

AUDIT TOOL CHANGES 2023

1.01 Is there a written Health and Safety Policy?

Verified by reviewing written policy. To award the five points, the policy must include:

1. Signed by the current senior manager,
2. A declaration of management commitment to health and safety that addresses physical, psychological, and social well-being,
3. General health and safety responsibilities of managers, supervisors, workers and contractors,
4. The expectation that employees will comply with applicable legislation and the organization's own health and safety standards.

Points are awarded based on 100% positive indicators from documentation.

Provide details/examples.

All guidelines now include the last line that says "Provide details/examples."

Note - this is not a change for AMHSA as we already required detail/examples.

1.06 Do employees understand their individual OHS rights and their health and safety responsibilities?

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). Employees must be able to explain their health and safety responsibilities (both company and legislated).

Points are awarded based on the percentage of positive responses.

Provide details/examples.

Question update - Part C has been removed.

1.08 Are employees evaluated on their individual health and safety accountabilities?

Verified by employee interviews.

Employees at all levels must be able to explain the system that is used to evaluate their accountabilities for their OHS roles and responsibilities.

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.

Points are awarded based on the percentage of positive responses.

Provide details/examples.

Verbiage update from H&S responsibilities to accountabilities.

1.10 Does senior management demonstrate commitment by participating in health and safety activities?

Verified by employee interviews.

Employees must identify how senior management demonstrates their commitment by participating in health and safety activities (e.g. site tours, participate in inspections or committees, using hazard controls, etc.).

Points are awarded based on a minimum 80% positive responses

Provide details/examples.

Verbiage update - Question used to be "Does senior management demonstrate commitment to occupational health and safety?"

1.12 Does management participate in meetings where health and safety is discussed?

Verified by review of meeting minutes.

To award points there must be documented evidence of management participation in meetings where health and safety is on the agenda, outside of health and safety committee meetings.

Points are awarded based on the percentage of positive indicators of sampled meeting minutes.

Provide details/examples.

Guideline update - Review meeting minutes other than HSC meeting minutes.

2.01 Have all jobs/positions been identified for the formal hazard assessment process?

Verified by reviewing documentation.

Documentation review should include a comparison of job listings (organizational chart, job inventory document, job descriptions, staff listings, etc.) to formal hazard assessment documentation to show that they have been inventoried (formal hazard assessments, task inventories/matrices, etc.). Formal hazard assessment documentation may have the jobs/positions grouped together into common areas (eg field, office, administration) as part of the inventory.

Points are awarded based on the percentage of jobs and/or occupations inventoried compared to the number required as identified on staff listings or organizational charts.

Sampling is not acceptable for this question. Notes must include examples of the jobs/positions identified, and any that were missed.

Verbiage update to both question and guidelines.

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:

1. On a predetermined frequency to keep the results up-to-date
2. When changes are made to the operation or work-related process
3. When a new work process is introduced
4. When site-specific hazard assessments identify a new hazard
5. When an inspection identifies a new hazard
6. When an investigation identifies a new hazard

Points are awarded based on 100% positive indicators from documentation.

Provide details/examples.

Guideline update - verbiage for criteria (1) went from regular to pre-determined.

3.02 Have the identified engineering controls been implemented?

Verified by observation.

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

Points are awarded based on the percentage of engineering controls sampled from the formal hazard assessment that have been observed.

Auditors must include some controls for highest hazard items in the sample to verify they have been given priority.

Provide details/examples.

Guideline update - Auditors must include some controls for highest hazard items in the sample to verify they have been given priority.

3.04 Have the identified personal protective equipment (PPE) controls been implemented?

Verified by observation.

Refer to question 3.1 to obtain a sample of controls, and verify through observation that they have been implemented.

Points are awarded based on the percentage of controls sampled from the formal hazard assessment that have been observed.

Auditors must include some controls for highest hazard items in the sample to verify they have been given priority.

Provide details/examples.

Guideline update - Auditors must include some controls for highest hazard items in the sample to verify they have been given priority.

3.11 Does the Violence Prevention Plan meet legislated requirements?

Verified by review of documentation.

Documentation must confirm the employer's Violence Prevention Plan meets legislated requirements (Alberta) or Federal legislation for federally regulated employers.

Points are awarded based on 100% positive indicators

Provide details/examples.

Question update - Old 3.11, 3.12 and 3.13 have been removed and left with 1 question pertaining to the Violence Prevention Plans. Auditors must refer to the Albert OHS Legislation. Code Part 27, Sections 390 - 390.2 and ensure the Violence Prevention Plan meets legislated requirements.

390.1 An employer must ensure that a **violence prevention policy under section 390(1) includes the following:**

(a) a statement that the employer is committed to eliminating or, if that is not reasonably practicable, controlling the hazard of violence;

(b) a statement that the employer will investigate any incidents of violence and take corrective action to address the incidents;

(c) a statement that the employer will not disclose the circumstances related to an incident of violence or the names of the complainant, the person alleged to have committed the violence and any witnesses, except

(i) where necessary to investigate the incident or to take corrective action, or to inform the parties involved in the incident of the results of the investigation and any corrective action to be taken to address the incident,

(ii) where necessary to inform workers of a specific or general threat of violence or potential violence, or

(iii) as required by law;

(d) a statement that the employer will disclose only the minimum amount of personal information under clause (c)(ii) that is necessary to inform workers of a specific or general threat of violence or potential violence;

(e) a statement that the violence prevention policy is not intended to discourage a worker from exercising the worker's rights pursuant to any other law.

390.2 An employer must ensure that the **violence prevention procedures under section 390(1) include the following:**

(a) the measures the employer will take to eliminate or, if that is not reasonably practicable, control the hazard of violence to workers;

(b) information about the nature and extent of the hazard of violence, including information related to specific or general threats of violence or potential violence;

(c) the procedure to be followed by the employer when disclosing the information in clause (b), which must be in compliance with section 390.1(c) and (d);

(d) the procedure to be followed by a worker to obtain immediate assistance when an incident of violence occurs;

(e) the procedure to be followed by a worker when reporting violence;

(f) the procedure to be followed by the employer when

(i) documenting and investigating an incident of violence, and

(ii) implementing any measures to eliminate or control the hazard of violence that have been identified as a result of the investigation;

- (g) the procedure to be followed by the employer when informing the parties involved in an incident of violence of
- (i) the results of an investigation of the incident, and
- (ii) any corrective action to be taken to address the incident.

3.12 Does the Harassment Prevention Plan meet legislated requirements?

Verified by review of documentation.

Documentation must confirm the employer's Harassment Prevention Plan meets legislated requirements (Alberta) or Federal legislation for federally regulated employers.

Points are awarded based on 100% positive indicators

Provide details/examples.

Question update - Old 3.14, 3.15 and 3.16 have been removed and left with 1 question pertaining to the Harassment Prevention Plans.

Auditors must refer to the Albert OHS Legislation. Code Part 27, Sections 390.4 - 390.6 and ensure the Harassment Prevention Plan meets legislated requirements.

390.5 An employer must ensure that a **harassment prevention policy under section 390.4(1) includes the following:**

- (a) a statement that the employer is committed to eliminating or, if that is not reasonably practicable, controlling the hazard of harassment;
- (b) a statement that the employer will investigate any incidents of harassment and take corrective action to address the incidents;
- (c) a statement that the employer will not disclose the circumstances related to an incident of harassment or the names of the complainant, the person alleged to have committed the harassment and any witnesses, except
 - (i) where necessary to investigate the incident or to take corrective action, or to inform the parties involved in the incident of the results of the investigation and any corrective action to be taken to address the incident, or
 - (ii) as required by law;
- (d) a statement that the harassment prevention policy is not intended to discourage a worker from exercising rights pursuant to any other law, including the Alberta Human Rights Act.

390.6 An employer must ensure that the **harassment prevention procedures under section 390.4(1) include the following:**

- (a) the procedure to be followed by a worker when reporting harassment;
- (b) the procedure to be followed by the employer when documenting, investigating and preventing harassment;
- (c) the procedure to be followed by the employer when informing the parties involved in an incident of harassment of
 - (i) the results of an investigation of the incident, and
 - (ii) any corrective action to be taken to address the incident.

4.01 Do the terms of reference for the HSC include all legislated requirements?

Verified by review of documentation.

Documentation must confirm a terms of reference is in place for the HSC and includes all legislated requirements (Alberta) or Federal legislation for federally regulated employers.

Points are awarded based on 100% indicators from documentation.

If the employer is only required to have a HS representative(s), this question may be marked not applicable (n/a). Provide justification.

Provide details/examples.

Guideline update - Auditors must refer to the Albert OHS Legislation. Code Part 13, Section 197 and ensure the TOR meets legislated requirements.

197 An employer must ensure each joint health and safety committee develops written terms of reference

- (a) outlining the process to select co-chairs,
- (b) outlining the process for selecting worker members to the committee to ensure worker members are representative of the workers for that employer,
- (c) establishing a term of office for committee members,
- (d) outlining the frequency for regular committee meetings and how meeting records will be maintained,
- (e) outlining processes for conducting meetings, and forwarding health and safety concerns to the attention of the employer,
- (f) establishing a process to replace a member during the member's term of office,
- (g) establishing a dispute resolution process for when the committee cannot agree on a recommendation to the employer, and
- (h) outlining processes to address circumstances where committee members are not fulfilling their duties.

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

Verified by review of documentation.

Documentation must confirm that duties of the HSC and/or HS representative(s) have been written as per legislated requirements (Alberta) or Federal legislation for federally regulated employers.

Points are awarded based on 100% positive indicators from documentation.

Provide details/examples.

Guideline update - Auditors must refer to the Albert OHS Legislation. Act, Part 2, Section 13(6) [HSC] or 14(4) [HSR] and ensure the duties meets legislated requirements.

13 (6) The duties of a joint health and safety committee include the following:

- (a) the receipt, consideration and disposition of concerns respecting the health and safety of workers;
- (b) participation in the employer’s hazard assessment;
- (c) the making of recommendations to the employer respecting the health and safety of workers;
- (d) review of the employer’s work site inspection documentation.

14 (4) The health and safety representative shall, in cooperation with a representative of the employer, perform the same duties, with any necessary modifications, as set out for the joint health and safety committees in section 13(6).

4.05 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) to ensure they are trained as per legislated requirements (Alberta) or to Federal legislation for federally regulated employers.

Points are awarded based on percentage of positive indicators.

Provide details/examples.

Guideline update - Auditors must refer to the Albert OHS Legislation. Code Part 13, Section 201 and ensure the HSC and/or HSR are trained as per legislated requirements.

201 An employer must ensure that members of a joint health and safety committee or a health and safety representative are trained in the following:

- (a) the roles and responsibilities of co-chairs and members on joint health and safety committees and health and safety representatives;
- (b) the obligations of work site parties;
- (c) the rights of workers.

4.07 Do HSC members and/or the HS representative(s) participate in the formal hazard assessment process?

Verified by HSC and/or HS representative(s) interviews.

Interviewees must be able to confirm their involvement in the formal hazard assessment process, and/or in the regular review of formal hazard assessments.

This question can be N/A if the organization is not legislated to have a HSC/HS Representative.

Points are awarded based on a minimum 80% positive responses.

Provide details/examples.

New question

4.14 Does the HSC/HS representative review the employers work site inspection documentation?

Verified by documentation.

Review any meeting minutes, inspection records or other documentation that can verify that the HSC/HS representative have reviewed inspection documentation.

Points are awarded based on percentage of positive indicators.

Provide details/examples.

Question update - Used to say "Are formal inspections completed prior to HSC meetings?"

4.15 Are the names and contact information of the HSC members and/or the HS representative(s) readily available?

Verified by observation.

The names and the contact information for the HSC members and/or the HS representative(s) must be readily available at each represented work site.

Points are awarded based on the percentage of work sites that have contact information readily available.

Provide details/examples.

Verbiage change for the question. Used to say "Have the names and contact information of the HSC members and/or the HS representative(s) been posted?"

5.02 Does the orientation process cover OHS rights and critical health and safety information?

Verified by review of orientation documentation.

The OHS rights, and critical health and safety information must be reviewed with the employee. These must, at minimum include:

1. Right to know
2. Right to participate
3. Right to refuse dangerous work
4. Emergency response procedures
5. Rules of enforcement
6. High risk hazards
7. Hazard reporting
8. Incident reporting
9. Violence and Harassment

Points are awarded based on 100% positive indicators from documentation.

Provide details/examples.

Question & guideline update

- Question no longer includes "prior to starting regular duties".
- The required criteria in the guidelines has been updated.

5.05 Does job-specific training include hazards and controls as well as a practical demonstration?

Verified by review of training documents.

Employees must be trained in the hazards and controls associated with their job which includes a practical demonstration by the trainee to ensure they have acquired the necessary knowledge or skill related to the subject matter.

Due to the nature of some tasks, practical demonstrations might not be suitable.

Examples of training documents may include a combination of reviewing policies, procedures, practical demonstrations, safe work practices, hazard assessments and training certificates/manuals (e.g. WHMIS 2015, Confined Space Entry, TDG, tasks specialized to the employer, using specialized tools and equipment, etc.).

Documentation points are awarded based on percentage of positive indicators.

Provide details/example(s).

Question update - verbiage change. Validation method change.

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

Verified by employee interviews.

Confirm employees receive training when they are re-assigned to a new task or when there are changes to the operations that affects the work they do.

Points are awarded based on percentage of positive responses.

Provide details/examples.

Guideline & validation method update.

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

Verified by reviewing documentation.

Verify that the employer has a process on how they determine the competency of their workers (e.g. on the job training, task observation, test, etc.), and the intervals of when they are completed. Reassignment can include a new job, task, or when a worker moves to a new location.

Operational changes may require new competency assessments to be completed.

Points are awarded based percentage of positive indicators.

Provide details/examples.

Guideline & validation method update.

5.08 Are competency assessments conducted?

Verified by manager/supervisor interviews.

Managers and supervisors must be able to indicate how they ensure competency assessments are conducted as required by the process in 5.7.

If 5.7 is awarded no points, this question is scored 0. Points are awarded based on percentage of positive responses.

If the organization does not have supervisors, this question can be asked to only managers.

Provide details/examples.

Guideline & validation method update.

6.03 Is process in place that includes a system for regularly monitoring and addressing non-compliance with other employers?

Verified by review of documentation and manager/supervisor interviews.

A process to regularly monitor health and safety performance and correct identified deficiencies is in place for other employers during the period of the contracted services.

The contracting employer must have a process to deal with other employers when there is non-compliance to their OHSMS.

Score: 5 for documentation, 0-5 for interviews

Points are awarded based on 100% positive indicators from documentation. Interview points are based on percentage of positive responses.

If the auditor can confirm the audited employer does not use other employers, this question may be marked not applicable (n/a). Provide justification.

Provide details/examples.

Question update. Combines old 6.03 & 6.08.

7.01 Is there an inspection process that states the frequency of inspections and includes the following: All areas of the operation? All employee levels?

Verified by review of inspection process.

a. The frequency is established by the employer based on the level of risk. Different inspection frequencies for different areas may be established. For example, a shop may require more inspections than the administrative office. Inspection processes must include the frequency of inspections for each area.

b. Participation by all levels (m/s/w) is not expected for every inspection, but each applicable level should be assigned some responsibility in the inspection process in order to award points for all parts of this question.

Points are awarded based on percentage positive indicators from documentation.

Provide details/examples.

Guideline update.

7.04 Are formal inspections carried out in accordance with the policy and/or process for all areas of the operation, by managers, supervisors, and workers?

Verified by review of inspection records.

a. The frequency in the policy and/or process is being met for all areas of the operation.

b-d. Records must show participation from each level stated in the policy and/or process is being met (question 7.1).

If 7.1 is awarded no points, this question is scored 0. If the employer does not have managers or supervisors, one of these levels can be marked as n/a.

Points are awarded based on percentage positive indicators from documentation.

Provide details/examples.

Question update - Part A is new.

7.05 Do management inspections include a component of employee observation?

Verified by senior manager/manager interviews.

Senior managers/managers must be able to describe how they include observations of OHS behaviors and conditions during their inspections (formal or informal).

Points are awarded based on the percentage of positive responses.

Provide details/examples.

New Question - Pulled from guidelines of old 7.04.

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 including those required by legislation (Alberta) or federal legislation for federally regulated employers. 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 details/examples of emergencies identified.

Points are awarded based on the percentage of positive indicators.

Provide details/examples.

Guideline update.

9.03 Are employees reporting incidents, occupational illnesses and work refusals?

Verified by review of documentation.

Review completed incident, occupational illness, and work refusal reports that support reporting is taking place.

Points are awarded based on 100% positive indicators from documentation.

This question may be marked not applicable (n/a) if there were no incidents in the previous 12 months. Provide justification.

Provide details/examples.

Guideline update - now based on 100% positive indicators, used to be 70%.

9.04 Are employees reporting near misses?

Verified by review of documentation.

Review completed near miss reports to support that reporting is taking place.

Points are awarded based on 100% positive indicators from documentation.

If the employer is considered low hazard AND did not have a near miss in the previous 12 months, this question may be marked not applicable (n/a). Provide justification.

Provide details/examples.

Guideline update - now based on 100% positive indicators, used to be 70%.

9.09 Do investigations identify underlying factors? Recommend corrective actions?

Verified by reviewing completed investigation reports.

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

B. Corrective actions must be designed to implement system changes that will prevent reoccurrence (e.g., advising employees to “be more careful” is not an acceptable corrective action).

Points are awarded based on the percentage of reviewed investigation reports that identify causes and recommend corrective action.

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

Provide details/examples.

Verbiage update - Question now states underlying causes instead of root causes. Guidelines include root causes which is the same thing as underlying causes.

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

Verified by review of documentation.

Health and safety records/statistics can be done in many different ways including company specific monthly, quarterly or annual health and safety reports, analysis of injury reports, or graphical reports of Health and safety statistics to show trends.

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

Points are awarded based on 100% positive indicators from documentation.

Provide details/examples.

Guideline update

- Guidelines verbiage has been updated
- Scoring now based on 100% positive indicators, used to be 70%.

10.05 Is an OHSMS evaluation/audit or maintenance action plan completed at least annually?

Verified by review of previous OHSMS evaluation/audits or maintenance action plans.

OHSMS evaluation/audit or maintenance action plans must be completed annually to support continuous improvement.

Points are awarded based on 100% positive indicators from documentation.

If the company did not perform a COR audit or maintenance action plan the previous year, this question may be marked not applicable (n/a).

Provide justification.

Provide details/examples.

Verbiage update

- Clarifying that OHSMS evaluation means annual audit.
- Maintenance action plan means an action plan in lieu of an audit.
- Maintenance action plan is different than the post audit action plan created from your audit results.

10.07 Was a plan developed to address identified OHSMS deficiencies from the previous evaluation/audit?

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 MUST include:

1. Measureable action items,
2. Proposed completion dates, and
3. Individuals responsible for follow-up.

If the company did not perform a COR audit or maintenance action plan the previous year, this question may be marked not applicable (n/a).

Provide justification.

Provide details/examples.

Guideline update - now states that the post audit action plan "must" include 3 criteria.