



BASELINE HEALTH & SAFETY AUDIT

Terms of Reference

[Abstract](#)

This Terms of Reference (ToR) outlines the principles, resources, and steps involving in conducting the baseline health and safety audit for Siksika Tribal Administration.

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Terms of Reference

1.0 PRINCIPLES

1.1 Background

The Siksika Tribal Administration is developing a health and safety management for implementation across its operations, both office- and field-based. The Tribal Administration has some policies and procedures in place for employee health and safety but does not yet have a full management system in place to meet any standardized framework (i.e., ISO 45001 or Alberta's Certificate of Recognition program).

One aspect to be confirmed during the baseline audit is what health and safety legislation applies to the Tribal Administration's operations, and capital projects – Federal and/or Alberta.

1.2 Audit Purpose / Objectives

To begin the process, a baseline health and safety audit will be conducted to determine what the Tribal Administration has in place that is working effectively, what is in place but needs to be updated, and what areas area not addressed.

The baseline audit is a management system audit, not a compliance audit. The management system audit checks for applicable processes to be in place but does not verify compliance with every legislated health and safety requirement.

The baseline audit will satisfy several objectives:

- Raise awareness of health and safety with all employees
- Result in a prioritized 3-year health and safety action plan, leading to implementation of a complete health and safety management system
- Allow the Tribal Administration to apply to participate in the province's Certificate of Recognition (COR) program in the future, if appropriate

2.0 RESOURCES

2.1 Standards

The baseline audit will be based on the Alberta audit standard as established by Alberta Occupational Health and Safety through the voluntary program, Partnerships in Injury Reduction (PIR). The Certificate of Recognition (COR) standard is an essential part of PIR and the Alberta Municipal Health and Safety Association (AMHSA) is one safety association administering the COR program as a Certifying Partner (CP). Due to the similarity of the Tribal Administration's and municipal operations, AMHSA has been selected as the appropriate Certifying Partner for this baseline audit.

The COR audit standard is based on an integrated 10-element framework:

1. Organizational Leadership and Management Commitment
2. Hazard Assessment
3. Hazard Control
4. Joint Health and Safety Committees/Representatives
5. Qualifications, Orientation, Training
6. Other Parties at or in the Vicinity of the Work Site
7. Inspections
8. Emergency Response
9. Incident Investigation

10. System Administration

2.2 Tools

AuditSoft's COR audit tool (a commercial web-based audit tool) will be used for the baseline audit. It has been updated to incorporate the latest Alberta Occupational Health and Safety legislation and COR standards. It is accepted by AMHSA as a valid COR audit tool.

AMHSA also has an audit tool specific for psychological health and safety. That audit tool will be incorporated into the baseline audit questions.

3.0 PROCESS / STEPS

3.1 Table of Activities

The following table of activities outlines the steps needed to complete the baseline audit. Responsibility (either the auditor or the Tribal Administration) is also identified. Preliminary Dates will be added once the timing of the baseline audit has been confirmed.

ACTIVITY	RESPONSIBILITY	PRELIMINARY DATE
Pre-Audit Information Provided to Auditor <ul style="list-style-type: none"> • List of all Work Sites <ul style="list-style-type: none"> ○ Permanently manned ○ Unmanned sites • Org Chart / List of Employees <ul style="list-style-type: none"> ○ Is Council included in the WCB account? 	Service Area	
Establish audit sampling plans <ul style="list-style-type: none"> • Work sites for Observation Tours • Employees for Interviews 	QCSA / Auditor	
Develop list of documents to be reviewed	QCSA / Auditor	
Collect documents for review	Service Area	
Pre-Audit Letter to Council / Senior Leaders	QCSA / Auditor	
Audit Kick-off Meeting with potential attendees: <ul style="list-style-type: none"> • Senior leaders • Audit Contact • Health and Safety representative if available • Others as determined by the Tribal Administration 		
Documentation Review <ul style="list-style-type: none"> • This can be conducted remotely with electronic documents and on-site for hard copies 		
Interviews		

ACTIVITY	RESPONSIBILITY	PRELIMINARY DATE
<ul style="list-style-type: none"> These can be conducted remotely (via Zoom or Teams) and/or in-person 	QCSA / Auditor to conduct confidential 1-1 interviews	
Work Site Observation Tours	QCSA / Auditor to be escorted by a Service Area employee	
Close-out Meeting		
Report submission to AMHSA for Quality Assurance review	QCSA / Auditor	
Report submission to Tribal Administration after QA is complete	QCSA / Auditor	

4.0 AUDIT QUESTIONS

The audit questions are being updated for use starting January 2023. There may be slight modifications to the questions in the Appendix at the time the baseline audit is conducted, and any differences will be highlight to the audit contact as soon as they are known.

4.1 Documentation Review

Documents to be reviewed in the baseline audit are of two types: Organizational and Operational.

Organizational documents are the policies and procedures and templates used to define the Tribal Administration's health and safety program. Organizational documents usually address:

- Commitment to health and safety
- Employee health and safety responsibilities
- Policies and procedures for:
 - Hazard assessment processes
 - Prevention of violence and harassment
 - Employee orientation and training
 - Contractor management
 - Workplace Inspections
 - Incident reporting and investigations

Operational documents are completed documents using the established forms and templates. They often include:

- Performance evaluations / feedback on health and safety performance
- Completed hazard assessments (both formal and site-specific)
- Completed orientation records and training records
- Completed workplace inspections
- Completed incident reports and investigations
- Health and safety statistics and trending

A list of required documents is included in the Appendix.

4.2 Interviews

Confidential one-on-one interviews are conducted with employees across all levels and areas of operations. These interviews are not to test what each person knows about health and safety. They are intended to check that what was written in the policies and procedures is happening on the work sites.

Typical questions for workers would be about how health and safety are incorporated into their daily activities, what types of health and safety equipment or processes are available to them, what their health and safety rights and responsibilities are, how they report incidents or concerns, how they get health and safety information.

Typical questions for supervisors and managers are about how they manage the health and safety of their employees, how they make sure the health and safety processes are in place and working.

The sample of employees to be interviewed will include:

- People from different shifts (i.e., daytime, weekend, evenings)
- Permanent and temporary or casual employees
- New hires to those with many years of experience

The interviews are usually 30-40 minutes in length so that they are not rushed.

The interviews also give employees a chance to learn more about the Tribal Administration 's health and safety expectations and to ask questions.

With approximately 200 employees, the baseline audit would include 15-20 interviews.

Lists of questions for each level of the organization are included in the Appendix.

4.3 Observation Tours

The final step in gathering information for the baseline audit is to physically tour some of the work sites, including both permanently manned and some unmanned sites.

The Observation Tours will look for evidence that health and safety measures that were in the documents or mentioned in the interviews, are actually in place on the work sites.

With an estimated 15 work sites, 5 observation tours would be conducted.

A list of Observation Tour questions is included in the Appendix.

5.0 REPORTS

5.1 Executive Summary

An Executive Summary with key findings from the baseline audit will provide a high-level overview of the health and safety strengths and areas for improvement.

5.2 Audit Report

A detailed Audit Report will also be produced with details and scoring of each question (Documentation Review, Interview Summaries, and Observation Tour findings). Every strength and suggestion for improvement will be included in this version of the report to support the high-level strengths and suggestions for improvement that will be available in the Executive Summary.

5.3 Draft Action Plan Template

A draft prioritized 3-year Audit Action Plan will be provided based on the findings of the Audit Report. The actions will be specific to each question.

APPENDIX – AUDIT QUESTIONS

Document Questions

<p>1.01 Is there a written Health and Safety Policy signed by the current senior manager?</p> <p>Verified by reviewing written policy.</p> <p>To award the five points, the policy must be signed by the current senior manager, and must include:</p> <ul style="list-style-type: none"> • A 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. • The expectation that employees will comply with applicable legislation and the organization’s own health and safety standards. <p><i>Ex) Health and Safety Policy</i></p>
<p>1.05 Have specific health and safety responsibilities been written for all levels?</p> <p>Verified by reviewing documentation other than the policy (e.g., job descriptions, health and safety manuals, staff handbooks, etc.). There must be responsibilities written for all applicable employee levels: senior managers, managers, supervisors, workers.</p> <p><i>Ex) Written statement of responsibilities, job descriptions, employee contracts/ manuals, staff handbooks, etc.</i></p>
<p>1.12 Does management participate in meetings where health and safety is discussed?</p> <p>Verified by review of health and safety meeting minutes.</p> <p>To award points there must be documented evidence of management participation in meetings where health and safety is on the agenda.</p> <p><i>Ex) Health and safety meeting minutes</i></p>
<p>2.01 Have jobs been inventoried for the purpose of formal hazard assessments?</p> <p>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.</p> <p><i>Ex) Inventory of job positions, task, or job inventories</i></p> <p>Note that sampling is not acceptable for this question.</p>
<p>2.02 Has the employer compiled a list of tasks associated with each job?</p> <p>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.</p> <p><i>Ex) Completed hazard assessment forms (may be formal hazard assessments, job safety analysis, etc.).</i></p> <p>Note that site specific hazard assessments cannot be used to score this question.</p>

2.03 Are health and safety hazards identified for the tasks associated with each job?

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 2.02).

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. 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.

Ex) Completed hazard assessment forms (may be formal hazard assessments, job safety analysis, etc.).

Note that site specific hazard assessments cannot be used to score this question.

2.04 Have the identified health and safety hazards been evaluated according to risk?

Verified by review of formal hazard assessments to confirm that each hazard identified in question 2.03 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.

Ex) Completed hazard assessment forms (may be formal hazard assessments, job safety analysis, etc.).

Note that site specific hazard assessments cannot be used to score this question.

2.08 Are employees designated to lead the formal hazard assessment process trained?

Verified by review of formal hazard assessments and training records. Employees who **lead the formal hazard assessment** 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.

Ex) Training records of individuals conducting hazard assessments, course materials for hazard assessment training, etc.

2.09 Is there a written policy and/or process to review formal hazard assessments?

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, and
- when an investigation identifies a new hazard.

Ex) Policy or process to review formal hazard assessments. May include documents outlining process/procedural changes, updated hazard assessment forms, decisions reached in meeting minutes, memos directing a hazard control be implemented, supervisor's logbook, etc.

2.11 Does the employer have a process for conducting site-specific hazard assessments when:

A) A new activity has been temporarily introduced at the work site?

B) Work is conducted at a temporary/mobile work site (owned by the employer or not)?

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.

Ex) Documents outlining the policy/process/procedure for conducting site specific hazard assessments.

Part B may be marked as N/A if the employer does not have temporary/mobile work sites.

2.12 Have site-specific hazard assessments been:

A) Conducted before work begins on the day of the job?

B) Repeated if changes are introduced?

Verified by review of completed site-specific hazard assessments.

Ex) Completed site specific hazard assessments

May be marked as N/A if site-specific hazard assessments were not required in the previous 12 months.

2.13 Have controls been identified for site specific hazard assessments?

Verified by review of documentation. Site-specific hazard assessment records must identify controls.

Ex) Completed site specific hazard assessments

May be marked as N/A if site-specific hazard assessments were not required in the previous 12 months.

3.01 Have controls been identified for the hazards listed in the formal hazard assessments?
<p>Verified by review of formal hazard assessments. Hazard assessments must include controls for each hazard identified, including engineering, administrative, and PPE controls where applicable.</p> <p><i>Ex) Completed hazard assessment forms (may be formal hazard assessments, job safety analysis, etc.).</i></p> <p>Note that site specific hazard assessments cannot be used to score this question.</p>
3.03 Have the identified administrative controls been implemented?
<p>Verified by review of documentation. Refer to question 3.01 obtain a sample of administrative controls to verify through a review of documentation.</p> <p><i>Ex) Completed hazard assessment forms, job procedures, work practices, rules, job schedule or rotation of workers, training records, etc.</i></p> <p>Include high hazard items in the sample to verify they have been given priority.</p>
3.08 Is there a process in place for preventative maintenance of equipment, vehicles, facilities, and tools?
<p>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.</p> <p><i>Ex) Documents outlining the procedure for the preventative maintenance process for equipment, vehicles, facilities and tools.</i></p>
3.09 Is the preventative maintenance process in use?
<p>Verified by review of documentation. Documentation must confirm that preventative maintenance is being performed according to the schedule as identified in question 3.08.</p> <p><i>Ex) Preventative maintenance records of equipment, tools, and PPE. Work order records, defective equipment tags, written policy/procedure for the removal of defective equipment.</i></p>
3.11 Is there a written Violence Prevention Policy as per legislative requirements?
<p>Verified by review of documentation.</p> <p>As part of an employer's violence prevention plan, a policy must be in place that includes (but is not limited to):</p> <ul style="list-style-type: none"> • 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; • a statement that the policy is not intended to discourage a worker from exercising their rights. <p><i>Ex) Violence Prevention Plan that includes policies and procedures.</i></p>

3.12 Are there Violence Prevention Procedures written as per legislative requirements?

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.

Ex) Violence Prevention Plan that includes policies and procedures.

3.14 Is there a Harassment Prevention Policy as per legislative requirements?

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.

Ex) Harassment Prevention Plan that includes policies and procedures.

3.15 Are there Harassment Prevention Procedures written as per legislative requirements?

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.

Ex) Harassment Prevention Plan that includes policies and procedures.

3.17 Have the Violence and Harassment Policies and Procedures been reviewed?

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.

Ex) Violence Prevention Plan that includes policies and procedures. Harassment Prevention Plan that includes policies and procedures.

4.01 Do the terms of reference for the HSC include all legislated requirements?
<p>Verified by review of documentation. A terms of reference for the HSC must include:</p> <ul style="list-style-type: none"> • 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. <p><i>Ex) HSC policies, procedures, terms of reference, meeting minutes, etc.</i></p> <p>May be marked as N/A if the employer is only required to have a HS Rep.</p>

4.02 Does a policy or procedure include all legislated requirements for an HS representative?
<p>Verified by review of documentation. A policy or procedure for the HS representative(s) must include a requirement to appoint a representative(s); reporting to management; term of office; and training requirements.</p> <p><i>Ex) HSR policies, procedures, terms of reference, meeting minutes, etc.</i></p> <p>May be marked as N/A if the employer is only required to have an HSC.</p>

4.03 Has the HSC been established as required in the terms of reference?
<p>Verified by review of documentation. Review terms of reference and meeting minutes to determine if there is an established HSC.</p> <p><i>Ex) HSC policies, procedures, terms of reference, meeting minutes, etc.</i></p> <p>May be marked as N/A if the employer is only required to have a HS Rep.</p>

4.04 Has a HS representative been appointed?
<p>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.</p> <p><i>Ex) HSR policies, procedures, terms of reference, meeting minutes, etc.</i></p> <p>May be marked as N/A if the employer is only required to have an HSC.</p>

4.05 Have duties been written for the HSC and/or HS representative(s)?

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 promoting health and safety education and training;
- conducting inspections of the work site;
- participating in investigations;
- developing and promoting health and safety measures, and checking effectiveness;
- making recommendations to improve the health and safety management system; and
- maintaining records pertaining to the committee associated with the above duties.

Ex) Written statement of the HSC and/or HS representative duties and responsibilities.

4.06 Have the HSC members and/or the HS representative(s) been trained in their duties and responsibilities?

Verified by review of documentation.

Review training records for committee members and/or the HS Representative(s).

Ex) Training records of HSC members and/or HS representatives.

4.09 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?

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.

Ex) HSC and/or HSR policies, procedures, terms of reference, meeting minutes, etc.

4.12 Are health and safety concerns/complaints resolved in a timely manner?

Verified by review of documentation. Consider the complexity of the concerns/complaints to determine timeliness.

Ex) Documentation that supports corrective actions having been completed in a timely manner (feedback forms, emails, HSC meeting minutes, communications, etc.)

May be marked as N/A if no concerns/complaints received in the previous 12 months.

4.13 Does the HSC hold meetings as identified in the terms of reference?

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.

Ex) HSC policies, procedures, terms of reference, meeting minutes, etc.

May be marked as N/A if the employer is only required to have a HS Rep.

4.14 Are formal inspections completed prior to HSC meetings?
<p>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.</p> <p><i>Ex) Meeting minutes and formal inspections.</i></p> <p>May be marked as N/A if the employer is only required to have a HS Rep.</p>
5.01 Is there a process to ensure employees are qualified for the position for which they are being considered?
<p>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.).</p> <p><i>Ex) Blank application forms, hiring records, training records, copies of trade certificates/diplomas/degrees, proof of apprenticeship program, driver's license, etc.</i></p>
5.02 Does the orientation process cover OHS rights, and critical health and safety information prior to starting regular duties?
<p>Verified by review of documentation.</p> <p>OHS rights, and critical health and safety information must be reviewed with the employee prior to beginning regular duties.</p> <p>These must, at minimum include:</p> <ul style="list-style-type: none"> • right to know, • right to participate, • right to refuse dangerous work, • emergency response procedures, • rules of enforcement, • critical hazards, • hazard reporting, and • incident reporting. <p><i>Ex) Orientation records, orientation checklist, orientation package/contents</i></p>

5.04 Are managers/supervisors provided with training to support them in their role?

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 1.05, job descriptions, job competencies, etc. Link this back to training documents and interviews. Provide examples.

Ex) Department/job specific training material and training records.

5.05 Do employees receive job-specific training when they are a new employee, assigned new tasks, or when an operational change affects their work?

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.

Ex) Department/job specific training material and training records.

5.08 Are competency assessments conducted?

Verified by reviewing documentation.

Verify that competency assessments are being conducted as identified by the employer. **Refer to question 5.07.**

Ex) Completed competency assessments.

5.09 Is required refresher training provided?

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.

Ex) Department/job specific training material and training records.

6.01 Is a policy and/or process in place to address the protection of others not under the employer's direction?

Verified by review of documentation.

The policy and/or process must consider 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.

Ex) Policy and/or process to address the protection of others not under the employers' direction.

6.02 Is a process in place that includes criteria for evaluating and selecting other employers and/or self-employed persons?
<p>Verified by review of documentation.</p> <p>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.</p> <p><i>Ex) Policy and/or process for monitoring, evaluating, and selecting other employers and/or self-employed persons.</i></p> <p>If the auditor can confirm that the employer does not use other employers and/or self-employed persons, the question may be marked N/A.</p>

6.03 Is a policy and/or process in place that includes a system for monitoring other employers and/or self-employed persons?
<p>Verified by review of documentation.</p> <p>A process to monitor health and safety performance and correct identified deficiencies must be in place for other employers and/or self-employed persons during the period of the contracted services.</p> <p><i>Ex) Policy and/or process for monitoring, evaluating, and selecting other employers and/or self-employed persons.</i></p> <p>If the auditor can confirm that the employer does not use other employers and/or self-employed persons, the question may be marked N/A.</p>

6.04 Are health and safety orientations provided to:
<p>A) Visitors?</p> <p>B) Contractors?</p>
<p>Verified by review of documentation.</p> <p>Confirm orientations are provided to other employers, and/or self-employed persons, and visitors (e.g., visitor logs, contractor sign off, etc.).</p> <p><i>Ex) Orientation records, orientation checklist, orientation package/contents for visitors, other employees, and/or self-employed persons.</i></p> <p>Part B may be marked N/A if the employer does not use other employers and/or self-employed persons.</p>

6.08 Is a process in place to address non-compliance of other employers and/or self-employed persons under the direction of the contracting employer?

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.

Ex) Process for non-compliance of other employers and/or self-employed persons at the work site.

If the auditor can confirm that the employer does not use other employers and/or self-employed persons, the question may be marked N/A.

7.01 Is there an inspection policy and/or process that states the frequency of inspections and includes the following:

A) All areas of the operation?

B) All employee levels?

Verified by review of inspection policy and/or process.

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.

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.

Ex) Health and Safety Policy and Procedures Manual, Inspection Policy and/or Process, inspection records, inspection schedule.

7.02 Are checklists or forms used for formal inspections?

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.

Ex) Inspection checklist (blank or completed), inspection reports.

7.03 Have individuals leading formal inspections received training?

Verified by review of inspection and training records.

Identify employees leading inspections and verify they have completed training.

Ex) Training records of individuals designated to conduct inspections.

7.04 Are formal inspections carried out in accordance with the policy and/or process by
A) Managers?
B) Supervisors?
C) Workers?

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 (identified in question 7.01).

Ex) Completed inspection reports, checklists, or forms.

To award points for Part A, there must also be documented evidence that inspections conducted by management include a component of employee observation (behaviours and conditions).

8.01 Have written emergency response plans been developed for potential emergencies?

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.

Ex) Emergency Response Plans and/or Procedure

8.02 Do written emergency response plans include:

- A. Communication systems?**
- B. Emergency phone numbers?**
- C. List of emergency response personnel?**
- D. Appropriate Response?**
- E. Monitoring the effectiveness of the plan?**

Verified by review of emergency response plans and/or procedures.

- A. Communication systems include alarms, procedures for contacting both internal and external emergency contacts, etc.
- B. Emergency phone numbers must include more than "9-1-1."
- C. A list of persons designated to respond to specific types of emergencies.
- D. 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.).
- E. A requirement to monitor the effectiveness of the plan through drills and actual responses.

Ex) Emergency Response Plans and/or Procedure

Notes must include examples of auditor findings to support the scores for each part of the question.

8.05 Are emergency response drills conducted?

Verified by review of records. Records of drills must be kept. Drills are required at least once every 12 months applicable to the operations.

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.

Ex) Emergency Response drill records, minutes of meetings, emergency response table-top review exercises.

If records cannot be found from the past 12 months, points cannot be awarded for this question. Actual emergency responses cannot be used as a drill for scoring this question.

8.06 Have deficiencies in the emergency response plan identified through a drill been corrected?

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.

Ex) Emergency Drill Response records, minutes of meetings documenting review of drills, documents outlining corrective action or change in procedures as a result of the drills.

May be marked as N/A if no deficiencies identified from drills. If 0% awarded in 8.05, 0% must be awarded for this question.

8.07 Have deficiencies in the emergency response plan identified through an actual emergency response been corrected?

Verified by review of emergency response documentation. Notes must contain examples of how identified issues were corrected.

Ex) 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.

May be marked as N/A if an actual emergency has not occurred or deficiencies were not noted in the previous 12 months.

8.08 Do the numbers of employees trained in first aid meet legislated requirements?

Verified by review of documentation.

Refer to legislation and review first aid certificates.

Ex) First aid regulations, first aid certificates, first aid training records, shift schedules of certified first aiders.

Must verify that legislated first aid requirements have been met across all shifts.

9.01 Is there a policy and/or process that requires the reporting of incidents (including near miss), occupational illness, and work refusals?
<p>Verified by review of documentation.</p> <p>A policy and/or process must require the reporting of incidents (including near misses), occupational illness, and work refusals to award full points. These must include both internal and external reporting (e.g., OHS, WCB, etc.).</p> <p><i>Ex) Incident reporting procedures and/or process, reporting forms (blank/completed).</i></p>
9.03 Do employees report incidents, occupational illnesses and work refusals?
<p>Verified by review of documentation. Review completed incident, occupational illness, and work refusal reports that support reporting is taking place.</p> <p><i>Ex) Completed incident investigation reports.</i></p> <p>May be marked as N/A if no incidents in previous 12 months.</p>
9.04 Do employees report near misses?
<p>Verified by review of documentation.</p> <p>Review completed near miss reports to support that reporting is taking place.</p> <p><i>Ex) Completed near miss and incident forms.</i></p> <p>May be marked as N/A if the employer is low-hazard/does not have field sites AND had no near misses reported in the previous 12 months.</p>
9.05 Is there a procedure for investigating incidents (including near miss), occupational illness, and work refusals?
<p>Verified by review of documentation.</p> <p>The procedure must include: how to investigate incidents (near misses), occupational illness, work refusals; how to identify root causes; and the requirement to implement corrective actions.</p> <p><i>Ex) Incident reporting procedures and/or process, reporting forms (blank/completed).</i></p>
9.06 Have the individuals leading investigations been trained in investigation techniques?
<p>Verified by review of completed investigation records and training records.</p> <p>Review training records of individuals who have completed investigation reports and confirm they have received training. If third party investigators are brought in, documented evidence of this must exist.</p> <p><i>Ex) Training records of individuals conducting investigations, investigation training course materials.</i></p>

**9.09 Do investigations:
A) Identify root causes?
B) Recommend corrective actions?**

Verified by reviewing completed investigation reports.

Investigations must identify the root causes resulting from deficiencies in the health and safety system. 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).

Ex) Completed incident investigation reports, investigation report forms, memos outlining implementation of corrective actions, minutes of meetings outlining results of investigation.

If no investigations have been conducted in the previous 12 months, refer to blank investigation forms or investigation process.

9.10 Are corrective actions identified in investigation reports implemented to prevent reoccurrence?

Verified by review of documentation. If corrective actions include administrative controls, implementation may be confirmed through documentation (e.g., training, memos, safety bulletins, etc.). Provide examples.

Documentation points are awarded based on the percentage of corrective actions reviewed in question 9.09 B that can be verified as implemented.

Ex) Completed incident investigation reports, investigation report forms, memos outlining implementation of corrective actions, minutes of meetings outlining results of investigation.

9.11 Are investigations completed in a timely manner?

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).

Ex) Completed incident investigation reports, investigation report forms, memos outlining implementation of corrective actions, minutes of meetings outlining results of investigation.

9.12 Do managers/supervisors ensure investigations are complete as required by the investigation procedures?

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 9.05.

Ex) Completed incident investigation reports, investigation report forms, memos outlining implementation of corrective actions, minutes of meetings outlining results of investigation.

10.03 Are health and safety records/statistics analyzed to identify trends on at least an annual basis?

Verified by review of documentation. Notes must provide examples of the records/statistics being analyzed, and any trends/gaps identified by the employer.

Ex) Company specific monthly, quarterly, or annual health and safety reports, analysis of injury reports, graphical reports of health and safety statistics to show trends, etc.

10.05 Is an OHSMS evaluation or action plan completed at least annually?
<p>Verified by review of previous evaluations. Evaluations or action plans must be completed annually to support continuous improvement.</p> <p><i>Ex) Previous health and safety system evaluations.</i></p> <p>May be marked as N/A if this is the employer’s first H&S evaluation.</p>
10.07 Was a plan developed to address identified OHSMS deficiencies from the previous evaluation?
<p>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: measurable action items, completion dates, and individuals responsible for follow-up.</p> <p><i>Ex) Health and safety action plans.</i></p> <p>May be marked as N/A if this is the employer’s first H&S evaluation.</p>
10.08 Has the plan been implemented?
<p>Verified by review of documentation.</p> <p>Verify if the items identified in question 10.07 have been initiated or implemented.</p> <p><i>Ex) Health and safety action plans.</i></p> <p>May be marked as N/A if this is the employer’s first H&S evaluation.</p>

Worker Interviews

<p>1.04 What are some of the key points listed in the Health and Safety Policy?</p>
<p>Verified by employee interviews.</p> <p>Employees must be able to explain, in general terms, the policy’s content. Provide examples.</p>
<p>1.06A Can you provide some examples of how the three OHS Rights (right to be informed, right to participate, and right to refuse dangerous work) apply to the work you do?</p>
<p>Verified by employee interviews.</p> <p>Employees must be able to identify the three OHS rights (right to know, right to participate, right to refuse dangerous work),</p> <p>Provide examples.</p>
<p>1.06B Can you provide some examples of the health and safety responsibilities that you have been assigned by your employer?</p>
<p>Verified by employee interviews.</p> <p>Employees must be able to identify what their company designated health and safety responsibilities are (e.g., report incidents, follow safe work procedures, participate in inspections, take required training, etc.). Provide examples.</p>
<p>1.06C Can you provide some examples of legislation that is applicable to you under the Occupational Health and Safety Act, Regulation and Code?</p>
<p>Verified by employee interviews. Employees must be able to identify legislation that applies to the work they do. Provide examples.</p>
<p>1.08 How is your health and safety performance evaluated?</p>
<p>Verified by employee interviews. Employees at all levels must be able to explain how their occupational health and safety performance is evaluated. These can include: performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc. Provide examples.</p> <p><i>Ex) performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.</i></p>
<p>1.09 How does senior management (i.e., the boss/the owner) communicate to you that health and safety is important? How often?</p>
<p>Verified by employee interviews. Notes must include examples of how senior management communicates health and safety commitment. Provide examples.</p>

<p>1.10 How does senior management demonstrate they are committed to your company's health and safety system?</p>
<p>Verified by employee interviews. Employees must identify how senior management demonstrates their commitment to health and safety (e.g., site tours, participation in inspections or committees, using hazard controls, etc.). Provide examples.</p>
<p>1.13 What kinds of resources does senior management provide to implement and improve the health and safety system</p>
<p>Verified by employee interviews. Interviewees must be able to describe health and safety resources provided (e.g., paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.). Provide examples.</p> <p><i>Ex) paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.</i></p>
<p>2.07 How are you involved in the formal hazard assessment process?</p>
<p>Verified by worker interviews. Workers must be able to describe how they participated in the development and/or review and revision of formal hazard assessments and the identification of controls. Provide examples.</p> <p><i>Auditor may have to explain formal hazard assessment, as the employer may use different terminology</i></p>
<p>2.10 Hazard Assessment Lead – When are formal hazard assessments reviewed?</p>
<p>Verified by <i>hazard assessment lead</i> interviews. Hazard assessment leads are those that lead the hazard assessment process (e.g., managers, supervisors, team leaders, etc.). Interviewees should be able to describe examples of formal hazard assessments that have been reviewed as per the policy and/or process. For example, if a new process has been introduced, or a new hazard has been identified from inspections or investigations. Provide examples.</p> <p>Auditor to determine if interviewee would be considered a lead employee for the purpose of hazard assessment review. N/A if they are not.</p>
<p>2.14 How are you involved in the site-specific hazard assessment process?</p>
<p>Verified by manager/supervisor and worker interviews. Interviewees must be able to describe how they participate in the site-specific hazard assessment process. Provide examples.</p> <p>May be marked as N/A if site-specific hazard assessments were not required in the previous 12 months.</p>
<p>2.15 How do you report new hazards, including unsafe or unhealthy conditions and practices?</p>
<p>Verified by worker interviews. Workers must be able to describe the system to report unsafe or unhealthy conditions and practices.</p>
<p>3.05 How are changes to hazard controls communicated to you?</p>
<p>Verified by employee interviews. Interviewees must be able to explain how they were informed of a change to hazard controls relevant to their job tasks. If no changes have been made, interviewees must be aware of how they will be informed of changes. Provide examples.</p>

3.06 What hazard controls do you use?
Verified by employee interviews. Interviewees must confirm their use of hazard controls. Observe employees performing their jobs, and verify they are using the established hazard controls identified in the interviews. Provide examples.
3.07 How do managers/supervisors ensure you are using the established hazard controls to perform your work safely?
Verified by managers/supervisors and worker interviews. Managers/supervisors must be able to give examples of how they enforce the use of controls. Workers must be able to describe the enforcement process. Provide examples.
3.10 When and how is defective equipment, vehicles, facilities, or tools removed from service or for repair?
Verified by worker interviews. Worker interviews must be able to describe when and how defective equipment, vehicles, facilities, and tools are removed from service or for repair (e.g., tag out, lock out, energy isolation, etc.). Provide examples.
3.13 What are some key points found in the Violence Prevention Plan?
Verified by employee interviews. Employees must be able to explain, in general terms, the plan's content, such as how they report violence and how they would obtain immediate assistance. Provide examples.
3.16 What are some key points found in the Harassment Prevention Plan?
Verified by employee interviews. Employees must be able to explain, in general terms, the plan's content, such as how they report harassment. Provide examples.
4.07 HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities?
<p>Verified by HSC and/or HS representative(s) interviews. Interviewees must be able to describe their general duties and responsibilities (e.g., participation in hazard identification, investigations, and inspections; development and promotion of hazard controls; handling health and safety concerns, etc.).</p> <p>Auditor to determine if interviewee would be considered a Health and Safety Committee (HSC) member or the Health and Safety Representative (HS representative). N/A if they are not.</p>
4.08 What health and safety activities are performed by your committee members or health and safety representative?
Verified by employee interviews. Interviewees must be able to confirm that committee members and/or representative(s) are involved in health and safety activities. Provide examples.

<p>4.10 How can you provide feedback regarding health and safety concerns and complaints to your committee members or health and safety representative?</p>
<p>Verified by employee interviews. Employees must be able to explain how they bring forward health and safety concerns and complaints to the HSC and/or HS representative(s).</p>
<p>5.03 Did your manager/supervisor ensure you received an orientation? When was your orientation provided?</p>
<p>Verified by manager/supervisor and worker interviews. Managers/supervisors and workers must be able to describe the process used to ensure workers have received orientation prior to employees starting regular duties. Provide examples.</p> <p><i>Ex) on the first day, training prior to the first day, prior to starting my duties, etc.</i></p>
<p>5.05 What type of training did you receive when you were hired, when a new task was assigned, or when there were operational changes that affected your work?</p>
<p>Verified by review of training documents and employee interviews. Employees must be trained in the hazards and controls associated with their job.</p> <p>Examples may include a combiTribal Administration 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.</p>
<p>5.06 Practical demonstrations are considered an integral component of training. What are some examples of practical demonstrations you were required to complete as part of your job-specific training?</p>
<p>Verified by worker interviews. Training must include a practical demonstration to confirm that employees have acquired the necessary knowledge or skill related to the subject-matter. Provide Examples.</p> <p>Due to the nature of some tasks, a practical demonstration may not be suitable (e.g., working at the computer, etc.); however, there are tasks that require job-specific or specialized training to ensure the worker can competently complete the task (e.g., tasks associated with forklifts, ladders, hand tools, pallet wrappers, etc.). In these situations, a practical demonstration would be suitable.</p>
<p>8.03 What type of training have you received in emergency response?</p>
<p>Verified by employee interviews. Interviewees must be able to describe the type of training they received in emergency response. Provide examples.</p> <p><i>Ex) fire control, rescue, first aid, lock down procedures, shelter in place, etc.</i></p>
<p>8.04 What are your emergency response responsibilities?</p>
<p>Verified by employee interviews. Interviewees must be able to describe how they would respond in the event of an emergency. Provide examples.</p>

9.02 What is the process you follow for reporting incidents (including near misses), occupational illnesses or work refusals?
Verified by employee interviews. Interviewees must be able to explain the process for reporting incidents (including near misses), occupational illness, and work refusals. Provide examples.
9.08 How do workers participate in the investigation process?
Verified by worker interviews. Not all workers need to actively participate in the incident investigation process; however, <i>all workers must be able to describe</i> how workers participate in the investigation process. Provide examples. Participation must be more than as the injured worker or witness.
9.13 How are the results from incident investigations communicated to you?
Verified by employee interviews. Interviewees must be able to describe how investigation results are communicated. Provide examples.
10.01A How are health and safety issues communicated to you?
Verified by worker interviews. Interviewees must be able to describe how employees are advised of health and safety issues by management (e.g., newsletter, safety meetings, emails, posted bulletins, posters, etc.). Provide examples.
10.01B How can you provide feedback on health and safety issues?
Verified by worker interviews. Interviewees must be able to describe how they are able to offer feedback on health and safety issues (e.g., health and safety meetings, suggestion boxes, contacts with supervisor, etc.). Provide examples.
10.02 How is health and safety information made available to you?
Verified by employee interviews. Health and safety information (e.g., hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC meeting minutes, etc.) is readily available to employees. Provide examples.
10.06 How have the results from health and safety system evaluations been communicated to you?
Verified by employee interviews. Interviewees must be able to describe how the evaluation or action plan results are communicated to them. Provide examples. May be marked as N/A if this is the employer’s first H&S evaluation.

Supervisor Interviews

1.03 How do you ensure that employees are made aware of the policy?
Verified by senior manager, manager, and supervisor interviews. Interviewees must be able to describe how they ensure that the policy is communicated to employees.
1.04 What are some of the key points listed in the Health and Safety Policy?
Verified by employee interviews. Employees must be able to explain, in general terms, the policy's content. Provide examples.
1.06A Can you provide some examples of how the three OHS Rights (right to be informed, right to participate, and right to refuse dangerous work) apply to the work you do?
Verified by employee interviews. Employees must be able to identify the three OHS rights (right to know, right to participate, right to refuse dangerous work), Provide examples.
1.06B Can you provide some examples of the health and safety responsibilities that you have been assigned by your employer?
Verified by employee interviews. Employees must be able to identify what their company designated health and safety responsibilities are (e.g., report incidents, follow safe work procedures, participate in inspections, take required training, etc.). Provide examples.
1.06C Can you provide some examples of legislation that is applicable to you under the Occupational Health and Safety Act, Regulation and Code?
Verified by employee interviews. Employees must be able to identify legislation that applies to the work they do. Provide examples.
1.07 What are your responsibilities to ensure the health and safety of employees under your supervision?
Verified by manager and supervisor interviews. Managers and supervisors must be able to describe how they ensure the health and safety of the employees under their supervision.
1.08 How is your health and safety performance evaluated?
Verified by employee interviews. Employees at all levels must be able to explain how their occupational health and safety performance is evaluated. These can include: performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc. Provide examples. <i>Ex) performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.</i>

1.09 How does senior management (i.e., the boss/the owner) communicate to you that health and safety is important? How often?

Verified by employee interviews. Notes must include examples of how senior management communicates health and safety commitment. Provide examples.

1.10 How does senior management demonstrate they are committed to your company’s health and safety system?

Verified by employee interviews. Employees must identify how senior management demonstrates their commitment to health and safety (e.g., site tours, participation in inspections or committees, using hazard controls, etc.). Provide examples.

1.13 What kinds of resources does senior management provide to implement and improve the health and safety system

Verified by employee interviews. Interviewees must be able to describe health and safety resources provided (e.g., paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.). Provide examples.

Ex) paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.

2.05 What are some of the high hazard (critical) tasks associated with your company’s operation?

Verified by senior manager interviews. Senior management must be knowledgeable of the high hazard (critical) tasks related to their operations (identified in question 2.04). Provide examples.

Only ask this question if it is determined the interviewee is the highest level of management within the scope of the audit. N/A if not.

2.06 How do supervisors participate in the formal hazard assessment process?

Verified by supervisor interviews.

Confirm that management and supervisory levels are involved in the formal hazard assessment process, and/or in the regular review of formal hazard assessments. Provide examples.

2.10 Hazard Assessment Lead – When are formal hazard assessments reviewed?

Verified by ***hazard assessment lead*** interviews. Hazard assessment leads are those that lead the hazard assessment process (e.g., managers, supervisors, team leaders, etc.). Interviewees should be able to describe examples of formal hazard assessments that have been reviewed as per the policy and/or process. For example, if a new process has been introduced, or a new hazard has been identified from inspections or investigations. Provide examples.

Auditor to determine if interviewee would be considered a lead employee for the purpose of hazard assessment review. N/A if they are not.

2.14 How do you involve affected employees in the site-specific hazard assessment process?
Verified by manager/supervisor and worker interviews. Interviewees must be able to describe how they participate in the site-specific hazard assessment process. Provide examples. May be marked as N/A if site-specific hazard assessments were not required in the previous 12 months.
3.05 How are changes to hazard controls communicated to you?
Verified by employee interviews. Interviewees must be able to explain how they were informed of a change to hazard controls relevant to their job tasks. If no changes have been made, interviewees must be aware of how they will be informed of changes. Provide examples.
3.06 What hazard controls do you use?
Verified by employee interviews. Interviewees must confirm their use of hazard controls. Observe employees performing their jobs, and verify they are using the established hazard controls identified in the interviews. Provide examples.
3.07 How do managers/supervisors ensure you are using the established hazard controls to perform your work safely?
Verified by managers/supervisors and worker interviews. Managers/supervisors must be able to give examples of how they enforce the use of controls. Workers must be able to describe the enforcement process. Provide examples.
3.13 What are some key points found in the Violence Prevention Plan?
Verified by employee interviews. Employees must be able to explain, in general terms, the plan's content, such as how they report violence and how they would obtain immediate assistance. Provide examples.
3.16 What are some key points found in the Harassment Prevention Plan?
Verified by employee interviews. Employees must be able to explain, in general terms, the plan's content, such as how they report harassment. Provide examples.
4.07 HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities?
Verified by HSC and/or HS representative(s) interviews. Interviewees must be able to describe their general duties and responsibilities (e.g., participation in hazard identification, investigations, and inspections; development and promotion of hazard controls; handling health and safety concerns, etc.). Auditor to determine if interviewee would be considered a Health and Safety Committee (HSC) member or the Health and Safety Representative (HS representative). N/A if they are not.

4.08 What health and safety activities are performed by your committee members or health and safety representative?

Verified by employee interviews. Interviewees must be able to confirm that committee members and/or representative(s) are involved in health and safety activities. Provide examples.

4.10 How can you provide feedback regarding health and safety concerns and complaints to your committee members or health and safety representative?

Verified by employee interviews. Employees must be able to explain how they bring forward health and safety concerns and complaints to the HSC and/or HS representative(s).

4.11 Can you explain how the HSC members and/or HS representative would make health and safety recommendations to management?

Verified by manager/supervisor interviews. Interviewees must be able to explain how they receive recommendations from the HSC and/or HS representative(s) regarding the health and safety of employees.

5.01 How does the company verify that employees have the qualifications required to do the job for which they are being hired?

Verified by review of documentation and manager/supervisor interviews. 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.).

Managers/supervisors must be able to describe the process used to verify that employees have the qualifications required to do the job for which they are being hired. Provide examples.

Ex) degrees, diplomas, certificates, trade certificates, apprenticeship program, diplomas, driver's licenses, etc.

5.03 How does your company ensure employees receive orientations prior to starting regular duties?

Verified by manager/supervisor and worker interviews. Managers/supervisors and workers must be able to describe the process used to ensure workers have received orientation prior to employees starting regular duties. Provide examples.

Ex) on the first day, training prior to the first day, prior to starting duties, etc.

5.04 What type of training have you received to support your role as a manager/supervisor?

Verified by review of training documents and manager/supervisor interviews. 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 1.05, job descriptions, job competencies, etc. Link this back to training documents and interviews. Provide examples.

5.05 When an employee is hired or assigned a new job, task, or when an operational change affects their work, what type of training is provided?

Verified by review of training documents and employee interviews. Employees must be trained in the hazards and controls associated with their job.

Examples may include a combiTribal Administration 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.

5.07 How do you determine the competency of your new workers? Reassigned workers?

Verified by manager/ supervisor interviews. Managers and supervisors must be able to describe how they determine the competency of their workers (e.g., on the job training, task observation, testing, etc.). Reassignment can include a new job, task, or when a worker moves to a new location. Provide examples.

6.03 Explain how you monitor the health and safety performance of other employers and/or self-employed persons on the work site.

Verified by review of documentation and manager/supervisor interviews. A process to monitor health and safety performance and correct identified deficiencies must be in place for other employers and/or self-employed persons during the period of the contracted services.

If the auditor can confirm that the employer does not use other employers and/or self-employed persons, this question may be marked as N/A.

6.05A How do you communicate with external work site parties regarding their health and safety responsibilities?

Verified by interviewing managers/supervisors. Interviewees must be able to describe the process in use and provide examples of how external work site parties are made aware of their health and safety responsibilities, work site hazards and controls, and any changes that may affect their health and safety. Provide examples.

Work site parties can include other employers (including self- employed persons, visitors, prime contractors, supplies, service providers, etc.).

6.05B How do you communicate with external work site parties regarding work site hazards and controls?

Verified by interviewing managers/supervisors. Interviewees must be able to describe the process in use and provide examples of how external work site parties are made aware of their health and safety responsibilities, work site hazards and controls, and any changes that may affect their health and safety. Provide examples.

Work site parties can include other employers (including self- employed persons, visitors, prime contractors, supplies, service providers, etc.).

<p>6.05C How do you communicate with external work site parties when changes are made to a site that may impact their health and safety?</p>
<p>Verified by interviewing managers/supervisors. Interviewees must be able to describe the process in use and provide examples of how external work site parties are made aware of their health and safety responsibilities, work site hazards and controls, and any changes that may affect their health and safety. Provide examples.</p> <p><i>Work site parties can include other employers (including self- employed persons, visitors, prime contractors, supplies, service providers, etc.).</i></p>
<p>6.06 How do you ensure other employers and/or self-employed persons are made aware of your H&S Policy?</p>
<p>Verified by senior manager, manager/supervisor interviews. Interviewees must be able to describe how they ensure that the policy is communicated to other employers and/or self-employed persons.</p> <p>If the auditor can confirm that the audited employer does not use other employers and/or self-employed persons, this question may be marked as N/A.</p>
<p>6.07 How is health and safety information made available to affected external worksite parties?</p>
<p>Verified by manager/supervisor interviews. Health and safety information (e.g., hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC and/or HS representative meeting minutes, etc.) is readily available to affected external work site parties.</p> <p><i>Work site parties can include other employers (including self- employed persons, visitors, prime contractors, supplies, service providers, etc.).</i></p>
<p>7.05 What are the steps you take to ensure deficiencies identified during an inspection will be corrected – both immediate corrective actions and corrective actions that may take longer?</p>
<p>Verified by manager/supervisor interviews. Interviewees must be able to describe how they ensure deficiencies identified through formal inspections will be corrected. Provide examples.</p>
<p>8.03 What type of training have you received in emergency response?</p>
<p>Verified by employee interviews. Interviewees must be able to describe the type of training they received in emergency response. Provide examples.</p> <p><i>Ex) fire control, rescue, first aid, lock down procedures, shelter in place, etc.</i></p>
<p>8.04 What are your emergency response responsibilities?</p>
<p>Verified by employee interviews. Interviewees must be able to describe how they would respond in the event of an emergency. Provide examples.</p>
<p>9.02 What is the process you follow for reporting incidents (including near misses), occupational illnesses or work refusals?</p>
<p>Verified by employee interviews. Interviewees must be able to explain the process for reporting incidents (including near misses), occupational illness, and work refusals. Provide examples.</p>

9.07 How do supervisors participate in the investigation process?

Verified by manager/supervisor interviews. Not all supervisors need to actively participate in incident investigation; however, all supervisors must be able to describe supervisor involvement in the investigation process. Provide examples.

9.13 How are the results from incident investigations communicated to employees?

Verified by employee interviews. Interviewees must be able to describe how investigation results are communicated. Provide examples.

10.02 How is health and safety information made available to you?

Verified by employee interviews. Health and safety information (e.g., hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC meeting minutes, etc.) is readily available to employees. Provide examples.

10.06 How do you communicate the results of health and safety system evaluations to employees?

Verified by employee interviews. Interviewees must be able to describe how the evaluation or action plan results are communicated to them. Provide examples.

May be marked as N/A if this is the employer's first H&S evaluation.

Manager Interviews

<p>1.03 How do you ensure that employees are made aware of the policy?</p>
<p>Verified by senior manager, manager, and supervisor interviews. Interviewees must be able to describe how they ensure that the policy is communicated to employees.</p>
<p>1.04 What are some of the key points listed in the Health and Safety Policy?</p>
<p>Verified by employee interviews. Employees must be able to explain, in general terms, the policy's content. Provide examples.</p>
<p>1.06A Can you provide some examples of how the three OHS Rights (right to be informed, right to participate, and right to refuse dangerous work) apply to the work you do?</p>
<p>Verified by employee interviews. Employees must be able to identify the three OHS rights (right to know, right to participate, right to refuse dangerous work), Provide examples.</p>
<p>1.06B Can you provide some examples of the health and safety responsibilities that you have been assigned by your employer?</p>
<p>Verified by employee interviews. Employees must be able to identify what their company designated health and safety responsibilities are (e.g., report incidents, follow safe work procedures, participate in inspections, take required training, etc.). Provide examples.</p>
<p>1.06C Can you provide some examples of legislation that is applicable to you under the Occupational Health and Safety Act, Regulation and Code?</p>
<p>Verified by employee interviews. Employees must be able to identify legislation that applies to the work they do. Provide examples.</p>
<p>1.07 What are your responsibilities to ensure the health and safety of employees under your supervision?</p>
<p>Verified by manager and supervisor interviews. Managers and supervisors must be able to describe how they ensure the health and safety of the employees under their supervision.</p>
<p>1.08 How is your health and safety performance evaluated?</p>
<p>Verified by employee interviews. Employees at all levels must be able to explain how their occupational health and safety performance is evaluated. These can include: performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc. Provide examples. <i>Ex) performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.</i></p>

<p>1.09 How does senior management (i.e., the boss/the owner) communicate to you that health and safety is important? How often?</p>
<p>Verified by employee interviews. Notes must include examples of how senior management communicates health and safety commitment. Provide examples.</p>
<p>1.10 How does senior management demonstrate they are committed to your company’s health and safety system?</p>
<p>Verified by employee interviews. Employees must identify how senior management demonstrates their commitment to health and safety (e.g., site tours, participation in inspections or committees, using hazard controls, etc.). Provide examples.</p>
<p>1.13 What kinds of resources does senior management provide to implement and improve the health and safety system</p>
<p>Verified by employee interviews. Interviewees must be able to describe health and safety resources provided (e.g., paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.). Provide examples.</p> <p><i>Ex) paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.</i></p>
<p>2.05 What are some of the high hazard (critical) tasks associated with your company’s operation?</p>
<p>Verified by senior manager interviews. Senior management must be knowledgeable of the high hazard (critical) tasks related to their operations (identified in question 2.04). Provide examples.</p> <p>Only ask this question if it is determined the interviewee is the highest level of management within the scope of the audit. N/A if not.</p>
<p>2.06 How does management participate in the formal hazard assessment process?</p>
<p>Verified by manager interviews.</p> <p>Confirm that management and supervisory levels are involved in the formal hazard assessment process, and/or in the regular review of formal hazard assessments. Provide examples.</p>
<p>2.10 Hazard Assessment Lead – When are formal hazard assessments reviewed?</p>
<p>Verified by hazard assessment lead interviews. Hazard assessment leads are those that lead the hazard assessment process (e.g., managers, supervisors, team leaders, etc.). Interviewees should be able to describe examples of formal hazard assessments that have been reviewed as per the policy and/or process. For example, if a new process has been introduced, or a new hazard has been identified from inspections or investigations. Provide examples.</p> <p>Auditor to determine if interviewee would be considered a lead employee for the purpose of hazard assessment review. N/A if they are not.</p>

2.14 How do you involve affected employees in the site-specific hazard assessment process?
Verified by manager/supervisor and worker interviews. Interviewees must be able to describe how they participate in the site-specific hazard assessment process. Provide examples. May be marked as N/A if site-specific hazard assessments were not required in the previous 12 months.
3.05 How are changes to hazard controls communicated to you?
Verified by employee interviews. Interviewees must be able to explain how they were informed of a change to hazard controls relevant to their job tasks. If no changes have been made, interviewees must be aware of how they will be informed of changes. Provide examples.
3.06 What hazard controls do you use?
Verified by employee interviews. Interviewees must confirm their use of hazard controls. Observe employees performing their jobs, and verify they are using the established hazard controls identified in the interviews. Provide examples.
3.07 How do managers/supervisors ensure you are using the established hazard controls to perform your work safely?
Verified by managers/supervisors and worker interviews. Managers/supervisors must be able to give examples of how they enforce the use of controls. Workers must be able to describe the enforcement process. Provide examples.
3.13 What are some key points found in the Violence Prevention Plan?
Verified by employee interviews. Employees must be able to explain, in general terms, the plan's content, such as how they report violence and how they would obtain immediate assistance. Provide examples.
3.16 What are some key points found in the Harassment Prevention Plan?
Verified by employee interviews. Employees must be able to explain, in general terms, the plan's content, such as how they report harassment. Provide examples.
4.07 HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities?
Verified by HSC and/or HS representative(s) interviews. Interviewees must be able to describe their general duties and responsibilities (e.g., participation in hazard identification, investigations, and inspections; development and promotion of hazard controls; handling health and safety concerns, etc.). Auditor to determine if interviewee would be considered a Health and Safety Committee (HSC) member or the Health and Safety Representative (HS representative). N/A if they are not.

<p>4.08 What health and safety activities are performed by your committee members or health and safety representative?</p>
<p>Verified by employee interviews. Interviewees must be able to confirm that committee members and/or representative(s) are involved in health and safety activities. Provide examples.</p>
<p>4.10 How can you provide feedback regarding health and safety concerns and complaints to your committee members or health and safety representative?</p>
<p>Verified by employee interviews. Employees must be able to explain how they bring forward health and safety concerns and complaints to the HSC and/or HS representative(s).</p>
<p>4.11 Can you explain how the HSC members and/or HS representative would make health and safety recommendations to management?</p>
<p>Verified by manager/supervisor interviews. Interviewees must be able to explain how they receive recommendations from the HSC and/or HS representative(s) regarding the health and safety of employees.</p>
<p>5.01 How does the company verify that employees have the qualifications required to do the job for which they are being hired?</p>
<p>Verified by review of documentation and manager/supervisor interviews. 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.).</p> <p>Managers/supervisors must be able to describe the process used to verify that employees have the qualifications required to do the job for which they are being hired. Provide examples.</p> <p><i>Ex) degrees, diplomas, certificates, trade certificates, apprenticeship program, diplomas, driver’s licenses, etc.</i></p>
<p>5.03 How does your company ensure employees receive orientations prior to starting regular duties?</p>
<p>Verified by manager/supervisor and worker interviews. Managers/supervisors and workers must be able to describe the process used to ensure workers have received orientation prior to employees starting regular duties. Provide examples.</p> <p><i>Ex) on the first day, training prior to the first day, prior to starting duties, etc.</i></p>
<p>5.04 What type of training have you received to support your role as a manager/supervisor?</p>
<p>Verified by review of training documents and manager/supervisor interviews. 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.).</p> <p>To confirm which training is deemed appropriate to their role, refer to employer’s defined roles and responsibilities in question 1.05, job descriptions, job competencies, etc. Link this back to training documents and interviews. Provide examples.</p>

5.05 When an employee is hired or assigned a new job, task, or when an operational change affects their work, what type of training is provided?

Verified by review of training documents and employee interviews. 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.

5.07 How do you determine the competency of your new workers? Reassigned workers?

Verified by manager/ supervisor interviews. Managers and supervisors must be able to describe how they determine the competency of their workers (e.g., on the job training, task observation, testing, etc.). Reassignment can include a new job, task, or when a worker moves to a new location. Provide examples.

6.03 Explain how you monitor the health and safety performance of other employers and/or self-employed persons on the work site.

Verified by review of documentation and manager/supervisor interviews. A process to monitor health and safety performance and correct identified deficiencies must be in place for other employers and/or self-employed persons during the period of the contracted services.

If the auditor can confirm that the employer does not use other employers and/or self-employed persons, this question may be marked as N/A.

6.05A How do you communicate with external work site parties regarding their health and safety responsibilities?

Verified by interviewing managers/supervisors. Interviewees must be able to describe the process in use and provide examples of how external work site parties are made aware of their health and safety responsibilities, work site hazards and controls, and any changes that may affect their health and safety. Provide examples.

Work site parties can include other employers (including self-employed persons, visitors, prime contractors, supplies, service providers, etc.).

6.05B How do you communicate with external work site parties regarding work site hazards and controls?

Verified by interviewing managers/supervisors. Interviewees must be able to describe the process in use and provide examples of how external work site parties are made aware of their health and safety responsibilities, work site hazards and controls, and any changes that may affect their health and safety. Provide examples.

Work site parties can include other employers (including self-employed persons, visitors, prime contractors, supplies, service providers, etc.).

<p>6.05C How do you communicate with external work site parties when changes are made to a site that may impact their health and safety?</p>
<p>Verified by interviewing managers/supervisors. Interviewees must be able to describe the process in use and provide examples of how external work site parties are made aware of their health and safety responsibilities, work site hazards and controls, and any changes that may affect their health and safety. Provide examples.</p> <p><i>Work site parties can include other employers (including self- employed persons, visitors, prime contractors, supplies, service providers, etc.).</i></p>
<p>6.06 How do you ensure other employers and/or self-employed persons are made aware of your H&S Policy?</p>
<p>Verified by senior manager, manager/supervisor interviews. Interviewees must be able to describe how they ensure that the policy is communicated to other employers and/or self-employed persons.</p> <p>If the auditor can confirm that the audited employer does not use other employers and/or self-employed persons, this question may be marked as N/A.</p>
<p>6.07 How is health and safety information made available to affected external worksite parties?</p>
<p>Verified by manager/supervisor interviews. Health and safety information (e.g., hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC and/or HS representative meeting minutes, etc.) is readily available to affected external work site parties.</p> <p><i>Work site parties can include other employers (including self- employed persons, visitors, prime contractors, supplies, service providers, etc.).</i></p>
<p>7.05 What are the steps you take to ensure deficiencies identified during an inspection will be corrected – both immediate corrective actions and corrective actions that may take longer?</p>
<p>Verified by manager/supervisor interviews. Interviewees must be able to describe how they ensure deficiencies identified through formal inspections will be corrected. Provide examples.</p>
<p>8.03 What type of training have you received in emergency response?</p>
<p>Verified by employee interviews. Interviewees must be able to describe the type of training they received in emergency response. Provide examples.</p> <p><i>Ex) fire control, rescue, first aid, lock down procedures, shelter in place, etc.</i></p>
<p>8.04 What are your emergency response responsibilities?</p>
<p>Verified by employee interviews. Interviewees must be able to describe how they would respond in the event of an emergency. Provide examples.</p>
<p>9.02 What is the process you follow for reporting incidents (including near misses), occupational illnesses or work refusals?</p>
<p>Verified by employee interviews. Interviewees must be able to explain the process for reporting incidents (including near misses), occupational illness, and work refusals. Provide examples.</p>

9.07 How do managers participate in the investigation process?

Verified by manager/supervisor interviews. Not all supervisors need to actively participate in incident investigation; however, all supervisors must be able to describe supervisor involvement in the investigation process. Provide examples.

9.13 How are the results from incident investigations communicated to employees?

Verified by employee interviews. Interviewees must be able to describe how investigation results are communicated. Provide examples.

10.02 How is health and safety information made available to you?

Verified by employee interviews. Health and safety information (e.g., hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC meeting minutes, etc.) is readily available to employees. Provide examples.

10.04 Describe your involvement in the performance of the health and safety management system (e.g., develop a health and safety plan for the upcoming year, provide resources for health and safety initiatives, etc.). How are you held accountable for the OHSMS?

Verified by senior manager and manager interviews. Interviewees must describe their involvement in improving the performance of the OHSMS (e.g., develop a health and safety plan for the upcoming year, provide resources for health and safety initiatives, etc.) and how they are held accountable. Provide examples.

10.06 How do you communicate the results of health and safety system evaluations to employees?

Verified by employee interviews. Interviewees must be able to describe how the evaluation or action plan results are communicated to them. Provide examples.

May be marked as N/A if this is the employer's first H&S evaluation.

Senior Manager Interviews

1.03 How do you ensure that employees are made aware of the policy?
Verified by senior manager, manager, and supervisor interviews. Interviewees must be able to describe how they ensure that the policy is communicated to employees.
1.04 What are some of the key points listed in the Health and Safety Policy?
Verified by employee interviews. Employees must be able to explain, in general terms, the policy's content. Provide examples.
1.06A Can you provide some examples of how the three OHS Rights (right to be informed, right to participate, and right to refuse dangerous work) apply to the work you do?
Verified by employee interviews. Employees must be able to identify the three OHS rights (right to know, right to participate, right to refuse dangerous work), Provide examples.
1.06B Can you provide some examples of the health and safety responsibilities that you have been assigned by your employer?
Verified by employee interviews. Employees must be able to identify what their company designated health and safety responsibilities are (e.g., report incidents, follow safe work procedures, participate in inspections, take required training, etc.). Provide examples.
1.06C Can you provide some examples of legislation that is applicable to you under the Occupational Health and Safety Act, Regulation and Code?
Verified by employee interviews. Employees must be able to identify legislation that applies to the work they do. Provide examples.
1.07 What are your responsibilities to ensure the health and safety of employees under your supervision?
Verified by manager and supervisor interviews. Managers and supervisors must be able to describe how they ensure the health and safety of the employees under their supervision.
1.08 How is your health and safety performance evaluated?
Verified by employee interviews. Employees at all levels must be able to explain how their occupational health and safety performance is evaluated. These can include: performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc. Provide examples. <i>Ex) performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.</i>

1.09 How do you communicate to employees that Health and safety is important? How often?

Verified by employee interviews. Notes must include examples of how senior management communicates health and safety commitment. Provide examples.

1.10 How do you demonstrate your commitment to the company's health and safety system?

Verified by employee interviews. Employees must identify how senior management demonstrates their commitment to health and safety (e.g., site tours, participation in inspections or committees, using hazard controls, etc.). Provide examples.

1.13 What kinds of resources are provided to implement and improve the health and safety system

Verified by employee interviews. Interviewees must be able to describe health and safety resources provided (e.g., paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.). Provide examples.

Ex) paid time, equipment, training, materials, and budget dedicated to health and safety needs, etc.

2.05 What are some of the high hazard (critical) tasks associated with your company's operation?

Verified by senior manager interviews. Senior management must be knowledgeable of the high hazard (critical) tasks related to their operations (identified in question 2.04). Provide examples.

Only ask this question if it is determined the interviewee is the highest level of management within the scope of the audit. N/A if not.

2.10 Hazard Assessment Lead – When are formal hazard assessments reviewed?

Verified by **hazard assessment lead** interviews. Hazard assessment leads are those that lead the hazard assessment process (e.g., managers, supervisors, team leaders, etc.). Interviewees should be able to describe examples of formal hazard assessments that have been reviewed as per the policy and/or process. For example, if a new process has been introduced, or a new hazard has been identified from inspections or investigations. Provide examples.

Auditor to determine if interviewee would be considered a lead employee for the purpose of hazard assessment review. N/A if they are not.

3.05 How are changes to hazard controls communicated to you?

Verified by employee interviews. Interviewees must be able to explain how they were informed of a change to hazard controls relevant to their job tasks. If no changes have been made, interviewees must be aware of how they will be informed of changes. Provide examples.

3.06 What hazard controls do you use?

Verified by employee interviews. Interviewees must confirm their use of hazard controls. Observe employees performing their jobs, and verify they are using the established hazard controls identified in the interviews. Provide examples.

<p>3.13 What are some key points found in the Violence Prevention Plan?</p>
<p>Verified by employee interviews. Employees must be able to explain, in general terms, the plan's content, such as how they report violence and how to they would obtain immediate assistance. Provide examples.</p>
<p>3.16 What are some key points found in the Harassment Prevention Plan?</p>
<p>Verified by employee interviews. Employees must be able to explain, in general terms, the plan's content, such as how they report harassment. Provide examples.</p>
<p>4.07 HSC and/or HS representative – What are your HSC and/or HS representative duties and responsibilities?</p>
<p>Verified by HSC and/or HS representative(s) interviews. Interviewees must be able to describe their general duties and responsibilities (e.g., participation in hazard identification, investigations, and inspections; development and promotion of hazard controls; handling health and safety concerns, etc.).</p> <p>Auditor to determine if interviewee would be considered a Health and Safety Committee (HSC) member or the Health and Safety Representative (HS representative). N/A if they are not.</p>
<p>4.08 What health and safety activities are performed by your committee members or health and safety representative?</p>
<p>Verified by employee interviews. Interviewees must be able to confirm that committee members and/or representative(s) are involved in health and safety activities. Provide examples.</p>
<p>4.10 How can you provide feedback regarding health and safety concerns and complaints to your committee members or health and safety representative?</p>
<p>Verified by employee interviews. Employees must be able to explain how they bring forward health and safety concerns and complaints to the HSC and/or HS representative(s).</p>
<p>5.05 When an employee is hired or assigned a new job, task, or when an operational change affects their work, what type of training is provided?</p>
<p>Verified by review of training documents and employee interviews. Employees must be trained in the hazards and controls associated with their job.</p> <p>Examples may include a combiTribal Administration 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.</p>
<p>6.06 How do you ensure other employers and/or self-employed persons are made aware of your H&S Policy?</p>
<p>Verified by senior manager, manager/supervisor interviews. Interviewees must be able to describe how they ensure that the policy is communicated to other employers and/or self-employed persons.</p> <p>If the auditor can confirm that the audited employer does not use other employers and/or self-employed persons, this question may be marked as N/A.</p>

8.03 What type of training have you received in emergency response?

Verified by employee interviews. Interviewees must be able to describe the type of training they received in emergency response. Provide examples.

Ex) fire control, rescue, first aid, lock down procedures, shelter in place, etc.

8.04 What are your emergency response responsibilities?

Verified by employee interviews. Interviewees must be able to describe how they would respond in the event of an emergency. Provide examples.

9.02 What is the process you follow for reporting incidents (including near misses), occupational illnesses or work refusals?

Verified by employee interviews. Interviewees must be able to explain the process for reporting incidents (including near misses), occupational illness, and work refusals. Provide examples.

9.13 How are the results from incident investigations communicated to employees?

Verified by employee interviews. Interviewees must be able to describe how investigation results are communicated. Provide examples.

10.02 How is health and safety information made available to you and your employees?

Verified by employee interviews. Health and safety information (e.g., hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC meeting minutes, etc.) is readily available to employees. Provide examples.

10.04 Describe your involvement in the performance of the health and safety management system (e.g., develop a health and safety plan for the upcoming year, provide resources for health and safety initiatives, etc.). How are you held accountable for the OHSMS?

Verified by senior manager and manager interviews. Interviewees must describe their involvement in improving the performance of the OHSMS (e.g., develop a health and safety plan for the upcoming year, provide resources for health and safety initiatives, etc.) and how they are held accountable. Provide examples.

10.06 How do you communicate the results of health and safety system evaluations to employees?

Verified by employee interviews. Interviewees must be able to describe how the evaluation or action plan results are communicated to them. Provide examples.

May be marked as N/A if this is the employer's first H&S evaluation.

Observation Tour

1.02 Health and Safety Policy is readily available to employees either in paper form, downloaded or stored electronically.

Verified by observation. The current policy may be posted on bulletin boards, in lunchrooms and/or any areas accessible to employees. It may also be in employee handbooks, safety manuals, and/or downloaded or stored electronically. Notes must describe where the policy is located, and how it is made accessible to all employees at that location. Provide examples.

1.11 Health and Safety legislation is readily available to employees either in paper form, downloaded or stored electronically

Verified through observation at work sites. The current occupational health and safety legislation (e.g., federal and/or provincial) appropriate to the operation of the work site(s) must be readily available. Provide examples.

3.02 Select several engineering controls from formal hazard assessment document and record them below. Confirm their availability through observation.

Verified by observation. Refer to question 3.01 to obtain a sample of engineering controls and verify through observation that they have been implemented. Provide examples.

Ensure engineering controls identified in relation to high priority hazards have been included in the sample.

3.04 Select several personal protective equipment examples from hazard assessment documents and record them below. Confirm their availability through observation.

Verified by observation. Refer to question 3.01 to obtain a sample of PPE controls, and verify through observation that they have been implemented. Provide examples.

Ensure PPE controls identified in relation to high priority hazards have been included in the sample.

3.06 Select several controls (identified during employee interviews) from each category record them below. Confirm through observation that employees are using them.

Verified by employee interviews and observation. Interviewees must confirm their use of hazard controls. Observe employees performing their jobs, and verify they are using the established hazard controls identified in the interviews. Provide examples.

4.15 Names and contact information of the Joint Work Site Health and Safety Committee members and/or the Health and Safety Representative(s) are posted.

Verified by observation. The names and the contact information for the HSC members and/or the HS representative(s) must be conspicuously posted at each represented work site. Provide examples.

7.06 Select a sample of corrective actions identified on Inspection Checklists/Forms and record them below. Confirm their implementation through observation.

Verified by observations. Observe whether sampled deficiencies identified in the inspection reports have been corrected.

8.09 First aid supplies and services are available, kits meet legislative requirements and are fully stocked. Vehicle first aid kits are available and meet legislative requirements

Verified by observation. Equipment, supplies, and facilities must meet the identified legislative requirements specific to the employer. Provide examples.

9.10 Select a sample of corrective actions identified on incident investigation reports and report them below. Confirm their implementation through observation.

Verified by review of documentation and observing results of corrective actions implemented.

For corrective actions that are observable, award points that confirms implementation compared to the corrective actions identified. Provide examples.

Observation points are awarded based on the percentage of implemented observable corrective actions reviewed in 9.09 B.