits:

- The company will have an accurate current measurement of their health and safety management system
- The company will be able to make informed decisions on future health and safety program planning

By acting on the recommendations from the Health and Safety Program Audit and correcting the identified areas of concern(s), the company may be able to:

- Prevent injuries
- Reduce property and production losses
- Reduce the potential for penalties and shutdowns

Action Plan

Documented corrective action plans demonstrate a level of **DUE DILIGENCE**, provided the plan has been effectively implemented.

The employer develops a written action plan after each audit. The action plan provides the employer with an opportunity to respond to the audit. A complete action plan will:

- Prioritize identified deficiencies
- Determine corrective action(s)
- Assign responsibility
- Establish implementation/completion dates
- Set a date for the next audit

NOTE: Corrective Action Plan must be completed and submitted with the audit document.



DEFINITIONS

Accident or Incident	An undesired event that results in physical harm to a person or damage to a property.
Auditor	An individual who has the qualifications and skills to measure health and safety performance against a given standard. Competency is based on training through a recognized agency, certification, and experience.
Critical Task	A task that has the potential to produce major loss to people, equipment, process, and/or the environment.
Element	A section within the health and safety program that deals with a specific component of the management system. This can be an audit element and/or sub-element.
Job	A segment of work, a specific work assignment, a set of actions required to complete a specific work objective. An accumulation of all tasks involved at the worksite.
Management	Person(s) who have some level of authority, responsibility, and accountability within the firm.
Manager	The most senior individual in the organization. This may be the owner, president, or general manager. This is the individual who must accept ultimate responsibility for the organization's health and safety program and sign all policies.
Medical Monitoring (Surveillance)	Mandated medical examinations for workers exposed to occupational health hazards such as organic lead, asbestos, silica, coal dust, noise exposure, etc. Refer to Occupational Health and Safety legislation for your jurisdiction.
Musculoskeletal Injury	An injury or disorder of the muscles, tendons, ligaments, joints, nerves or soft tissue (i.e. sprain, strain and inflammation) that can be caused or aggravated by work

DEFINITIONS

Near Miss	An unplanned and undesired event that under slightly different circumstances could have resulted in property damage or personal injury or occupational disease (i.e., close call).
Prime Contractor	The contractor, employer, or other person who enters into an agreement with the owner of the worksite to be the prime contractor. The prime contractor has the overall responsibility for health and safety on the worksite.
Rule	A company directive that governs and controls conduct or action.
Safe Job Procedure	A written, specific step-by-step description of how to complete a job safely and efficiently from start to finish.
Safe Work Practice	A set of positive guidelines or “Do’s and Don’ts” – on how to perform a specific task or how to deal with a specific situation that may not always be done in a certain way.
Supervisor	An individual who directs the day-to-day work. This includes foremen, supervisors, and in some firms, superintendents. This person is included in the management interview questionnaire.
Task	A segment of work that requires a set of specific and distinct actions for its completion.
Violence in the Workplace	Is the attempted or actual physical action by a person against an employee that could result in a physical injury. It may also include verbal threats that cause the employee to believe that he is at risk of injury. A person may be a co employee or a member of the public.
Worker	An individual employed by a company (full-time, part-time, volunteer or on a contractual basis). This could include owners, management, sub-contractors. For the purposes of this audit, a worker will be defined as an individual who does not have management or supervisor responsibilities.

GENERAL GUIDELINES

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NOTE:

A representative sample of the WorkSafeBC classification units (CU) applicable to the operations of the organization/company must be included in the audit. For example, if there are two CU's (723004 – paving services or asphalt manufacture, and 723006 – Road Construction (not otherwise specified), the audit process should include a representative sample of EACH CU. If one CU is not included, the audit would only be valid for the CU audited.

An auditor has the autonomy to visit as many work sites as deemed necessary to establish program proficiency. When this occurs, the auditor must justify the reason(s) on which this decision(s) is based (refer to the List of Active Sites in the audit document).

Completing the Document:

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

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

Observation Checklist

Audit	Question	Positive	Negative
1.6	Is the company health and safety policy posted?		
2.8	Once hazards have been identified, does it appear that controls are implemented in a timely manner?		
3.1	Do the safe work practices found in documentation, accurately reflect company activities?		
3.2	Have all safe work practices been written?		
3.4	Are the safe work practices readily available?		
3.5	Are workers following the safe work practices?		
4.2	Have all the critical safe job procedures been written?		
4.4	Do workers follow safe job procedures?		
4.5	Do workers have access to copies of the safe job procedures?		
5.2	Are company rules prominently posted?		
6.3	Do all employees have access to basic PPE?		
6.4	Is specialized PPE available when required (if applicable)?		
6.5	Are all employees using the correct PPE?		
7.6	Is a system (to effectively remove defective tools, equipment, and/or vehicles from service) being followed?		

Audit	Question	Positive	Negative
9.10	Are inspection reports posted?		
11.1	Are emergency preparedness plans appropriate for work activities?		
11.5	Are fire extinguishers of the correct class available, marked, and visible?		
11.6	Have fire extinguishers been regularly inspected and maintained?		
11.7	Is an appropriate emergency communication system available?		
11.8	Are there adequate first aid supplies and facilities available on site?		
11.9	Can you identify the first aid personnel?		
11.10	Is there a way to transport an injured employee to a medical facility?		
13.1	Are copies of relevant legislation posted or made available to workers?		
14.3.2	Are MSDS sheets current and readily available?		
14.6.1	Are the Joint Health and Safety Committee minutes posted where workers can access them?		



**Manager &
Supervisor
Interview Questions**

Manager and Supervisor Interview Questions

Number		Audit Question	Positive	Negative
Section 1 Health and Safety Policy				
1.	Does the health and safety policy outline your responsibilities in regards to your health and safety?	1.7		
2.	In your own words, what does the policy say?	1.9		
Section 2 Workplace Hazard Assessment and Control				
3.	Are hazards identified before work starts?	2.1		
4.	Are they re-assessed as the job progresses or as procedures or operations change?	2.2		
5.	Are you involved in assessing hazards, if not who?	2.3		
6.	Are you involved in controlling the hazards, or told how the hazards will be controlled?	2.9		
7.	Do you enforce recommendations for hazard control?	2.11		
Section 3 Safe Work Practices				
8.	Have you been involved in the development and/or review of safe work practices?	3.6		
Section 4 Safe Job Procedures				
9.	Have you been involved in the development/review of safe job procedures?	4.6		
Section 5 Company Rules				
10.	Were you given a copy of the company rules, or do you know where a copy could be obtained?	5.2		
11.	Give me an example of how rules are enforced?	5.5		
Section 6 Personal Protective Equipment (PPE)				
12.	Who provides specialty PPE?	6.4		
13.	Do you provide training on the use of personal protective equipment?	6.7		
14.	How is the proper PPE selected for a specific job?	6.8		

Manager and Supervisor Interview Questions

Number	Question	Audit Question	Positive	Negative
Section 7 Preventative Maintenance				
15.	Explain how maintenance meets manufacturers' and/or regulatory standards?	7.2		
16.	If equipment or tools are defective, what happens to them?	7.5		
17.	Is the individual who performs maintenance and inspection of tools and equipment qualified to perform this task?	7.7		
Section 8 Training and Communication				
18.	Is it mandatory for workers to receive a new worker orientation before starting work?	8.2		
19.	Are mandatory training requirements verified before starting work? or Is the necessary training provided before work?	8.5		
20.	Do workers get training for specific jobs?	8.7		
21.	Does management provide support (money, equipment, time) to train individuals in health and safety responsibilities?	8.9		
22.	Is there a system in place to measure knowledge and competency?	8.10		
23.	Does the company hold health and safety meetings?	8.11		
24.	Do you attend?	8.12		
25.	Do all attendees of these safety meetings actively participate?	8.14		
Section 9 Inspections				
26.	Are inspections performed as required?	9.5		
27.	Are the identified deficiencies corrected promptly?	9.8		
28.	Does senior management review/participate in the inspection process?	9.9		
29.	How are the results of inspections communicated to workers?	9.10		
Section 10 Investigations and Reporting				
30.	When an accident occurs, is it investigated?	10.2		
31.	Have you been trained in the investigation and reporting process?	10.5		
32.	Are you recording near miss incidents? (close calls)	10.7		

Manager and Supervisor Interview Questions

Number	Question	Audit Question	Positive	Negative
Section 10 Investigations and Reporting <i>cont'd...</i>				
33.	Are improvements/changes implemented in a timely manner?	10.8		
34.	How are results/findings communicated to workers?	10.9		
Section 11 Emergency Preparedness				
35.	Explain your role and responsibility in relation to the emergency preparedness (response) plan?	11.2		
36.	If an emergency occurred, how would you get assistance?	11.7		
37.	Do you have the required number of trained first aid personnel at the worksite?	11.9		
38.	If you needed to transport an individual to a medical facility, how would this be done?	11.10		
Section 12 Records and Statistics				
39.	After your last audit, was an action plan implemented?	12.8		
Section 13 Legislation				
40.	How do regulatory requirements impact your job planning?	13.2		
41.	How does your company make employees aware of their legislative rights and responsibilities?	13.3		
42.	What types of incidents are reportable?	13.4		
Section 14 British Columbia Supplement				
43.	Do you regularly meet with management to discuss health and safety activities and accident trends?	14.1.1		
44.	Are recommendations from these meetings implemented in a timely manner?	14.1.2		
45.	Do you conduct crew talks or is individual training done in the prevention of musculoskeletal injuries?	14.2.1		
46.	Do you know where the Material Safety Data Sheets are kept?	14.3.2		
47.	Are your employees trained to deal with violence or conflict arising in the workplace?	14.5.1		
48.	Do you know where the Joint Health and Safety Committee meeting minutes are posted?	14.6.1		



Worker Interview Questions

Number	Question	Audit Question	Positive	Negative
Section 1 Health and Safety Policy				
1.	Your company should have a policy outlining health and safety. Do you know where a copy would be?	1.6		
2.	How does the policy apply to you as a worker?	1.7		
3.	Can you explain what the policy means to you?	1.9		
Section 2 Workplace Hazard Assessment and Control				
4.	How are hazards identified before work starts?	2.1		
5.	Are they re-assessed as procedures/operations change?	2.2		
6.	Are you involved in identifying possible hazards?	2.3		
7.	How are you involved in controlling the hazards, or told how the hazard will be controlled?	2.9		
Section 3 Safe Work Practices				
8.	Are the safe work practices easy to understand?	3.3		
9.	Are they available when you need them?	3.4		
10.	Do you follow them?	3.5		
11.	Were you involved in the development or review of any of these practices?	3.6		
Section 4 Safe Job Procedures				
12.	Do the safe job procedures reflect the work that you do?	4.1		
13.	Are they easy to understand?	4.3		
14.	Do you follow them?	4.4		
15.	Are they available when you need them?	4.5		
16.	Were you involved in the development or review of any of these procedures?	4.6		

Worker Interview Questions

Number	Question	Audit Question	Positive	Negative
Section 5 Company Rules				
17.	Were you given a copy of these rules, or do you know where they are posted?	5.2		
18.	Can you provide an example of one of the company rules?	5.3		
19.	What happens if somebody breaks the company rules?	5.5		
Section 6 Personal Protective Equipment (PPE)				
20.	What PPE is required for your job?	6.2		
21.	How do you obtain basic PPE?	6.3		
22.	Is specialized PPE available when required?	6.4		
23.	Have you received training on the use of personal protective equipment?	6.7		
Section 7 Preventative Maintenance				
24.	How are defective equipment or tools removed from service?	7.5		
25.	Is this system followed?	7.6		
Section 8 Training & Communication				
26.	Were you given a health and safety orientation?	8.2		
27.	What type of health and safety training did you receive before starting work?	8.5		
28.	When did you last attend a scheduled company health and safety meeting?	8.11		
29.	Does senior management ever attend/participate in health and safety meetings?	8.12		
30.	Are you encouraged to participate in these meetings?	8.14		
Section 9 Inspections				
31.	Have you, or other workers, ever been involved in an inspection?	9.6		
32.	Are identified problems corrected promptly?	9.8		
33.	How are you informed of the results of these inspections?	9.10		

Worker Interview Questions

Number	Question	Audit Question	Positive	Negative
Section 10 Investigations and Reporting				
34.	When an accident occurs, is it investigated?	10.2		
35.	What is the process for reporting an incident?	10.4		
36.	Do you report near misses (close-calls)?	10.7		
37.	After an accident, are changes and/or improvements done in a timely manner?	10.8		
38.	How are you made aware of corrective actions?	10.9		
Section 11 Emergency Preparedness				
39.	What are your responsibilities in an emergency?	11.2		
40.	If an emergency occurred here, how would you call for assistance?	11.7		
41.	Who are the first aid attendants on this work site?	11.9		
Section 13 Legislation				
42.	Where would you obtain a copy of occupational health and safety regulations if required? (WorkSafeBC regulations)	13.1		
43.	Has your company made you aware of your legislated rights and responsibilities?	13.3		
Section 14 British Columbia Supplement				
44.	Were you given instructions or training in the prevention of musculoskeletal injuries?	14.2.1		
45.	Do you know where the Material Safety Data Sheets are kept?	14.3.2		
46.	Have you received training to deal with violence or conflict which arises during the course of work?	14.5.1		
47.	Do you know where the Joint Health and Safety Committee meeting minutes are posted?	14.6.1		

CSN Interview Summary Sheet

Worker Interviews			Manager/Supervisor Interviews			Audit Document	Transfer Results to Audit Document	
Question #	Positive	Negative	Question #	Positive	Negative	Reference	Positive	Negative
1						1.6		
2			1			1.7		
3			2			1.9		
4			3			2.1		
5			4			2.2		
6			5			2.3		
7			6			2.9		
			7			2.11		
8						3.3		
9						3.4		
10						3.5		
11			8			3.6		
12						4.1		
13						4.3		
14						4.4		
15						4.5		
16			9			4.6		
17			10			5.2		
18						5.3		
19			11			5.5		
20						6.2		
21						6.3		
22			12			6.4		
23			13			6.7		
			14			6.8		
			15			7.2		
24			16			7.5		
25						7.6		
			17			7.7		
26			18			8.2		
27			19			8.5		

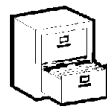
CSN Interview Summary Sheet

Worker Interviews			Manager/Supervisor Interviews			Audit Document	Transfer Results to Audit Document	
Question #	Positive	Negative	Question #	Positive	Negative	Reference	Positive	Negative
			20			8.7		
			21			8.9		
			22			8.10		
28			23			8.11		
29			24			8.12		
30			25			8.14		
			26			9.5		
31						9.6		
32			27			9.8		
			28			9.9		
33			29			9.10		
34			30			10.2		
35						10.4		
			31			10.5		
36			32			10.7		
37			33			10.8		
38			34			10.9		
39			35			11.2		
40			36			11.7		
41			37			11.9		
			38			11.10		
			39			12.8		
42						13.1		
			40			13.2		
43			41			13.3		
			42			13.4		
			43			14.1.1		
			44			14.1.2		
44			45			14.2.1		

CSN Interview Summary Sheet

Worker Interviews			Manager/Supervisor Interviews			Audit Document	Transfer Results to Audit Document	
Question #	Positive	Negative	Question #	Positive	Negative	Reference	Positive	Negative
45			46			14.3.2		
46			47			14.5.1		
47			48			14.6.1		

Standard National Audit Document



D = Document Review



O = Observational Tour



I = Interview Questions

Audit Information Sheet

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

Type of Audit: Internal External

Company Data

Legal Name: _____

Address: _____ City/Town: _____ Province: _____ Postal Code: _____

Phone Number: _____ Fax Number: _____ E-mail: _____

Key Contact: _____ Number of Workers at Peak Periods: _____

WorkSafeBC Information

Acct #s	Classification Unit(s)	Nature and Type of Work Done	Acct #s	Classification Unit(s)	Nature and Type of Work Done

Auditor Data

Name: _____ Certification Number: _____

Company: _____ Telephone Number: _____

Address: _____ Fax Number: _____

City/Town: _____ Province: _____ Postal Code: _____ E-mail: _____

List of Active Worksites

Auditors must list all worksites that are active at the time of the audit, and the numbers of site personnel that were on each worksite. Next, indicate by the means of a checkmark (✓) which ones were visited. Finally indicate how many interviews were conducted and from which category (workers or managers/supervisors). This will verify an up-to-date summary of the company at the time of the audit. If there are more worksites than the page has allowed for, please attach a list of additional sites.

List of Active Work Sites

Worksite Location(s)	Classification Unit	Visited	Number of Worksite Personnel		Number Interviewed	
			Managers/ Supervisors	Workers	Managers/ Supervisors	Workers
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						
11.						
12.						
13.						
14.						
15.						
16.						
17.						
18.						
19.						
Total:						
Total Personnel: _____			Total Interviewed: _____		Total Sites Visited: _____	

Health and Safety Manual Verification

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

Missing Sections:

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

Policy Statements:

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

1. **HEALTH and SAFETY POLICY**

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

- 1.1 Auditors must see a written policy statement on health and safety that is signed by current senior management.
- 1.2 The policy must include a statement of the employer's commitment to provide a safe and healthy work environment.
- 1.3 The policy must refer to a provision for a safe and healthy work environment.
- 1.4 The policy must be kept current and dated. (*A minimum of no more than three years old*)
- 1.5 The auditor should look for documents that indicate an annual policy/program review has taken place. This can be verified by: having policy documentation dated, through safety meeting minutes, or by the creation of an action plan based on the past year's audit results.

Section #1: Company Health and Safety Policy

Health and Safety Program Verification		Score	Technique Employed			Points Awarded
1. Company Health and Safety Policy			D	O	I	
Does the employer have a written health and safety policy that:						
1.1	Is signed by the president, CEO, or local senior management?	3				
Comments:						
1.2	Includes management's commitment to provide a safe and healthy work environment?	3				
Comments:						
1.3	Recognizes the right of workers to work in a safe and healthy work environment?	2				
Comments:						
1.4	Is current and dated?	2				
Comments:						
1.5	Is reviewed annually by management?	2				
Comments:						

1. **HEALTH and SAFETY POLICY *cont'd...***

- 1.6 During the worksite tour, check to see if the main health and safety policy has been posted. If no suitable means of posting is available, it may also be provided to workers in the form of a handbook or availability of a copy of the company safety manual on site.
- 1.7 Review the health & safety manual to ensure that the accountability and assignment of responsibilities have been stated for all workplace parties.
- 1.8 The policy must outline the commitment of the company to work with their personnel to promote a healthy and safe work environment.
- 1.9 The majority of interview responses must show that all employees understand the policy objectives.

Health and Safety Program Verification	Score	Technique Employed			Points Awarded
1. Company Health and Safety Policy - continued		D	O	I	
1.6 Is prominently posted or made available to the worker?	3		OR		
Comments:					
1.7 Addresses accountability and responsibility for health and safety for all workplace parties?	6		AND		
Comments:					
1.8 Expresses a commitment to work in a spirit of consultation and cooperation with the workers?	3				
Comments:					
1.9 Is understood by personnel?	3				
Comments:					
Total points possible/awarded	27				

2. WORKPLACE HAZARD ASSESSMENT AND CONTROL

Hazard assessments should be completed as per Occupational Health and Safety Legislation.

- 2.1 An employer is required to assess all worksites/jobs/tasks (this includes office/shop) and identify existing or potential hazards before work begins. (Pre-job) Assessments could also include occupational exposures of: noise levels, asbestos, biological, chemical and environmental issues. The assessment should be based on the work to be performed and result in the identification and implementation of control measures to prevent worker exposure and contamination.
- 2.2 Periodic hazard assessments must be conducted as the project progresses or when changes occur. The frequency of this type of assessment will depend on how often their process changes. The field level risk assessment commonly used before each day or each task is a good example of an on-going hazard assessment process.
- 2.3 The names of the individuals involved in the completion and/or review of hazard assessments must be on the documentation. (Examples of appropriate personnel could include: Experienced workers, supervisors, safety committee members/representatives or management).
- 2.4 Documentation must clearly describe identified hazards.
- 2.5 Documentation must show that each noted hazard has been assessed for frequency/severity and prioritized based on risk.

Section #2: Workplace Hazard Assessment and Control

Health & Safety Program Verification		Score	Technique Employed			Points Awarded
2. Workplace Hazard Assessment and Control			D	O	I	
2.1	Are written hazard assessments conducted as required?	7		AND		
Comments:						
2.2	Does the employer use an on-going hazard assessment process?	7		AND		
Comments:						
2.3	Are appropriate personnel involved in the hazard assessment process?	4		AND		
Comments:						
2.4	Are the hazards identified?	6				
Comments:						
2.5	Are the hazards prioritized?	5				
Comments:						

2. **WORKPLACE HAZARD ASSESSMENT AND CONTROL *cont'd...***

- 2.6 The critical task list must be specific to the company and will vary depending upon the type of work performed. These critical tasks are identified through hazard assessments and must include all potentially high hazard activities.
- 2.7 Once identified, hazards must be controlled. Typical methods of control include: elimination, substitution, engineering controls, administrative controls, personal protective equipment or a combination of the above.
- 2.8 Through documentation or observation, identify what control measures were required, and whether these controls were available and implemented within a reasonable period of time.
- 2.9 All affected personnel must be informed of the hazard assessment results. This could include hazard assessments being posted or reviewed during safety meetings.
- 2.10 When hiring subcontractors, a company must verify that safety is a consideration in their process. Applicable documentation may include: orientations, performance records, health and safety meeting minutes, qualification for work etc.
- 2.11 Management must be involved in the hazard assessment process. Check the hazard assessment form for the initial or signatures of management to confirm that the hazard assessment process has been reviewed, evaluated, and recommendations for hazard control have been authorized and their use enforced by senior management.

Health & Safety Program Verification		Score	Technique Employed			Points Awarded
2. Workplace Hazard Assessment and Control – Cont'd			D	O	I	
2.6 Is there a list of identified critical tasks?	3					
Comments:						
2.7 Are controls developed for identified hazards?	2					
Comments:						
2.8 Are controls implemented in a timely manner?	3		OR			
Comments:						
2.9 Are appropriate personnel involved/informed of the control strategies?	2			AND		
Comments:						
2.10 Does the company have a process for evaluating/monitoring sub-contractors?	3					
Comments:						
2.11 Does management support the ongoing application of the hazard assessment process?	2			AND		
Comments:						
Total points possible/awarded	44					

3. **SAFE WORK PRACTICES**

Safe Work Practices are generally the do's and don'ts on how to carry out a task or use equipment, inform the worker about the hazards that are present, and provide direction on how to safeguard against the hazards. They are general guidelines only.

- 3.1 Review safe work practices and observe site work to ensure that they reflect work activities.
- 3.2 Ensure the required safe work practices are completed. If not, identify missing practices in comments and do not award points.
- 3.3 During the interview process, the majority of employees should be able to demonstrate an understanding of the company's safe work practices by describing some of the key points they contain.
- 3.4 Applicable written practices must be readily available at each worksite and employees should be able to identify their location.
- 3.5 The auditor should be to observe an employee working in a manner consistent with written safe work practices or confirmation can also be verified through worker interviews.
- 3.6 Verify that a review process is in place. Check orientations, health and safety minutes, and/or safe work practices to confirm a review process is in place. Interviews may also confirm that management, supervisors and workers are have participated in the review process.

Section #3: Safe Work Practices

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
		D	O	I	
3. Safe Work Practices					
3.1 Do the safe work practices accurately reflect the company's activities?	2	AND			
Comments:					
3.2 Have applicable safe work practices been written?	6	AND			
Comments:					
3.3 Are they understood by workers?	2				
Comments:					
3.4 Are they readily available?	2		OR		
Comments:					
3.5 Are they followed by workers?	2		OR		
Comments:					
3.6 Have both management/supervisors and workers participated in the development and/or review of safe work practices?	2		OR		
Comments:					
Total points possible/awarded	16				

4. **SAFE JOB PROCEDURES**

Safe Job Procedures are written step-by-step set of instructions on how to complete a specific task safely. Safe work procedures must clearly identify: the steps required to complete the task (in proper order), the hazards the worker could be exposed to, the control measures and what to do in an emergency situation. (ie: spill containment, shut down)

- 4.1 The auditor must confirm through documentation and interview responses that written procedures reflect activities that the company performs.
- 4.2 Through observation the auditor may notice one or more critical tasks in progress (ie: confined space entry, lockout/tagout). The company should be able to produce a written procedure for all critical tasks.
- 4.3 Through interview responses, employees should be able to give an example of the safe job procedures they are required to follow with respect to their currently assigned task.
- 4.4 Throughout worksite visits and interview responses, the auditor should observe all company employees (and subcontractors) working in conformance with the company's safe job procedures.

Section #4: Safe Job Procedures

Health & Safety Program Verification		<i>Score</i>	<i>Technique Employed</i>			<i>Points Awarded</i>
4. Safe Job Procedures			D	O	I	
4.1	Do the safe job procedures accurately reflect the employer's activities?	2		AND		
Comments:						
4.2	Have all critical safe job procedures been written?	6	AND			
Comments:						
4.3	Are they understood by workers?	2				
Comments:						
4.4	Are safe job procedures followed on a regular basis?	2		AND		
Comments:						

4. **SAFE JOB PROCEDURES *cont'd...***

- 4.5 The auditor must observe copies of the company's job procedures at each worksite that are readily available to employees. The majority of employee interview responses must confirm an understanding of where site specific procedures are kept.
- 4.6 Review safety meetings to see if safe job procedures have been a regular and relevant topic of discussion. Look for the names of the individuals that have participated in the development or review of procedures.

Health & Safety Program Verification		Score	Technique Employed			Points Awarded
4. Safe Job Procedures – Implementation			D	O	I	
4.5 Are these procedures available and easily accessible to workers?	2		AND			
Comments:						
4.6 Have both management/supervisors and workers participated in the development/review of these procedures?	2		OR			
Comments:						
Total points possible/awarded		16				

5. **COMPANY RULES**

Rules are instituted by an organization to govern and control the conduct or actions of its employees. Rules are basic “thou shalt” or “thou shalt not” statements that leave no room for discretion or argument.

5.1 Verify that company rules are written.

5.2 Rules should be prominently posted in high traffic areas such as: lunch rooms, job trailers, offices or in the safety manual in a crew truck. Company rules it may also be provided to workers in the form of a handbook or availability of a copy of the company safety manual on site.

5.3 The majority of employees interviewed should be able to give examples of some of the company safety rules and/or explain the reasons why they exist.

5.4 The company must have a written progressive disciplinary action process to address non-conformance issues.

5.5 The auditor must see documented evidence that the discipline process is being used consistently (contained in employee warning forms, personnel records, daily logs, etc.) Interviews must also confirm that employees are aware of the company discipline process (infractions of company safety rules, not following safe work practices or safe job procedures, and misuse of PPE).

Section #5: Company Rules

Health & Safety Program Verification		Score	Technique Employed			Points Awarded
5. Company Rules			D	O	I	
5.1	Are the rules clearly stated in writing?	2				
Comments:						
5.2	Are the rules prominently posted or provided to each worker?	1		OR		
Comments:						
5.3	Do workers understand company and site specific rules?	2				
Comments:						
5.4	Does the program address non-conformance and progressive disciplinary actions?	2				
Comments:						
5.5	Are all rules applied/enforced consistently with all employees?	2		AND		
Comments:						
Total points possible/awarded		9				

6. PERSONAL PROTECTIVE EQUIPMENT (PPE)

6.1 Verify there is a written policy that references basic and/or specialized personal protective equipment?

6.2 Workers must be made aware of the PPE requirements. This could be included as part of an orientation, job specific training or when reviewing safe work practices/procedures.

6.3 Verify through observations or interviews that employees have access to basic PPE.

6.4 Verify through observation and interviews that specialized PPE is available to workers when required. Specialized PPE may include: fall protection, respiratory protection, face shields, welding shields/goggles, chemical goggles, fire retardant coveralls, chemical suits, impermeable gloves, etc.

Section #6: Personal Protective Equipment (PPE)

Health & Safety Program Verification		<i>Score</i>	<i>Technique Employed</i>			<i>Points Awarded</i>
6. Personal Protective Equipment (PPE)			D	O	I	
6.1	Is there a written policy for PPE?	2				
Comments:						
6.2	Are workers made aware of the requirements for PPE?	2		AND		
Comments:						
6.3	Do all employees have access to basic PPE?	2		OR		
Comments:						
6.4	Is specialized PPE available to workers when required?	2		AND		
Comments:						

6. PERSONAL PROTECTIVE EQUIPMENT (PPE) *cont'd...*

- 6.5 Observation must verify workers using basic and/or specialized PPE as outlined in the company policy, regulations, MSDS, etc..
- 6.6 The auditor must verify through documentation that the employer has developed or made written instructions readily available to employees with respect to the proper fitting, care and use of PPE such as: ear plugs, respiratory devices, fall protection, etc.
- 6.7 Look for documentation/training records to verify that employees have received instruction with respect to the use of PPE. Confirm through interviews.
- 6.8 Criteria used for PPE selection may include: review of hazard assessment forms, material safety data sheets, regulations, safe work practices/procedures and company policy requirements. Confirm through interviews.
- 6.9 Confirm through documentation that systems are in place. For specialized PPE: The auditor should look for logs and service tags on critical devices. For basic PPE inspections and maintenance may be conducted visually and recorded as part of a safety meeting or be included as an item on the company's inspection checklist.

Health & Safety Program Verification		<i>Score</i>	<i>Technique Employed</i>			<i>Points Awarded</i>
6. Personal Protective Equipment (PPE) - continued			D	O	I	
6.5	Is the correct PPE used by all employees when required?	2				
Comments:						
6.6	Are there written procedures for the proper fitting, care and use of specialized PPE?	2				
Comments:						
6.7	Are employees given instruction or training in the use of PPE as required?	2		AND		
Comments:						
6.8	Is there criteria used to select PPE?	2		AND		
Comments:						
6.9	Is there a system in place to regularly inspect and maintain basic/specialized PPE?	2				
Comments:						
Total points possible/awarded		18				

7. PREVENTATIVE MAINTENANCE

- 7.1 All equipment which requires ongoing maintenance must be identified.
- 7.2 Review equipment records, check for operating/service manuals on site and verify through interviews that manufacturer and regulatory standards are being met.
- 7.3 The auditor should look for documentation to verify completion of the established maintenance schedules that include all the items on the inventory as well as a system to enable the recording of pre-operational checklists where required (forklifts, man lifts, excavators, suspended platforms, vehicles, etc.)
- 7.4 Records should include a description of the maintenance that was conducted, including date, signature and corrective action.

Section #7: Preventative Maintenance

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
7. Preventative Maintenance		D	O	I	
Does the preventative maintenance program of facilities, tools, equipment and vehicles include:					
7.1 An inventory of items to be maintained?	1				
Comments:					
7.2 Maintenance meeting manufacturer and regulatory standards?	2		AND		
Comments:					
7.3 The use and completion of schedules and checklists as required?	1				
Comments:					
7.4 Records with a description of corrective actions taken?	3				
Comments:					

7. PREVENTATIVE MAINTENANCE PROGRAM *cont'd...*

- 7.5 Review documentation regarding defective tools or equipment being removed from service (eg: lockout/tagout) and verify through interview.
- 7.6 Worksite observations and interviews should verify that the process is being used.
- 7.7 Records should indicate that equipment is being maintained by recognized service facilities or appropriate documentation/training records should support qualification of in-house maintenance personnel.

Health & Safety Program Verification		Score	Technique Employed			Points Awarded
7. Preventative Maintenance Program - continued			D	O	I	
7.5 Is there a system to effectively remove defective tools, equipment or vehicles from service?		2		AND		
Comments:						
7.6 Is this system followed?		1		OR		
Comments:						
7.7 Does a qualified/competent person perform the inspection and maintenance?		2		AND		
Comments:						
Total points possible/awarded		12				

8. TRAINING and COMMUNICATION

- 8.1 Look for documentation to support that the employer has a formal orientation program (at minimum orientations include: emergency response, reporting of incidents/hazards, policies, performance standards, safe job procedures and safe work practices).
- 8.2 Check orientation forms to ensure orientations are conducted before starting work. This includes management, workers, supervisors, contractors, suppliers, visitors etc.
- 8.3 Check for a standard orientation form.
- 8.4 The form used must be signed by the persons receiving the orientation and the person conducting it.
- 8.5 Mandatory training as specified by regulation or policy must be confirmed and/or provided prior to beginning work (eg: WHMIS, fall arrest, first aid etc.). Review training records and verify through interviews.

Section #8: Training and Communication

Health & Safety Program Verification		Score	Technique Employed			Points Awarded
8.	Training and Communication		D	O	I	
8.1	Does the employer have a formal orientation program?	4				
Comments:						
8.2	Is orientation mandatory for all new employees before starting work?	4		AND		
Comments:						
8.3	Is there a standardized written orientation form?	2				
Comments:						
8.4	Does the form provide for signatures of both workers and the person conducting the orientation?	2				
Comments:						
8.5	Are mandatory training requirements verified or training provided before starting work?	2		AND		
Comments:						

8. TRAINING and COMMUNICATION *cont'd...*

- 8.6 Are records maintained of all health and safety training?
- 8.7 Check training records for job specific training. Is it updated if the worker is re-assigned? Verify through interviews.
- 8.8 Check the training records to verify that training is conducted by a competent person (trade certificate, years of experience, etc).
- 8.9 Review training records for supervisor training in inspections, investigations, training, and general health and safety responsibilities. Courses such as CSN Leadership for Safety Excellence or other applicable training would be recognized. Confirm through interviews that management provides support (time, financial, etc) for the health & safety program.
- 8.10 Verify through documentation and interviews that employees are evaluated on retention of the information that pertains to the company's health and safety orientation.
- 8.11 Refers to company/office wide scheduled health and safety meeting. Could be held monthly, bi-monthly, etc. Verify through the interview process that this is being done.

Health & Safety Program Verification		Score	Technique Employed			Points Awarded
8. Training and Communication - continued			D	O	I	
8.6	Are training records maintained?	2				
Comments:						
8.7	Is job specific training provided and documented as required?	2		AND		
Comments:						
8.8	Does a competent person conduct job specific training?	2				
Comments:						
8.9	Have supervisors received training in workplace inspections and health and safety responsibilities?	6		AND		
Comments:						
8.10	Is a system in place to measure knowledge and competency?	2		AND		
Comments:						
8.11	Does the employer hold scheduled health and safety meetings?	3		AND		
Comments:						

8. TRAINING and COMMUNICATION *cont'd...*

- 8.12 Check attendance records for senior management or accountable company designate in attendance at these meetings. Verify through interviews.
- 8.13 Check for an agenda or minutes that document attendance at these meetings.
- 8.14 Verify through the health and safety minutes that the employer and workers are given the opportunity to present their concerns. Verify through interviews.
- 8.15 Verify that health and safety meetings are being held and documented as outlined in company policy.

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
8. Training and Communication - continued		<i>D</i>	<i>O</i>	<i>I</i>	
8.12 Does senior management attend/participate in health and safety meetings?	1		AND		
Comments:					
8.13 Is a prepared agenda followed and are minutes and an attendance of the meeting kept?	3				
Comments:					
8.14 Does two-way communication exist during these meetings?	3		AND		
Comments:					
8.15 Are tailgate/toolbox meetings held regularly and documented as per policy?	4				
Comments:					
Total points possible/awarded	42				

9. INSPECTIONS

- 9.1 Verify there a policy that covers inspections (could be part of the global policy).
- 9.2 The frequency of inspections must be stated as monthly, weekly, etc. The words “on a regular basis” are not acceptable.
- 9.3 Verify that inspections are being completed at the stated frequency.
- 9.4 Verify that a form or checklist is being used for inspections.
- 9.5 Verify through documentation and interviews that supervisors are involved in the formal and informal inspection process.

Section #9: Inspections

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
		D	O	I	
9. Inspections					
9.1 Is there a written policy for inspections?	2				
Comments:					
9.2 Does the policy include frequency of inspections?	3				
Comments:					
9.3 Is the required frequency being met?	4				
Comments:					
9.4 Is there a form or checklist used for inspections?	3				
Comments:					
9.5 Are inspections being performed as required?	3		AND		
Comments:					

9. INSPECTIONS *cont'd...*

- 9.6 Check documentation to verify that a worker has participated in the inspection process. Confirm through interviews.
- 9.7 Verify that all areas are being inspected. This includes office, shop, storage facility, as well as active worksites.
- 9.8 Review documentation to verify that deficiencies are corrected in a timely manner, confirm through interviews.
- 9.9 Senior management (or accountable company designate) name, signature, or initials should appear on the document to verify that they have reviewed the information. Confirm through interviews.
- 9.10 Look to see if reports are posted and/or distributed to employees. Verify through interviews that information is communicated.

Health & Safety Program Verification		Score	Technique Employed			Points Awarded
9. Inspections - continued			D	O	I	
9.6 Are workers involved in the inspection process?		3		OR		
Comments:						
9.7 Are all areas inspected as required?		4				
Comments:						
9.8 Are identified deficiencies corrected in a timely manner?		3		AND		
Comments:						
9.9 Does senior management participate/review the inspection process?		1		AND		
Comments:						
9.10 Are inspection reports posted and/or communicated to appropriate employees?		4		OR		
Comments:						
Total points possible/awarded		30				

10. INVESTIGATIONS

- 10.1 Review documentation for the incident (loss or no-loss) investigation procedure (could be part of global policy).
- 10.2 Verify that investigations have been carried out. Confirm through interviews.
- 10.3 Review documentation for standardized investigation form(s).
- 10.4 Verify through interviews that workers know and understand the reporting process.
- 10.5 Check that supervisors have received training in incident investigations. e.g. Leadership for Safety Excellence, Managing Worksite Investigations, etc. and confirm through the interview process.

Section #10: Investigations and Reporting

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
10. Investigations and Reporting		D	O	I	
10.1 Is there a written investigation policy and reporting procedure?	2				
Comments:					
10.2 Is the policy being followed?	4		AND		
Comments:					
10.3 Are standardized forms readily available and used?	2				
Comments:					
10.4 Do workers know the reporting process?	3				
Comments:					
10.5 Have supervisors been trained in investigation and reporting procedures?	3		AND		
Comments:					

10. INVESTIGATIONS *cont'd...*

- 10.6 Review documentation to verify that workers, supervisors and management were involved in investigations.
- 10.7 No-loss incidents reports and investigation reports may be reviewed in health and safety meeting minutes. Verify through interviews
- 10.8 Investigations should identify the DIRECT (immediate) and/or INDIRECT (underlying) causes with recommendations of corrective actions for the prevention of re-occurrence. Once identified, a system to follow up on the recommendations is required. Verify through interviews that this process is in place and that remedial actions are taking place within an acceptable time frame.
- 10.9 Verify through interviews that corrective actions are communicated to workers.
- 10.10 Investigation reports should have the names, signatures, or initials of senior management (or accountable company designate), indicating that they have reviewed the report(s) or a paper trail should exist that documents electronic review.

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
10. Investigations and Reporting – Continued		D	O	I	
10.6 Are appropriate employees involved in investigations?	3				
Comments:					
10.7 Are no-loss incidents (close calls) being reported?	4		AND		
Comments:					
10.8 Are recommendations for prevention/remedial action implemented in a timely manner?	4		AND		
Comments:					
10.9 Are corrective actions communicated to workers?	4				
Comments:					
10.10 Are investigation reports reviewed by management?	1				
Comments:					
Total points possible/awarded	30				

11. EMERGENCY PREPAREDNESS

11.1 Review documentation to confirm that an emergency response plan exists for each worksite that takes into account:

- Identification of all possible emergencies
- Procedures for dealing with identified emergencies
- The availability, placement and instructions for using required emergency equipment
- Emergency response training and testing requirements
- Location and function of emergency facilities
- Response to fire
- Response to spills
- Alarm and emergency communication requirements
- First aid services required
- Procedure for rescue and evacuation
- Designated responsibilities to carry out the procedure

Verify through observation that the procedure is posted in appropriate locations and meets the needs of the worksite.

11.2 Review written emergency procedures for a description of prescribed training in regards to procedures, roles and responsibilities. Verify through documents and interviews that required training has taken place.

11.3 Records must show that emergency procedures have been tested and deficiencies corrected (i.e. mock drills).

11.4 Verify that a fire response plan has been included in the emergency response plan, or developed separately.

11.5 Verify through observation that the correct class, type and size of extinguishers are readily available, sufficiently marked and accessible in all work areas.

Section #11: Emergency Preparedness

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
11. Emergency Preparedness		D	O	I	
11.1 Are the emergency preparedness plans appropriate to work activities?	6	AND			
Comments:					
11.2 Does the plan include a requirement for training in emergency procedures, roles and responsibilities?	4		AND		
Comments:					
11.3 Has the emergency response plan been tested for deficiencies and corrective action taken?	3				
Comments:					
11.4 Does the employer have a written fire response plan?	2				
Comments:					
11.5 Are the correct class and size of extinguishers available, marked and visible?	2				
Comments:					

11. EMERGENCY PREPAREDNESS *cont'd...*

- 11.6 Review documentation (in files and/or on tags) for inspections and other maintenance conducted on fire extinguishers. As per NFPA 10, fire extinguishers shall be inspected and recorded approximately every 30 days. Extinguishers also require regular maintenance in accordance with the manufacturer's instructions (usually routine annual servicing and less frequent hydrostatic testing).
- 11.7 Through observation and interviews, confirm that an adequate system (complete with posted instructions and phone numbers) is available in the case of an emergency to alert workers and emergency services.
- 11.8 Through observation confirm that adequate first aid supplies and facilities are available as per applicable legislation.
- 11.9 Through observations, look for qualified first aid attendants to be visibly marked (special colours, insignias, etc) and their names posted. Confirm the number of attendants meets the legislated requirements. Verify through interviews.
- 11.10 Through observation and in accordance with applicable legislation, verify that the employer has adequate means to transport a sick or injured worker to a medical facility. Verify through interviews that a method is available.

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
11. Emergency Preparedness - continued		D	O	I	
11.6 Are extinguishers regularly inspected and maintained?	2	OR			
Comments:					
11.7 Is an appropriate emergency communication system available?	2	AND			
Comments:					
11.8 Are there adequate first aid supplies and facilities?	2				
Comments:					
11.9 Are the required number of qualified first aid personnel on site?	3	OR			
Comments:					
11.10 Is there a means to transport an injured employee to a medical facility?	2	AND			
Comments:					
Total points possible/awarded	28				

12. RECORDS and STATISTICS

- 12.1 Company process should require documentation to be organized and accessible for the auditor.
- 12.2 Documentation should include standard forms.
- 12.3 Report forms should be completed as required (monthly, quarterly).
- 12.4 This could be done using the ANSI standard. This standard is not accurate for use if the company employs less than 40 employees. Other formulas, such as comparison of company health and safety records with WCB industry statistics could be used.
- 12.5 Verify by reviewing investigation reports of all loss or no-loss incidents that have occurred to identify trends or recurring incidents.

Section #12: Records and Statistics

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
12. Records and Statistics		<i>D</i>	<i>O</i>	<i>I</i>	
12.1 Is there a process to organize and manage program documentation?	2				
Comments:					
12.2 Are adequate health and safety activity summaries developed and maintained?	2				
Comments:					
12.3 Are health and safety statistical reports generated on an on-going/regular basis and readily available?	2				
Comments:					
12.4 Does the company compare health and safety performance year to year?	2				
Comments:					
12.5 Are the annual statistics analyzed and needs or trends identified?	2				
Comments:					

12. RECORDS and STATISTICS *cont'd...*

- 12.6 Review injury summary reports for first aid and medical treatments.
- 12.7 Check documentation to ensure that an action plan was developed from the last audit.
- 12.8 Review documentation to verify that plan was communicated and implemented. Verify through interviews.

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
12. Statistics & Records - continued		D	O	I	
12.6 Are adequate first aid treatment records kept?	3				
Comments:					
12.7 Was an action plan developed based on the most recent audit?	2				
Comments:					
12.8 Was that action plan implemented?	3		AND		
Comments:					
Total points possible/awarded	18				

13. LEGISLATION

13.1 Do employees at each worksite have access to relevant legislation when required? (i.e. OH&S Act & Regulations should be made readily available)

13.2 Confirm through interviews that legislative review is part of the job planning process.

13.3 Verify through interviews that personnel are aware of their legal duties and responsibilities

- Employees should know their three fundamental rights (right to know, right to refuse, right to participate) and their safety responsibilities (follow instructions, wear required PPE, do not conduct work in a manner that may endanger themselves or others – identify, communicate and control hazards)
- Management/supervisor's understanding of their legal duties and responsibilities (be familiar with the OHS Act and Regulations, follow and enforce Legislation, participate in the identification, communication and control of hazards – to ensure workers are not exposed to risks to their health and safety, etc.)

13.4 Verify through the interview process that investigations for all incidents required to be reported have been conducted and documented as per the the appropriate authorities as per the relevant legislation.

Section #13: Legislation

Health & Safety Program Verification		Score	Technique Employed			Points Awarded
13. Legislation			D	O	I	
13.1	Are copies of relevant legislation posted and/or available to workers?	2		OR		
Comments:						
13.2	Does management/supervision regularly refer to relevant legislation during job planning?	3				
Comments:						
13.3	Are employees aware of their rights and responsibilities and how to exercise them?	5				
Comments:						
13.4	Does the employer's injury and incident reporting meet the legislated requirement?	2				
Comments:						
Total points possible/awarded		12				

14. British Columbia Supplement

14.1 Management Meetings

14.1.1 Verify that management meetings regularly discuss health and safety activities and trends by reviewing records (meeting minutes).

14.1.2 Verify that recommendations are implemented within a reasonable time period. (i.e. one month for reasonable corrections, two – three months for extensive corrections, anything longer should be questioned)

14.2 Ergonomics

14.2.1 Are workers informed of the potential danger of sustaining musculoskeletal injuries while at work through formalized training or through informal discussions (i.e. training records or tool box talks)?

14.3 Hazardous Materials (Workplace Hazardous Materials Information System)

14.3.1 Look for the existence of a WHMIS program (annual employee training, current MSDS's and supplier/workplace labels around the work site).

14.3.2 Check to ensure that MSDS sheets are current (less than 3 years old) and are available on the work sites.

Health & Safety Program Verification	<i>Score</i>	<i>Technique Employed</i>			<i>Points Awarded</i>
14. British Columbia Supplement		D	O	I	
14.1 Management Meetings			AND		
14.1.1 Do senior managers meet to review health and safety activities and trends on a regular basis?	4		AND		
Comments:					
14.1.2 Are recommendations from these meetings implemented in a timely manner?	2		AND		
Comments:					
14.2 Ergonomics			AND		
14.2.1 Are employees trained in recognition and prevention of musculoskeletal injuries?	3		AND		
Comments:					
14.3 Hazardous Materials					
14.3.1 Is there a written WHMIS program?	2				
Comments:					
14.3.2 Are MSDS sheets current and readily available?	2		AND		
Comments:					

14. British Columbia Supplement cont'd

14.3 Hazardous Materials (Workplace Hazardous Materials Information System) cont'd

14.3.3 Are there documented training records for employees exposed to or using controlled substances?

14.4 Monitoring Workplace Exposures

14.4.1 Verify by looking for written pre-job risk assessments, safe work procedures, control measures (i.e. respirators) and by ensuring health monitoring is done in accordance to legislative requirements. (i.e. audiometric (hearing) tests are completed annually for employees who are exposed to a high level of noise).

14.5 Violence in the Workplace

14.5.1 Verify by reviewing records, including training records or tool box talks, which can be used to transfer information. Look for specific topics such as violence in the workplace, dealing with conflict etc.

14.6 Joint Health and Safety Committee

14.6.1 Verify through observations and interviews that the meeting minutes are posted either at the worksite, office, trailer, job box etc. They should be accessible to workers, easy to read, posted in a timely manner and are consistently posted.

Health & Safety Program Verification	Score	Technique Employed			Points Awarded
14. British Columbia Supplement cont'd		D	O	I	
14.3 Hazardous Materials 14.3.3 Is training for employees working with controlled products done according to legislation?	2				
Comments:					
14.4 Workplace Exposure Monitoring 14.4.1 Is there a monitoring program for toxins (i.e. asbestos, silica, etc.) and/or mechanical hazards (i.e. noise etc.) in place?	4				
Comments:					
14.5 Violence in the workplace 14.5.1 Are employees trained to deal with violence in the workplace?	3		AND		
Comments:					
14.6 Joint Health and Safety Committee 14.6.1 Are committee minutes posted or easily accessible for workers?	5		AND		
Comments:					
Total points possible/awarded	27				



Audit Summary Sheet

Company: _____ Name of Auditor: _____ Date of Audit: _____

Section #	Section Name	Possible Score	Actual Score	Minimum Standard	Section Percentage
1	Company Health and Safety Policy	27		14	
2	Workplace Hazard Assessment and Control	44		22	
3	Safe Work Practices	16		8	
4	Safe Job Procedures	16		8	
5	Company Rules	9		5	
6	Personal Protective Equipment	18		9	
7	Preventative Maintenance	12		6	
8	Training and Communication	42		21	
9	Inspections	30		15	
10	Investigations and Reporting	30		15	
11	Emergency Preparedness	28		14	
12	Records and Statistics	18		9	
13	Legislation	12		6	
14	British Columbia Supplement	27		14	
TOTAL		329		263	

Minimum Standard = 80% overall score and 50% each section

Reviewed:

Senior Manager signature

Actual Score _____ x 100 = _____ %
Possible Score

Auditor signature

Standard Achieved: YES _____ NO _____

Goal for Next Audit: _____ Percentage

The goal for the next audit must be set by the senior manager.

Auditor Executive Summary Report

The Auditor Executive Summary Report is the SINGLE MOST important part of the audit process. The report must be detailed enough for the company to address the shortfalls in their program.

Step 1 – Paragraph 1

Thank the organization for their effort and help during the audit. Identify the individual who assisted during the audit.

Step 2 – Paragraph 2

State the positives that were found during the audit (i.e. worker involvement in hazard assessments, development of safe work practices etc.)

Step 3 – Paragraph 3

Summarize the audit by element, listing existing strengths and recommendations for improvement for each.

i.e. Element 1: Corporate Health and Safety Policy – management and workers are aware of their responsibilities. Supervisors need more information on their roles and responsibilities. Recommend the CSN Foundation for Health and Safety Excellence course.

Step 4

Recommend development, implementation, and follow-up on the suggestions that have been made in the form of an action plan.

Step 5

Thank the company for allowing you to present the audit, and that if they focus on the recommended changes, their program can be more effective at protecting its workers.

NOTE: The Auditor Executive Summary must be completed, dated and signed in ink.

Audit Submission Checklist

- Ensure that all boxes have been filled out completely with either a “✓” or an “X”.
- Ensure that all active worksites have been listed in the “list of active worksites” whether they were part of the audit or not.
- Submit the original copy of the audit for review and ensure that all changes/corrections have been initialled.
- Ensure that interview tally is completed and attached.
- Ensure that comments have been made for each criterion.
 - i.e. 1.1, 1.2, 1.2.1 etc.

Note: comments can be written as paragraphs and then referenced as 1.2-1.6, however the information must be clearly explained for each criterion.
- Where questions were deemed not applicable (N/A), ensure that the possible score for the section is adjusted accordingly and that the change is transferred to the audit summary page and that a sufficient comment is made.
- One-word comments do not convey adequate information. Ensure that comments provide insight into the points awarded.
- Auditor Executive Summary must include comments on strengths and recommendations for each element. The correct criterion for completing the executive summary is outlined in the audit document.
- Ensure that Corrective Action Plan is submitted
- Ensure that both the senior manager and auditor have signed the audit summary sheet.
- Ensure that the correct number of interviews were conducted.
- Ensure that a representative number of worksites were visited. In most cases, this will entail at least 1/3 of the active sites in addition to the office/shop.

Auditor Signature

Date

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

Audit Corrective Action Plan

The “Audit Corrective Action Plan” is to be completed by the company being audited (auditee) after the auditor has presented the completed audit results.

The Audit Corrective Action Plan describes the steps that will be taken to address deficiencies identified in the audit report. While it is the responsibility of the company (auditee) to complete the report, the auditor may be able to provide ideas on appropriate recommendations for corrective actions at the time the audit findings are presented to the company.

The Audit Corrective Action Plan will:

- prioritize identified deficiencies and recommendations from the audit
- identify corrective action(s) required
- assign responsibility
- establish implementation/completion dates, and
- set a date for the next audit.

Documented corrective action plans demonstrate a level of DUE DILIGENCE only when the corrective actions have been effectively implemented.

NOTE: THE CORRECTIVE ACTION PLAN MUST BE COMPLETED, DATED AND SIGNED IN INK BY OWNER OR SENIOR MANAGER AND SUBMITTED WITH THE AUDIT DOCUMENT

