**Instructions for Completing the Gap Analysis:**

Review samples of completed or partially completed project or contract records to determine the level of implementation of the Owner / Employer’s Contracting Employer Health & Safety Management system. The gap analysis process is conducting a targeted and specific internal audit of your current processes.

The Gap Analysis Template was developed from the AMHSA Audit Tool Element 6 and a summary of the Due Diligence Checklists:

* Monitoring Contracting Employers
* Monitoring Project Site Records and Processes
* Transferring Prime Contractor Role
* Retaining Prime Contractor Role

Answer each question and summarize the findings. For example, out of a sample of project or contract records how many completed all, partial, or none of the specific process?

To answer the analysis questions the evaluator may need to have conversations with the project management teams, personnel assigned with hiring, developing project scope documentation, overseeing the work activities, or assigned to monitor work site parties and complete performance evaluations and project close-out meeting documentation. Any conversations need to be handled with care and respect for the individual’s personal information. Summarizing recommendations of findings from conversations is the goal when receiving feedback.

Summarize overall findings, then identify the actions needed to correct the gap or deficiency. These may require training, program element development or improving forms, or including missing elements in the standard written agreement.

Once the gaps are identified, assignment of duty is key to ensure the gap is corrected. The assignment of duty may include an individual or a team or be assigned to a manager for overseeing the implementation.

The joint health and safety committee/representative, project managers, and supervisors who deal with Contracting Employers, and other work site parties are additional personnel resources for identifying recommendations

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| ***Contractor Health & Safety Management System – Internal Gap Analysis Review*** | | | |
| **Name of Reviewer (Print Name)** |  | | |
| **Date of Assessment (YYYY-MM-DD)** |  | | |
| ***Analysis Question*** | | ***Findings Summary***  *Identify the gaps and strengths.* | ***Assignment of Duty*** |
| **Contractor Health & Safety Management Policy / Process**  The policy and/or process includes how the Owner / Employer will protect all work site parties hired or used in the operations. The policy must include others, such as volunteers, Contracting Employers, Prime Contractors, suppliers, service providers, and temporary agencies.  How are the policy and procedures communicated to all work site parties?  How are municipal employees trained on the policy and procedures? | |  |  |
| **Procurement Practices**  Does the procurement practice followed for the Owner / Employer adhere to the thresholds identified from the New West Partnerships or were exceptions applied correctly?  Review completed documentation, is the procurement, advertising process practiced, and procurement and RFx documentation completed as per requirements? | |  |  |
| **Pre-qualification and Selection Processes**  Evaluation criteria for selecting Contracting Employers, Prime Contractors.  The policy, process, and/or forms may include the specific requirements for evaluating and selecting proponents. Completion of Project/Contract Specific Health & Safety Plan expectations.  Are the evaluation processes and/or forms used to confirm a Contracting Employer, Prime Contractor, or other work site party hired meets the evaluation criteria? Was the selection process followed, to confirm due diligence? (Technical Evaluation, Project Experience, Health, and Safety Plan reviews completed). | |  |  |

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| ***Analysis Question*** | ***Findings Summary***  *Identify the gaps and strengths.* | ***Assignment of Duty*** |
| **General Due Diligence and Transfer/Retain Prime Contractor Checklists**  Does the process complete the Due Diligence checklists for Prime Role (Transfer or Retain)?  Utilize a due diligence checklist and confirm the process for transferring or retaining Prime Contractors for projects that were completed.  What are the gaps in the documentation collected and monitoring documentation of Contracting Employers and project site documentation? |  |  |
| **Written Agreements**  Do the written agreements include responsibilities of the Contracting Employer or Prime Contractor?  Are the communication plans included in the written agreement documentation?  Are the monitoring procedures are written, such as leading/lagging indicators, what will be monitored, and expectations are clearly written? |  |  |
| **Posting Prime Contractor Notifications**  If a Prime Contractor is designated, were written notification of the person who will co-ordinate health and safety, submitted with project plans? Was formal Notification of Prime Contractor completed and posted at the construction job site or when a Prime Contractor was designated? |  |  |
| **Communication Plans and Meetings**  Are the communication plans written or identified for reporting on incidents, to OHS, regulators, and members of the public?  Are reporting responsibilities clearly written for incidents, including OHS serious incidents and PSIs, public inquiries and complaints, media releases?  Are pre-job safety planning meeting records retained and changes to schedule and responsibilities communicated?  Are on-going health and safety meeting records retained?  Are the health and safety topics integrated within the on-going project review meetings? |  |  |
| **General Orientations and On-going Orientations, Validation of Training**  Are orientations completed for visitors?  Is the general orientation completed for Contracting Employers, Prime Contractors, and other work site parties?  How are on-going orientations being completed, documented and where is the responsibility for completing project site on-going orientations documented?  Are sign-in/out checks completed for the specific project site?  How are workers’ training validated? Copies kept, validated processes documented? |  |  |
| **Emergency Plans and Contact Lists**  How are the emergency plans documented, communicated, and emergency contact lists retained in project sites and project documentation? |  |  |
| **Change Orders, Start/Stop/Resume Notifications**  How are change orders handled?  Are forms used or how are changes, start/stop and resume work notifications communicated and documented? |  |  |
| **Incident Reporting**  Are incidents reported, monitored for follow-ups, communicated out, and are changes or updates completed? |  |  |
| **Monitoring, Observations, Follow-ups**  Is there a policy or process in place for monitoring Contracting Employers, Prime Contractors, volunteers, or any other work site parties?  Are Sub-contractor hiring processes practiced and completed as per agreed-upon responsibilities? Are Sub-contractors vetted to ensure capability, expectations, and responsibilities?  How is work site hazard monitoring completed, documented, and are follow-ups implemented?  Are formal and informal inspections completed as per schedules? How are deficiencies followed up and tracked for implementation?  How are infractions and non-compliances of the other work site parties handled? Are forms available and are they used?  Are there processes and/or procedures in place for dealing with non-compliance and other infractions?  How are follow-ups and interim project/contract evaluations and concerns documented and tracked for completion? |  |  |

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| ***Analysis Question*** | ***Findings Summary***  *Identify the gaps and strengths.* | ***Assignment of Duty*** |
| **Availability of Health & Safety Information and Records Management Practices**  How is the project/contract health and safety system information, documentation, policies, procedures, forms available to the work site parties?  Who is assigned to manage and retain the records?  What is the process when the Owner / Employer wishes to obtain copies?  Are responsibilities written in agreements that outline managing records and responsibilities? |  |  |
| **Performance Evaluations**  Are the final project/contract performance evaluations completed at the end of the project? Why or why not?  Are contract performance evaluations completed at regular intervals for on-going service or maintenance contracts? Why or why not? |  |  |

**Summary of Findings:**

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