

V A L U E

Health & Safety Auditing

Auditor Resources

Alberta Municipal Health and Safety Association

AMHSA

Health | Safety | Environment

amhsa.net 1-800-267-9764



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Audit Resources

This guide is intended to provide direction and information to auditors using the AMHSA Excel Audit Workbook. Please review all documents and the audit tool in full before beginning an audit. For more information on auditing theory or COR procedures, please see your Health and Safety Auditing course manual.

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STEPS FOR COMPLETING AN AUDIT

1. Pre-Audit Meeting

- This is to give a brief overview of the audit process. Attendees should include appropriate senior management and labour representatives. Ensure that the whole site is made aware that the audit is going to take place. **Optional - Use the Pre-Audit Meeting Agenda.**

2. Familiarization Tour

- This is a short tour of the facilities included in the scope of audit. Someone knowledgeable with the whole operation should lead the auditor on this tour.

3. Review Documentation

- This is a review of the applicable health and safety documentation. Use the findings from the documentation review to score the appropriate audit questions.

4. Interviews

- Conduct the interviews that have been pre-arranged. Comment and score the appropriate audit questions.

5. Site Observation Tour

- This is for verifying audit questions where the validation technique is listed as "Observation." The Audit Observation Tour form provides a format for visually verifying findings from your documentation review and interview results. Use the findings from the observation tour to score the appropriate audit questions.

6. Organize your Findings

- Create a summary of your overall findings for the Post-Audit Meeting

7. Post-Audit Meeting

- The same people who attended the pre-audit meeting should be present. You will be reviewing the audit process, presenting strengths and recommendations, and answering any questions. **An audit score should not be shared at the meeting.** You can inform attendees that a final report, once approved through the Quality Assurance process, will be forwarded to the employer in a reasonable amount of time.

8. Final Report

- Once you have left the site you will prepare a final report that the organization can use for improving its health and safety system by completing the Audit workbook. The Audit Report presents a full report of questions, scores, justification information and strengths and weaknesses. The Executive Summary presents a summary of all the audit findings. **The full and completed audit workbook must be submitted to AMHSA within 21 days of the completion of data gathering activities.**

SAMPLE – PRE-AUDIT LETTER

Auditors Name
PO Box 509
Cross Creek, AB T9K 1G8

Date

Joe Smith
Chief Administrative Officer
County of Cross Creek
PO Box 509
Cross Creek, AB T9K 1G8

Dear Mr. Smith,

I am writing this letter to inform you that as part of obtaining my health and safety auditing certification, I will be conducting a departmental health and safety management system audit. I have chosen the Finance Department for the scope of my qualification audit.

I would like to request a pre-audit meeting with yourself and the Director of Finance, Larry Chen, to discuss the scope of the audit, as well as the timing of when the audit data gathering activities will occur. Please let me know a day and time that would best suit your schedule.

I will be forwarding a list of the documentation I am required to review to Sandy Melke, our Safety Coordinator prior to our pre-audit meeting. I will also be coordinating the interview schedule and observation tour with Sandy.

I appreciate your assistance with the audit process and hope a meeting can be scheduled within the next two weeks. If you have any questions, please do not hesitate to contact me directly.

Regards,

Tim Finkle
Infrastructure Manager
County of Cross Creek

SAMPLE – PRE-AUDIT MEETING AGENDA

Town of Anywhere Internal Audit
Pre-Audit Meeting
February 1, 2023
9-10 AM

Attendees: Beverly Booker (CAO), John Samson (H&S Coordinator), Jennifer Spencer (HSC Co-Chair), Jude Jenkins (Auditor)

AGENDA

Introductions

Audit Purpose

- COR maintenance
- Measurement of Cross Creek's Health and Safety Management System (HSMS) to Partnerships COR Standards

Audit Scope

- Organization-wide

Audit Process

- Pre-audit meeting (Feb 1, 9AM)
- Documentation review (Feb 1-2, 8AM – 4PM)
- Interviews representative of all levels in all departments (Feb 3-4, 8AM – 4PM)
- Observational tours (Feb 5, 8AM – 10AM, escorted by John Samson)
- Post Audit meeting (Feb 5, 9 AM, high level strengths and opportunities for improvement)

Audit Deliverables

- Audit Report
- Executive Summary

Audit Standards

- COR maintenance audit - minimum 60% overall (COR Certification/Recertification Audit - 80% overall and no less than 50% in any one element)
- Auditors - Subject to quality assurance through certifying partner (AMHSA). 80% overall and no critical errors to pass and be processed for COR.
- Auditor Code of Ethics and confidentiality
- The audit standard and audit instrument to be used

Dangerous Work

- If encountered, a supervisor will be notified immediately

Questions?

SUGGESTED DOCUMENTATION

This list has been developed directly from the Partnerships audit instrument. Examples of specific types of documentation that may be used for validation are listed below. Organizations may refer to documents by different names – it is the content, not the title that is important.

QUESTIONS	DOCUMENTATION TO REVIEW
1.01	Health and Safety Policy.
1.05	Written statement of responsibilities, job descriptions, employee contracts, and manuals, staff handbooks, etc.
1.12	Meeting minutes other than H&S committee meetings.
2.01	Inventory of job positions, task or job inventories, org chart, hazard assessments.
2.02, 2.03, 2.04, 3.01	Completed hazard assessment forms. These may be titled formal hazard assessments, job safety analysis, etc. <i>Note that site-specific hazard assessments cannot be used to score these questions.</i>
2.08	Training records of individuals conducting hazard assessments. Course material for hazard assessment training.
2.09	Policy or process to review formal hazard assessments. May also include documents outlining process/procedural changes and updated hazard assessment forms, decisions reached in meeting minutes, memos directing a hazard control be implemented, supervisor's log book.
2.11	Documents outlining the policy and/or process and procedure for conducting site specific hazard assessments.
2.12, 2.13	Completed site-specific hazard assessments.
3.03	Completed hazard assessment forms, job procedures, safe work practices, rules, job schedule or rotation of workers, training records.
3.08	Documents outlining the policy and/or procedure for the preventative maintenance process for equipment, vehicles, facilities and tools.
3.09	Preventative maintenance records of equipment, tools, and PPE. Work order records, defective equipment tags, written procedures/policy regarding the removal of defective equipment.
3.11, 3.13	Violence Prevention Plan that includes policies and procedures.
3.12, 3.13	Harassment Prevention Plan that includes policies and procedure.
4.01	Terms of Reference
4.02, 4.04, 4.09, 4.13	HSC and/or HSR policies, procedures, terms of reference, meeting minutes, etc.

QUESTIONS	DOCUMENTATION TO REVIEW
4.05	Training records of HSC members and/or HS representatives
4.09	Policy and/or process re dealing with concerns/complaints
4.12	Documentation that supports corrective action were completed in a timely manner, e.g. feedback forms, emails, HSC meeting minutes, communications, etc.
4.14	Meeting minutes and formal inspections.
5.01	Application forms (blank), hiring records, training records, copies of trade certificates/diplomas/degrees, proof of apprenticeship program, driver's license, etc.
5.02	Orientation records, orientation checklist, orientation package/contents.
5.04, 5.05, 5.09	Training material and training records. See job descriptions, etc. from 1.05.
5.07	Competency process
6.01	Policy and/or process to address the protection of others not under the employer's direction
6.02, 6.03	Policy and/or process for monitoring, evaluating and selecting other employers and/or self-employed persons.
6.04	Orientation records, orientation checklist, orientation package/contents for visitors, other employers.
6.08	Process for non-compliance of other employers and/or self-employed persons at the work site.
7.01	Health and Safety Policy and Procedures Manual, Inspection Policy and/or Process, inspection records, inspection schedule.
7.02	Inspection checklist (blank and completed), inspection reports.
7.03	Training records of individuals designated to conduct inspections.
7.04	Completed inspection reports, checklists, or forms.
8.01, 8.02	Emergency Response Plans and/or Procedure
8.05	Emergency Response drill records, minutes of meetings, emergency response table-top review exercises.
8.06	Drill - Emergency response records, minutes of meetings documenting review of drills, documents outlining corrective action or change in procedure as a result of the drills.
8.07	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.

QUESTIONS	DOCUMENTATION TO REVIEW
8.08	First aid regulations, first aid certificates, first aid training records, shift schedules of certified first aiders.
9.01, 9.05	Incident reporting procedure and/or process, reporting form (blank/completed).
9.03	Completed incident report forms
9.04	Completed near miss and incident forms.
9.05	Incident investigation procedures.
9.06	Training records of individuals conducting investigations, investigation training course material.
9.09, 9.10, 9.11, 9.12	Investigation report forms (completed), investigation reports, memos outlining implementation of corrective action, minutes of meetings outlining results of investigation.
10.03	Company specific monthly, quarterly or annual health and safety reports, analysis of injury reports, graphical reports of health and safety statistics to show trends.
10.05	Previous health and safety system evaluations (audit, action plan in lieu of maintenance audit).
10.07, 10.08	Internal health and safety action plans.

SAMPLE – DOCUMENTATION REQUEST

Documentation review is one of the first data-gathering audit activities. Twelve (12) months of consecutive documentation must be prepared for the auditor before the start of data-gathering activities. The documentation should reflect the most recent 12 months.

Please have the following documentation prepared and readily available at the start of the audit:

- Organizational chart
- List of employee names by department (if not included on organizational chart)
- Job descriptions, procedures, and practices
- Task or job inventories
- Schedule or worker rotation records
- Application forms, hiring records, contracts
- Orientation records, checklists, competency assessments
- Training records, copies of certificates/diplomas. Department/job specific training materials and records (such as supervisory training, new/transferred employee training, new task training, refresher training requirements, etc.)
- Training requirements and documents for employees designated to conduct hazard assessments, inspections, and investigations
- Training requirements, certificates, and shift schedules for certified first aiders
- Health and safety policies and procedures
- Written statement of responsibilities/accountabilities for all levels
- Violence Prevention and Harassment Prevention plans, including policies and procedures
- Health and safety meeting minutes
- Hazard assessment forms, records, and policy/process documents (may also be referred to as formal hazard assessments, job safety analysis, etc.)
- Site-specific hazard assessment forms, records, and policy/process documents
- Hazard assessment review and revision records (include documents outlining process/procedure changes, decisions reached in meeting minutes, memos related to controls, supervisor log books, etc.)
- Documents outlining the preventative maintenance policy and process for vehicles, equipment, and tools. Preventative maintenance records, completed scheduled work documents, work order records, etc.
- Inspection policy and procedure documents (records, inspection schedule, checklists, reports memos outlining corrective actions, etc.)
- Emergency response and evacuation plans, policies, and procedures
- Documents relating to emergency response drills, such as records of drills, minutes for drill review meetings, table-top exercises, etc.
- Documents relating to actual emergency responses, such as records of response, minutes for response review meetings, documents outlining corrective actions or changes in procedure due to emergency
- Incident reporting policy/process and forms for both near misses and incidents.
- Investigation report forms, memos regarding implementation of corrective actions, minutes of meetings discussing investigations

- Organization specific monthly, quarterly, or annual health and safety reports, injury report analysis, health and safety statistics and trend reports
- Previous health and safety system evaluations and action plans (with completion details)
- Health and safety communication records (newsletters, memos, bulletins, etc.)
- HSC and/or HSR policies, procedures, terms of reference, statement of duties/responsibilities
- HSC and/or HSR training records
- HSC and/or HSR meeting minutes and recommendations
- First aid regulations, certificates, training records
- Policies/processes for addressing contractors/visitors/other persons on or near work sites (monitoring, evaluating, communicating, etc.)

Thank you for providing all relevant documentation. Please note that the auditor may request additional records or documents if applicable.

INTERVIEW INSTRUCTIONS

The following interview records are provided by Partnerships and are for optional use. AMHSA recommends reviewing the questions and guidelines included in the Audit Workbook before conducting your interviews to ensure you capture the necessary information for your report writing.

If using the printed interview record forms, the following instructions should be followed. They are designed so that a minimal amount of writing is required.

*Non-committal responses are counted as a negative, or a "no," when calculating response rates for each question. **Only consider a response to be not applicable (N/A) when the question itself does not apply to the individual being interviewed.***

Steps

- 1 Introduce and explain the interview process and purpose to the interviewee.
- 2 Discuss some of the interviewee's background information, so that questions can be asked in a manner that relates to the individual's job. Make key word notes in the "Background Information" space.
- 3 Ask the questions on the form. Re-word them if needed. Expand on them if you didn't get enough information. Record key words and comments in the space under the question.
- 4 Once the question is finished, place a "tick" mark in the space under the "RESPONSE" column that best reflects the interviewee's answer.

Continue in this manner for all of the interviews. One set of interview record forms may be all that is needed to record all interview responses for an employee group (worker, supervisor, etc.).

Council interviews are only conducted when the WCB account being audited includes council.

All employee groups indicated in the audit question must be interviewed. Interview results are then combined to be able to calculate the percentage of positive responses. In order to achieve representative findings, interviews should not be discontinued.

If validation of a question requires two or more employee groups (e.g., worker, supervisor) to be interviewed, combine all the +, -, and N/A responses for the applicable groups to calculate the percentage of positive responses for the audit question.

Remember – All interview records are completely confidential. Destroy the records once the report is completed and approved by AMHSA.

Examples

1.09 How does senior management (i.e., the boss/the owner) communicate to you that health and safety is important? How often?		
<i>Use tick marks or checks to note positive, negative, and N/A responses.</i>		
Yes		8
No		1
N/A		1
Total		10
<i>At staff meetings (monthly).</i> <i>Through newsletter. At Christmas luncheon.</i> <i>A few times a year in the newsletter</i> <i>New – hasn't seen any communication yet.</i>		

Of the 10 employees interviewed, 8 responded positively, 1 negatively, and 1 was N/A. The positive responses result in a percentage of 80% - entering 80% in the Int. Scoring worksheet for question 1.09 will calculate a score of 10 out of 10.

1.04 What are some of the key points listed in the Health and Safety Policy?		
<i>Use tick marks or checks to note positive, negative, and N/A responses.</i>		
Yes		6
No		4
N/A		
Total		10
<i>Talks about commitment.</i> <i>Outlines responsibilities for different levels (workers, bosses, contractors).</i> <i>Legislation and standards.</i> <i>Unsure</i>		

Of the 10 employees interviewed, 6 responded positively, 3 negatively, and 1 was non-committal. The positive responses result in a percentage of 60% - entering 60% in the Int. Scoring worksheet for question 1.04 will calculate a score of 3 out of 5. This is calculated based on 60% proportion of the 5 available points ($5 \times 60\% = 3$).

WORKER INTERVIEWS

Background Information		
<ul style="list-style-type: none"> • What do you do? • What department are you in? • How long have you been with the organization? • Are you full-time, part-time or casual? • Do you take a lead role in the formal hazard assessment process? • Are you on the HS Committee or do you act as a HS Representative? 		
1.04 What are some of the key points listed in the Health and Safety Policy?		
<p>Verified by employee interviews (and councillor interviews if applicable).</p> <p>Employees must be able to explain, in general terms, the policy's content. Provide examples.</p>		
Yes	11111111	
No	11111	
N/A		
Total		

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 for this organization?

Verified by employee interviews (and councillor interviews if applicable).

Employees must be able to identify the three OHS rights (right to know, right to participate, right to refuse dangerous work),

Provide examples.

Yes		
No		
N/A		

Total

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 (and councillor interviews if applicable).

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.

Yes		
No		
N/A		

Total

1.08 How are you held accountable for your health and safety roles and responsibilities?

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. Provide examples.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

1.10 What activities do senior management participate in, to demonstrate they are committed 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.

Yes		
No		
N/A		
Total		

1.13 What resources does senior management provide to implement the health and safety system?

Verified by employee interviews (and councillor interviews if applicable). 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.

Yes		
No		
N/A		
Total		

2.07 How are you involved in the formal hazard assessment process?

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.

Auditor may have to explain formal hazard assessment, as the employer may use different terminology

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

2.14 How are you involved 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.

Yes		
No		
N/A		
Total		

2.15 How do you report new hazards, including unsafe or unhealthy conditions and practices?

Verified by worker interviews. Workers must be able to describe the system to report unsafe or unhealthy conditions and practices.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		

Total

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.

Yes		
No		
N/A		

Total

4.03 Has a HS representative been designated as per legislated requirements?

Verified by employee interviews. An employer needs to designate a HS representative as per legislative requirements (Alberta) or Federal legislation for federally legislated employers. Employees need to be informed if this process has occurred. Provide details/examples.

If the employer is only required to have an HSC, this question can be marked not applicable (n/a).

Yes		
No		
N/A		

Total

4.06 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.

Yes		
No		
N/A		

Total

4.07 HSC and/or HS Representative – What is your HSC and/or HS representative role in the formal hazard assessment process?

Verified by HSC and/or HS representative 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. Provide details/examples.

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

Yes		
No		
N/A		

Total

4.08 What health and safety activities are performed by your HSC 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.

Yes		
No		
N/A		

Total

4.10 How do employees bring forward health and safety concerns and complaints?

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).

Yes		
No		
N/A		
Total		

5.03 Did your manager/supervisor ensure you received an orientation? When was your orientation provided?

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.

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

Yes		
No		
N/A		
Total		

5.06 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 worker 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. Provide Examples.

Yes		
No		
N/A		
Total		

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

Verified by employee interviews (and councillor interviews if applicable). Interviewees must be able to describe the type of training they received in emergency response. Provide examples.

Ex) first aid, fire warden, in house, industry specific, incident command system, etc.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

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

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

Yes		
No		
N/A		
Total		

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, **all workers must be able to describe** how workers participate in the investigation process. Provide examples.

Participation must be more than as the injured worker or witness.

Yes		
No		
N/A		

Total

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.

Yes		
No		
N/A		

Total

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.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

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.		
Yes		
No		
N/A		
Total		
10.06 How have the results from health and safety system evaluations been communicated to you?		
Verified by employee interviews (and councillor interviews if applicable). Interviewees must be able to describe how the OHSMS evaluation/audit or maintenance action plan results are communicated to them. Provide examples.		
If the company did not perform a COR audit or maintenance action plan the previous year, this question may be marked not applicable.		
Yes		
No		
N/A		
Total		

WRITTEN INTERVIEW QUESTIONNAIRE – WORKERS

If an employer has **more than 200 employees**, auditors may use the written interview questionnaires for up to **half of the worker interviews**. Questionnaires can be conducted individually or in a group setting. Auditors are to contact AMHSA for pre-approval before using this method and include justification in the audit tool. When applying for approval, include:

- Why the use of questionnaires is necessary
- Confirmation that the proposed worker participants will have adequate reading and writing skills
- Number and percentage of worker interviews to be replaced with written questionnaires
- Confirmation that they will be administered in a controlled environment that ensures confidentiality of responses
- Confirmation that the auditor will be present (virtual or physically) to monitor questionnaire completion and answer questions from participants

See the following pages, which are to be printed and provided to interviewees for completion. The auditor must administer the questionnaire and be available to address any questions.

Worker Questionnaire 2023

All questions must be completed, and no single-word answers (e.g. Yes or No) are allowed. If you do not understand the intent of a question, please speak to the auditor administering this questionnaire.

Position: _____

Number of years with the company: _____

1.04	What are some of the key points listed in the Health and Safety Policy?
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 for this organization?
1.06B	Can you provide some examples of company and legislated health and safety responsibilities that have been assigned to you by your employer?
1.08	How are you held accountable for your health and safety roles and responsibilities?
1.09	How does senior management (i.e. the boss/the owner) communicate to you that health and safety is important? How often?

1.10	What activities do senior management participate in, to demonstrate they are committed to the company's health and safety management system?
1.13	What resources does senior management provide to implement and improve the health and safety system?
2.07	How are you involved in the formal hazard assessment process?
2.10	Hazard assessment leads only: When are formal hazard assessments reviewed?
2.14	How are you involved in the site-specific hazard assessment process?
2.15	How do you report new hazards, including unsafe or unhealthy conditions and practices?
3.05	How are changes to hazard controls communicated to you?

3.06	What hazard controls do you use?
3.07	How do managers/supervisors ensure you are using the established hazard controls to perform your work safely?
3.10	When and how is defective equipment, vehicles, facilities, or tools removed from service or for repair?
4.03	Has a Health and Safety Representative been designated as per legislated requirements?
4.06	Health and Safety Committee and/or Health and Safety Representative only: What are your HSC and/or HS Representative duties and responsibilities?
4.07	Health and Safety Committee and/or Health and Safety Representative only: What is your HSC and/or HS Representative role in the formal hazard assessment process?

4.08	What health and safety activities are performed by your HSC members or health and safety representative?
4.10	How can you provide feedback regarding health and safety concerns and complaints to your HSC members or health and safety representative?
5.03	Did your manager/supervisor ensure you received an orientation? When was your orientation provided?
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?
8.03	What type of training have you received in emergency response?
8.04	What are your emergency response responsibilities?

9.02	What is the process you follow for reporting incidents (including near misses), occupational illness or work refusals?
9.08	How do workers participate in the investigation process?
9.13	How are the results from incident investigations communicated to you?
10.01A	How are health and safety issues communicated to you?
10.01B	How can you provide feedback on health and safety issues?
10.02	How is health and safety information made available to you?
10.06	How are the results from health and safety system evaluations or action plans been communicated to you?

SUPERVISOR INTERVIEWS

Background Information		
<ul style="list-style-type: none"> • What areas are you responsible for? • How long have you worked here? • How long have you been a supervisor? • Are you full-time, part-time or casual? • Do you directly supervise workers? • Do you take a lead role in the formal hazard assessments? • Are you on the HS Committee or do you act as a HS Representative? 		
1.03 How do you ensure that employees are made aware of the policy?		
<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>If the organization does not have supervisors, this question can be asked to only managers.</p>		
Yes		
No		
N/A		
Total		

1.04 What are some of the key points listed in the Health and Safety Policy?

Verified by employee interviews (and councillor interviews if applicable). Employees must be able to explain, in general terms, the policy's content. Provide examples.

Yes		
No		
N/A		
Total		

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 for this organization?

Verified by employee interviews (and councillor interviews if applicable). Employees must be able to identify the three OHS rights (right to know, right to participate, right to refuse dangerous work).
Provide examples.

Yes		
No		
N/A		
Total		

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 (and councillor interviews if applicable). Employees must be able to explain their health and safety responsibilities (both company and legislated). Provide examples.

Yes		
No		
N/A		
Total		

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.

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

Yes		
No		
N/A		
Total		

1.08 Can you explain how you are held accountable for your health and safety roles and responsibilities?

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. Provide examples.

Ex) performance appraisals, discipline policy/process for non-performance, letters from employer, positive reinforcement by supervisors, job safety observations, management and supervisor reviews, etc.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

1.10 What activities do senior management participate, to 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.

Yes		
No		
N/A		
Total		

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

Verified by employee interviews (and councillor interviews if applicable). 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.

Yes		
No		
N/A		
Total		

2.06 A How do managers 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.

Yes

No

N/A

Total

2.06 B 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.

Yes

No

N/A

Total

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.

Yes		
No		
N/A		
Total		

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

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

3.07 How do you enforce the use of the established hazard controls?

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.

Yes**No****N/A****Total****4.03 Has a HS representative been designated as per legislated requirements?**

Verified by employee interviews. An employer needs to designate a HS representative as per legislated requirements (Alberta) or Federal legislation for federally legislated employers. Employees need to be informed if this process has occurred. Provide examples.

If the employer is only required to have an HSC, this question may be marked not applicable.

Yes**No****N/A****Total**

4.06 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. Examples may include: 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.

Yes		
No		
N/A		
Total		

4.07 HSC and/or HS representative – What is your HSC and/or HS representative role in the formal hazard assessment process?

Verified by HSC and/or HS representative 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.

Yes	
No	
N/A	
Total	

4.08 What health and safety activities are performed by your HSC 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.

Yes		
No		
N/A		
Total		

4.10 How do employees bring forward health and safety concerns and complaints?

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).

Yes		
No		
N/A		
Total		

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.

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

Yes		
No		
N/A		

Total

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.

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

Yes		
No		
N/A		

Total

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.

Yes		
No		
N/A		

Total

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.

Yes		
No		
N/A		

Total

5.06 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 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.

Yes

No

N/A

Total

5.08 When and how are competency assessments completed?

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 5.07. Provide examples.

If 5.07 is awarded no points, this question is scored 0. If the organization does not have supervisors, this question can be asked to only managers.

Yes

No

N/A

Total

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

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.

Yes		
No		
N/A		
Total		

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, suppliers, prime contractors, etc., conducting activities at a work site or receiving products. If the organization does not have supervisors, this question can be asked to only managers.

Yes		
No		
N/A		
Total		

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, suppliers, prime contractors, etc., conducting activities at a work site or receiving products. If the organization does not have supervisors, this question can be asked to only managers.

Yes		
No		
N/A		
Total		

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?

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, suppliers, prime contractors, etc., conducting activities at a work site or receiving products. If the organization does not have supervisors, this question can be asked to only managers.

Yes		
No		
N/A		
Total		

6.06 How is health and safety information made available to affected external work site parties?

Verified by manager/supervisor interviews. Health and safety information is readily available to affected external work site parties. Examples may include hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC and/or HS representative meeting minutes. Work site parties can include other employers, suppliers, prime contractors, etc., conducting activities at a work site or receiving products.

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

Yes		
No		
N/A		
Total		

7.06 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?

Verified by manager/supervisor interviews. Interviewees must be able to describe how they ensure deficiencies identified through formal inspections will be corrected. Provide examples.

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

Yes		
No		
N/A		
Total		

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

Verified by employee interviews (and councillor interviews if applicable). Interviewees must be able to describe the type of training they received in emergency response. Examples include first aid, fire warden, in house, industry specific, incident command system, etc. Provide examples.

Yes**No****N/A****Total****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.

Yes**No****N/A****Total**

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

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

Yes		
No		
N/A		
Total		

9.07 How do managers/supervisors participate in the investigation process?

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

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

Yes		
No		
N/A		
Total		

9.13 How are incident investigation results communicated to employees?

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

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

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

Verified by employee interviews (and councillor interviews if applicable). Interviewees must be able to describe how the evaluation or action plan results are communicated to them. Provide examples.

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

Yes**No****N/A****Total**

MANAGER INTERVIEWS

Background Information		
<ul style="list-style-type: none"> • What areas are you responsible for? • How long have you worked here? • How long have you been a manager? • Are you full-time, part-time or casual? • Do you directly supervise workers? • Do you take a lead role in formal hazard assessments? • Are you on the HS Committee or do you act as a HS Representative? 		
1.03 How do you ensure that employees are made aware of the policy?		
<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>If the organization does not have supervisors, this question can be asked to only managers.</p>		
Yes		
No		
N/A		
Total		

1.04 What are some of the key points listed in the Health and Safety Policy?

Verified by employee interviews (and councillor interviews if applicable). Employees must be able to explain, in general terms, the policy's content. Provide examples.

Yes		
No		
N/A		
Total		

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 (and councillor interviews if applicable). Employees must be able to identify the three OHS rights (right to know, right to participate, right to refuse dangerous work).

Provide examples.

Yes		
No		
N/A		
Total		

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 (and councillor interviews if applicable). Employees must be able to identify what their company designated health and safety responsibilities are (both company and legislated). Provide examples.

Yes		
No		
N/A		
Total		

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.

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

Yes		
No		
N/A		
Total		

1.08 Can you explain how you are held accountable for your health and safety roles and responsibilities?

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.

Yes		
No		
N/A		

Total

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.

Yes		
No		
N/A		

Total

1.10 What activities does senior management participate, to demonstrate they are committed to the company's HSMS?

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.

Yes		
No		
N/A		
Total		

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

Verified by employee interviews (and councillor interviews if applicable). 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.

Yes		
No		
N/A		
Total		

2.06 A How does management participate in the formal hazard assessment process?

Verified by manager 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.

Yes		
No		
N/A		
Total		

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

Verified by manager/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.

If the organization does not have supervisors, then 2.06B can be N/A.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

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.

If site specific hazard assessments were not required in the last 12 months, this question may be marked not applicable. If the organization does not have supervisors, this question can be asked to only managers.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

3.06 What hazard controls do you use?

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.

Yes		
No		
N/A		
Total		

3.07 How do you enforce the use of the established hazard controls?

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.

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

Yes		
No		
N/A		
Total		

4.03 How was the HS Representative designated?

Verified by employee interviews. An employer needs to designate a HS representative as per legislated requirements (Alberta) or Federal legislation for federally regulated employers. Employees need to be informed if this process has occurred. Provide examples.

If this employer is only required to have an HSC, this question may be marked not applicable.

Yes		
No		
N/A		
Total		

4.06 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. Examples may include: 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.

Yes		
No		
N/A		
Total		

4.07 HSC and/or HS representative – What is your HSC and/or HS Representative role in the formal hazard assessment process?

Verified by HSC and/or HS representative 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.

Yes		
No		
N/A		
Total		

4.08 What health and safety activities are performed by the HSC members or HS 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.

Yes		
No		
N/A		
Total		

4.10 How do employees bring forward health and safety concerns and complaints?

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).

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

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.

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

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

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.

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

Yes		
No		
N/A		
Total		

5.06 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 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. Provide examples.

Yes		
No		
N/A		

Total

5.08 When and how are competency assessments completed?

Verified by manager/ supervisor interviews. Managers and supervisors must be able to describe how they ensure the competency assessments are conducted as required by the process in 5.07.

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

Yes		
No		
N/A		

Total

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 during the period of the contracted services. The contracting employer must have a process to deal with other employers when there is a non-compliance to their OHSMS.

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.

Yes		
No		
N/A		
Total		

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.).

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

Yes		
No		
N/A		
Total		

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.).

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

Yes		
No		
N/A		
Total		

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?

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.).

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

Yes		
No		
N/A		
Total		

6.06 How do you ensure other employers and/or self-employed persons are made aware of your H&S Policy?

Verified by senior manager, manager/supervisor interviews. Health and safety information is available to affected external work site parties. Examples may include hazard assessments, inspections, emergency response procedures, safe work practices/procedures, investigations, HSC and/or HS representative meeting minutes.

Work site parties can include other employers, suppliers, prime contractors, etc., conducting activities at a work site or receiving products. If the organization does not have supervisors, this question can be asked to only managers.

Yes		
No		
N/A		
Total		

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7.05 Describe how employee observations are incorporated into the inspection process.

Verified by manager/supervisor interviews. Interviewees must be able to describe how they include observations of OHS behaviours and conditions during their inspections (formal or informal). Provide examples.

Yes		
No		
N/A		
Total		

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7.06 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?

Verified by manager/supervisor interviews. Interviewees must be able to describe how they ensure deficiencies identified through formal inspections will be corrected. Provide examples.

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

Yes		
No		
N/A		
Total		

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

Verified by employee interviews (and councillor interviews if applicable). Interviewees must be able to describe the type of training they received in emergency response. Examples include first aid, fire warden, in house, Industry specific, incident command system, etc. Provide details/examples.

Yes		
No		
N/A		
Total		

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 details/examples.

Yes		
No		
N/A		
Total		

9.02 Can employees explain the reporting procedures for incidents (including near misses), occupational illness, and work refusals?

Verified by employee interviews (and councillor interviews if applicable). Interviewees must be able to explain the process for report incidents, near misses, occupational illness, and work refusals. Provide details/examples.

Yes		
No		
N/A		
Total		

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.

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

Yes		
No		
N/A		

Total

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.

Yes		
No		
N/A		

Total

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.		
Yes		
No		
N/A		
Total		
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 councillor (if applicable) 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.		
Yes		
No		
N/A		
Total		

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

Verified by employee interviews (and councillor interviews if applicable). Interviewees must be able to describe how the evaluation or action plan results are communicated to them. Provide examples.

If the company did not perform a COR or SECOR audit or maintenance option the previous year, this question may be not applicable.

Yes		
No		
N/A		
Total		

SENIOR MANAGER INTERVIEWS

Background Information		
<ul style="list-style-type: none"> • What areas are you responsible for? • How long have you worked here? • How long have you been a in this position? • Do you directly supervise workers? • Do you take a lead role in the formal hazard assessment process? • Are you on the HS Committee or do you act as a HS Representative? 		
1.03 How do you ensure that employees are made aware of the policy?		
<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>If the organization does not have supervisors, this question can be asked to only managers.</p>		
Yes		
No		
N/A		
Total		

1.04 What are some of the key points listed in the Health and Safety Policy?

Verified by employee interviews (and councillor interviews if applicable). Employees must be able to explain, in general terms, the policy's content. Provide examples.

Yes		
No		
N/A		
Total		

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 (and councillor interviews if applicable). Employees must be able to identify the three OHS rights (right to know, right to participate, right to refuse dangerous work).

Provide examples.

Yes		
No		
N/A		
Total		

1.06B Can you provide some examples of the health and safety responsibilities that you have been assigned to you?

Verified by employee interviews (and councillor interviews if applicable). Employees must be able to explain their health and safety responsibilities (both company and legislated). Provide examples.

Yes		
No		
N/A		
Total		

1.08 Can you explain how you are held accountable for your health and safety roles and responsibilities?

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. Provide examples.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

1.10 What company health and safety activities do you participate in?

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

Yes		
No		
N/A		
Total		

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

Verified by employee interviews (and councillor interviews if applicable). Interviewees must be able to describe health and safety resources provided. Examples can include paid time, equipment, training, materials and budget dedicated to health and safety needs, etc.

Yes		
No		
N/A		
Total		

2.05 What are some of the highest hazard tasks associated with your company's operations?

Verified by senior manager and councillor (if applicable) interviews. Interviewees must be knowledgeable of the highest hazard tasks related to their operations (identified in question 2.04). Provide examples.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

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.

Yes		
No		
N/A		
Total		

3.06 What hazard controls do you use?

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.

Yes		
No		
N/A		
Total		

4.03 How did you designate your HS representative?

Verified by employee interviews. An employer needs to designate a HS representative as per legislated requirements (Alberta) or Federal legislation for federally regulated employers. Employees need to be informed if this process has occurred.

If the employer is only required to have an HSC, this question may be marked not applicable.

Yes		
No		
N/A		
Total		

4.06 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. Examples may include: 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.

Yes		
No		
N/A		

Total

4.07 HSC and/or HS Representative – What is your role in the formal hazard assessment process?

Verified by HSC and/or HS representative 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.

Auditor to determine if interviewee would be considered a HSC member or HS Representative. N/A if they are not.

Yes		
No		
N/A		

Total

4.08 What health and safety activities are performed by the HSC members or HS 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.

Yes		
No		
N/A		
Total		

4.10 How do employees bring forward health and safety concerns and complaints?

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).

Yes		
No		
N/A		
Total		

5.06 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 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. Provide detail/examples.

Yes		
No		
N/A		
Total		

7.05 Describe how employee observations are incorporated into the inspection process.

Verified by senior manager, manager interviews. Senior managers/managers must be able to describe how they include observations of OHS behaviours and conditions during their inspections (formal or informal). Provide details/examples.

Yes		
No		
N/A		
Total		

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

Verified by employee interviews (and councillor interviews if applicable). Interviewees must be able to describe the type of training they received in emergency response. Examples can include fire control, rescue, first aid, lock down procedures, shelter in place, etc. Provide examples.

Yes		
No		
N/A		
		Total

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.

Yes		
No		
N/A		
		Total

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

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

Yes		
No		
N/A		
Total		

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 details/examples.

Yes		
No		
N/A		
Total		

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.		
Yes		
No		
N/A		
Total		
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, manager and councillor (if applicable) 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 details/examples.		
Yes		
No		
N/A		
Total		

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

Verified by employee interviews (and councillor interviews if applicable). Interviewees must be able to describe how the evaluation or action plan results are communicated to them. Provide examples.

If the company did not perform a COR or SECOR audit or maintenance option the previous year, this question may be not applicable.

Yes**No****N/A****Total**

COUNCILLOR INTERVIEWS

Council interviews are only conducted if they are covered by the WCB account being audited, confirmed by the audit contact and Int. Sampling calculations.

Suggested introduction question/background information:

- How long have you been a Councillor for this municipality?

1.04 What are some of the key points listed in the Health and Safety Policy?		
Interviewees must be able to explain, in general terms, the policy's content.		
Yes		
No		
N/A		
Total		
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 for this organization?		
Interviewees must be able to identify the three OHS rights.		
Yes		
No		
N/A		
Total		

1.06B Can you provide some examples of legislation that is applicable to you under the Occupational Health and Safety Act, Regulation and Code?

Interviewees must be able to provide examples of some of their health and safety responsibilities (both company and legislated).

Yes		
No		
N/A		
Total		

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

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.)

Yes		
No		
N/A		
Total		

2.05 What are some of the highest hazard tasks associated with the organization's operations?

Interviewees must be knowledgeable of the highest hazard tasks related to their operations.

Yes		
No		
N/A		
Total		

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

Interviewees must be able to describe the type of training they received in emergency response. Examples include first aid, fire warden, in house, industry specific, incident command system, etc.

Yes		
No		
N/A		
Total		

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

Interviewees must be able to explain the process for reporting incidents, near misses, occupational illness, and work refusals.

Yes		
No		
N/A		
Total		

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10.04 How is senior management/management involved 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 is senior management/management held accountable for the HSMS?

Interviewees must describe management and senior management involvement in improvement 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 managers and senior managers are held accountable.

Yes		
No		
N/A		
Total		

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10.06 How does the organization communicate the results of health and safety system evaluation to employees?

Interviewees must be able to describe how the OHSMS evaluation/audit or maintenance action plan results are communicated to them. If the company did not perform a COR audit or maintenance action plan the previous year, this question may be marked not applicable.

Yes		
No		
N/A		
Total		

INTERVIEW SCORING

Transfer your results (number of positive and negative and N/A responses for each question to the Int. Scoring worksheet in the Excel audit workbook. Select “Int. Scoring” as data source at the top of the page. Note that “Int. Record” is utilized as the data source when recording interview results in the Int. Record tab of the audit workbook.

The worksheet will look like this:

Instructions		Audit Information		Site Sampling		Int. Sampling		Int. Scoring		Int. Record		Audit Tool		Audit Report		Exec. Summary													
Instructions		Top																											
Interview Scoring																													
Data Source:		Select data source		Error: Data source must be selected.																Warning: Council not included in Interview Sample, if this is in error, adjust on Int. Sampling sheet									
Question	Workers			Supervisors			Managers			Senior Managers			Councillors			Overall													
	+	-	N/A	+	-	N/A	+	-	N/A	+	-	N/A	+	-	N/A	%+	Total +	Total -	Total N/A	Total	Req.								
1.03				0	0	0	0	0	0	0	0	0				0%	0	0	0	0	0								
1.04	0	0	0	0	0	0	0	0	0	0	0	0				0%	0	0	0	0	0								
1.06 A	0	0	0	0	0	0	0	0	0	0	0	0				0%	0	0	0	0	0								
1.06 B	0	0	0	0	0	0	0	0	0	0	0	0				0%	0	0	0	0	0								
1.07				0	0	0	0	0	0							0%	0	0	0	0	0								
1.08	0	0	0	0	0	0	0	0	0	0	0	0				0%	0	0	0	0	0								
1.09	0	0	0	0	0	0	0	0	0	0	0	0				0%	0	0	0	0	0								
1.10	0	0	0	0	0	0	0	0	0	0	0	0				0%	0	0	0	0	0								
1.13	0	0	0	0	0	0	0	0	0	0	0	0				0%	0	0	0	0	0								
2.05				0	0	0	0	0	0	0	0	0				0%	0	0	0	0	0								
2.06 A				0	0	0	0	0	0							0%	0	0	0	0	0								
2.06 B				0	0	0	0	0	0							0%	0	0	0	0	0								
2.07	0	0	0													0%	0	0	0	0	0								
2.10	0	0	0	0	0	0	0	0	0	0	0	0				0%	0	0	0	0	0								

OBSERVATION TOUR

The audit observation tour is an important component of the audit validation process. It is done for two reasons: To verify information obtained from documentation and interviews, and to verify adherence to established organization standards.

Instructions:

- The auditor walks through the worksite(s) identified in the Site Sampling worksheet and verifies through observation the items identified in the Audit Tool as observation questions. You can complete the Field Notes while completing your tour(s), then use that information to write the official Justification Notes and to award percentage of positive indicators for the question.
- An employee from the organization being audited must accompany the auditor during the observation tour or have provided site familiarization, in an external audit. This is important in the event that on-the-spot changes need to be made in response to conditions observed (e.g., the existence of imminent danger) and so that external audits can be made aware of anything of note, specific to the sites included.

Observation questions are identified by an "O" in the validation method column of the audit tool, and include the question, guidelines, and a spot for field notes, justification notes, and SFI/strength. For example, 1.02 is validation through observations:

1.02	Is the Health and Safety policy readily available to employees?	0/5	
	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. Points are awarded based on the percentage of locations the policy was available. Provide details/examples.		
		0 %	O
		No	
		No	
	<i>Field Notes: (optional - not included in Report or Summary)</i>		
	<i>Justification Notes:</i>		
	<i>SFI/Strength:</i>		

You can also use the following two pages to record items that you will observe while you are conducting documentation review and interviews. Once you are ready to conduct observations you can use these notes to verify positive and negative observations.

Observation Questions:**1.02 Is the health and safety policy readily available to employees?**

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 details/examples.

Yes		
No		
N/A		
Total		

1.11 Is current health and safety legislation readily available at all work sites?

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 details/examples.

Yes		
No		
N/A		
Total		

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.

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

Yes		
No		
N/A		
Total		

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

Verified by observation.

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

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

3.06 Are employees using the established hazard controls?		
<p>Verified by employee interviews and observation. Observe employees performing their jobs, and verify they are using the established hazard controls identified in the interviews. Provide details/examples.</p>		
Yes		
No		
N/A		
		Total
4.15 Are the names and contact information of the HSC members and/or the HS Representative(s) readily available?		
<p>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. Provide details/examples.</p>		
Yes		
No		
N/A		
		Total

7.07 Have deficiencies identified through formal inspections been corrected?

Verified by observations.

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

Where no deficiencies are identified or not observable, this question may be marked not applicable (N/A). Provide justification.

Provide details/examples.

Yes		
No		
N/A		
		Total

8.09 Do first aid equipment, supplies, and facilities meet legislated requirements?

Verified by observation.

Equipment, supplies and facilities must meet the identified legislative requirements (Alberta) or Federal legislation for federally regulated employers.

The auditor must verify that legislated first aid obligations have been met at all visited sites and facilities.

Provide details/examples.

Yes		
No		
N/A		
		Total

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

Verified by review of documentation and observing results of corrective actions implemented.
If corrective actions include administrative controls, implementation may be confirmed through documentation (e.g., training, memos, safety bulletins, etc.). For corrective actions that are observable, award points that confirms implementation compared to the corrective actions identified.
If corrective actions are not observable, the observation portion of this question may be marked not applicable (N/A).
Provide justification.
Provide details/examples.

Yes		
No		
N/A		
Total		

SAMPLE – POST-AUDIT MEETING AGENDA

Town of Anywhere Internal Audit
Post-Audit Meeting
February 5, 2023
9-10 AM

Attendees: Beverly Booker (CAO), John Samson (H&S Coordinator), Jennifer Spencer (HSC Co-Chair), Jude Jenkins (Auditor)

AGENDA

Introductions

Audit Results

- Review of process and scope
- Confidentiality
- Unable to share score until audit has passed AMHSA QA
- Highlight 3 key strengths
- Highlight 3 main SFI's
- Potential for limited scope audit (if applicable)

Quality Assurance

- Report writing
- Submission to AMHSA for quality assurance review
- QA timelines

Audit Deliverables

- Audit Report
- Executive Summary

Action Plan

- Action Plan development
- Action plan implementation

Questions?

After an audit passes QA, the auditor will be provided with the completed first page, which will look like this. A PDF of this page will be emailed to the auditor.

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