

# Health & Safety Auditing Auditor Resources

Alberta Municipal Health and Safety Association





# ANHSA Health | Safety | Environment

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## Publisher

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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 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. Note that site-specific hazard assessments cannot be used to score these questions.
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

	ow does senior management (i.e., the boss/the owner) communicate to you that health and ant? How often?	safety is
Use tick	marks or checks to note positive, negative, and N/A responses.	
Yes	s  ++++     8	
No		7
N/A		7
	Total	10
Throug A few t	<sup>e</sup> meetings (monthly). h newsletter. At Christmas luncheon. imes a year in the newsletter hasn't seen any communication yet.	

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?				
Use tick marks or checks to note positive, negative, and N/A responses.				
Yes	++++ 1	6		
No		4		
N/A				
	Total	10		
Talks about commitment. Outlines responsibilities for different levels (workers, bosses, contractors). Legislation and standards. Unsure				

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**

- 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?

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	1111111	
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			
	bus work),	pate, fight to refuse		
Provide	examples.			
Yes				
No				
N/A				
	Total			
	an you provide some examples of the health and safety responsibilities that d by your employer?	you have been		
Verified	by employee interviews (and councillor interviews if applicable).			
(e.g., re	ees must be able to identify what their company designated health and safety i port incidents, follow safe work procedures, participate in inspections, take re 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	
<b>safety</b> Verifie	bw does senior management (i.e., the boss/the owner) communicate to you t is important? How often? d by employee interviews. Notes must include examples of how senior manage 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 Wr	nat resources does senior management provide to implement the health and s	safety system?
describ	d by employee interviews (and councillor interviews if applicable). Interviewe he health and safety resources provided (e.g., paid time, equipment, training, ma red to health and safety needs, etc.). Provide examples.	
Ex) paic	l 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

	Total	
N/A		
No		
Yes		

#### 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 H	low are you involved in the site-specific hazard assessment process?	
Verifie	ed by manager/supervisor and worker interviews. Interviewees must be able to d ipate in the site-specific hazard assessment process. Provide examples.	lescribe how they
May be	e marked as N/A if site-specific hazard assessments were not required in the	previous 12 months.
Yes		
No		
N/A		
	Total	
2.15 H	ow do you report new hazards, including unsafe or unhealthy conditions and p	oractices?
	ed by worker interviews. Workers must be able to describe the system to report u ions and practices.	unsafe or unhealthy
Yes		
No		
N/A		
	Total	

	ow are changes to hazard controls communicated to you?	
change	d by employee interviews. Interviewees must be able to explain how they were ir e to hazard controls relevant to their job tasks. If no changes have been made, in are of how they will be informed of changes. Provide examples.	
Yes		
No		
N/A		
	Total	
Verifie	<b>/hat hazard controls do you use?</b> d by employee interviews. Interviewees must confirm their use of hazard contro /ees performing their jobs, and verify they are using the established hazard cont	
employ the int	erviews. Provide examples.	
the int	erviews. Provide examples.	
the internet	erviews. Provide examples.	
the interview of the in	erviews. Provide examples.	
the internet	erviews. Provide examples.	

# 3.07 How do managers/supervisors ensure you are using the established hazard controls to perform your work safely?

Verified by managers/supervisors and worker interviews.

Managers/supervisors must be able to give examples of how they enforce the use of controls. Workers must be able to describe the enforcement process. Provide examples.

Yes		Total	
	N/A		
Yes	No		
	Yes		

# **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.

	Total	
N/A		
No		
Yes		

	SC and/or HS Representative – What is your HSC and/or HS representative rol assessment process?	e in the formal
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 qu	estion can be N/A if the organization is not legislated to have a HSC/HS Repr	esentative.
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?

	Total	
N/A		
Νο		
Yes		
ii the c	organization does not have supervisors, this question can be asked to only manag	gers.
regula	cribe the process used to ensure workers have received orientation prior to emp r duties. Provide examples.	
-	d by manager/supervisor and worker interviews. Managers/supervisors and wor	kers must be able
5.03 D provid	lid your manager/supervisor ensure you received an orientation? When was your determined and a second s	our orientation
	Total	
N/A		
No		

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 W	hat type of training have you received in emergency response?	
	d by employee interviews (and councillor interviews if applicable). Interviewees be the type of training they received in emergency response. Provide examples.	must be able to
Ex)first	t aid, fire warden, in house, industry specific, incident command system, etc.	
Yes		
No		
N/A		
	Total	

	ed by employee interviews. Interviewees must be able to describe how they would of an emergency. Provide examples.	d respond in the
Yes		
No		
N/A		
	Total	
<b>illness</b> Verifie explai	What is the process you follow for reporting incidents (including near misses), a ses or work refusals? ed by employee interviews (and councillor interviews if applicable). Interviewees r n the process for reporting incidents (including near misses), occupational illness	must be able to
	Ils. Provide examples.	
Yes No		
N/A		
	Total	

9.08 Ho	ow do workers participate in the investigation process?		
Verified by worker interviews. Not all workers need to actively participate in the incident investigation process; however, <b>all workers must be able to describe</b> how workers participate in the investigation process. Provide examples.			
Particip	pation 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			
Yes	nicated. Provide examples.		
No			
N/A			
	Total		

health	ed by worker interviews. Interviewees must be able to describe how employees a and safety issues by management (e.g., newsletter, safety meetings, emails, po rs, etc.). Provide examples.	
Yes		
No		
N/A		
	Total	
10 01R	• How can you provide feedback on health and safety issues?	
Verifie feedba	ed by worker interviews. Interviewees must be able to describe how they are able ack on health and safety issues (e.g., health and safety meetings, suggestion box	
Verifie feedba superv	ed by worker interviews. Interviewees must be able to describe how they are able	
Verifie feedba superv <b>Yes</b>	ed by worker interviews. Interviewees must be able to describe how they are able ack on health and safety issues (e.g., health and safety meetings, suggestion box	
Verifie feedba superv Yes No	ed by worker interviews. Interviewees must be able to describe how they are able ack on health and safety issues (e.g., health and safety meetings, suggestion box	
Verifie feedba superv <b>Yes</b>	ed by worker interviews. Interviewees must be able to describe how they are able ack on health and safety issues (e.g., health and safety meetings, suggestion box	

10.02 H	ow 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		
Verified describ them. P If the co questio	ow have the results from health and safety system evaluations been community of the previous (and councillor interviews if applicable). Interviewees the out the OHSMS evaluation/audit or maintenance action plan results are common to be any les.	must be able to municated to	
Yes			
No			
N/A	Tatul		
	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?

106B 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?

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 p
3.05	How are changes to hazard controls communicated to you?
AMHSA	2023

1.10	What activities do senior management participate in, to demonstrate they are committed to the
compa	ny'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?

?

oractices?

3.06	What hazard controls do you	u use?
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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
repres	entative?

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**

- 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?

Verified by senior manager, manager, and supervisor interviews. Interviewees must be able to describe how they ensure that the policy is communicated to employees.

Total

	ed by employee interviews (and councillor interviews if applicable). Employees n n, in general terms, the policy's content. Provide examples.	nust be able to
Yes		
No		
N/A		
	Total	
	Can you provide some examples of how the three OHS Rights (right to be info ipate, and right to refuse dangerous work) apply to the work you do for this o	
<b>partici</b> Verifie identif <u>y</u>	ipate, and right to refuse dangerous work) apply to the work you do for this of ad by employee interviews (and councillor interviews if applicable). Employees n by the three OHS rights (right to know, right to participate, right to refuse dange	rganization?
<b>partici</b> Verifie identify Provide	ipate, and right to refuse dangerous work) apply to the work you do for this ou d by employee interviews (and councillor interviews if applicable). Employees n	rganization?
<b>partici</b> Verifie identif <u>y</u>	ipate, and right to refuse dangerous work) apply to the work you do for this of ad by employee interviews (and councillor interviews if applicable). Employees n by the three OHS rights (right to know, right to participate, right to refuse dange	rganization?
<b>partici</b> Verifie identif <u>y</u> Provide <b>Yes</b>	ipate, and right to refuse dangerous work) apply to the work you do for this of ad by employee interviews (and councillor interviews if applicable). Employees n by the three OHS rights (right to know, right to participate, right to refuse dange	rganization?

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 Wh supervi	at are your responsibilities to ensure the health and safety of employees und sion?	ler your
	by manager and supervisor interviews. Managers and supervisors must be able sure the health and safety of the employees under their supervision.	e to describe how
lf the or	ganization does not have supervisors, this question can be asked to only manag	gers.
Yes		
No		
N/A		
	Total	
		I

### 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.

i		
Yes		
No		
N/A		
	Total	
1.09 Hov safetv is	<i>v</i> does senior management (i.e., the boss/the owner) communicate to you th important? How often?	at health and
	by employee interviews. Notes must include examples of how senior managem ad safety commitment. Provide examples.	ent communicates
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 Wh system	at resources does senior management provide to implement and improve the	health and safety
describ	d by employee interviews (and councillor interviews if applicable). Interview e health and safety resources provided (e.g., paid time, equipment, training, m ed 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 pro	ocess?	
Confirr	d by supervisor interviews. n that management and supervisory levels are involved in the formal ha in the regular review of formal hazard assessments. Provide examples		essment process,
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	
7 OG W/b		
	at hazard controls do you use?	
employe	by employee interviews. Interviewees must confirm their use of hazard control es performing their jobs, and verify they are using the established hazard contr vs. 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.

	Total	
N/A		
No		
Yes		

#### 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 re	presentative – What are your	r HSC and/or HS representative duties and	d
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		
Νο		
N/A		
	Total	

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

	by employee interviews. Interviewees must be able to confirm that committee ntative(s) are involved in health and safety activities. Provide examples.	members and/or
es		
No		
N/A		
	Total	
Verified	w do employees bring forward health and safety concerns and complaints? by employee interviews. Employees must be able to explain how they bring forv oncerns and complaints to the HSC and/or HS representative(s).	vard health and
Salety C		
-		
Yes No		
Yes		

	you explain how the HSC members and/or HS representative would make he endations to management?	ealth and safety
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 org	ganization does not have supervisors, this question can be asked to only manag	jers.
Yes		
No		
N/A		
	Total	
	v does the company verify that employees have the qualifications required to ey are being hired?	o do the job for
requires	by review of documentation and manager/supervisor interviews. A process mu a check for qualifications required for the job/tasks (e.g., degrees, diplomas, c tes, apprenticeship program, diplomas, driver's licenses, etc.).	
-	s/supervisors must be able to describe the process used to verify that employe tions required to do the job for which they are being hired. Provide examples.	ees have the
If the or	ganization does not have supervisors, this question can be asked to only man	agers.
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.

accumen		
Yes		
No		
N/A		
	Total	

	hen an employee is hired or assigned a new job, task, or when an operational c ork, what type of training is provided?	change affects
	l by employee interviews. Confirm employees receive training when they are re- when there are changes to the operations that affects the work they do.	assigned to a new
Yes		
No		
N/A		
	Total	
[		
5.08 Wh	nen and how are competency assessments completed?	
ensure	I by manager/ supervisor interviews. Managers and supervisors must be able to competency assessments are conducted as required by the process in 5.07. Pro	ovide examples.
	n 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 selfemployed 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.

	Total	
N/A		
No		
Yes		

#### 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.

	Total	
N/A		
No		
Yes		

### 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.

Yes		
No		
N/A		
	Total	
1		

8.03 Wh	at type of training have you received in emergency response?	
describe	by employee interviews (and councillor interviews if applicable). Interviewees r the type of training they received in emergency response. Examples include fi , industry specific, incident command system, etc. Provide examples.	
Yes		
No		
N/A		
	Total	
Verified	at are your emergency response responsibilities? by employee interviews. Interviewees must be able to describe how they would an emergency. Provide examples.	I respond in the
Yes		
No		
N/A		
	Total	

explain the process for reporting incidents, near misses, occupational illness, and work refusals. Provide examples.  Yes No N/A Total  B.07 How do managers/supervisors participate in the investigation process?  Verified by manager/supervisor interviews. Not all managers/supervisors need to actively participate in ncident investigation, however, all supervisors must be able to describe supervisor involvement in the investigation process. Provide examples.  f the organization does not have supervisors, this question can be asked to only managers.  Yes No	Image: State in the process for reporting incidents, near misses, occupational illness, and work refusals. Provide xamples.         Image: State in the image: State in t		d by employee interviews (and councillor interviews if applicable). Interviewees n	nust be able to
Yes	res	explain	the process for reporting incidents, near misses, occupational illness, and work	
No	I/A       Total         I/A       Total         Total       Total         I/A       Total         I/A       I/A         I/A       I/A         I/A       I/A	exampl	es.	
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	Image: Market in the investigation process?         Image: Market in the investigation process? <t< th=""><th>Yes</th><th></th><th></th></t<>	Yes		
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Yes N/A	/es			
Yes N/A	/es lo lo l/A			
No N/A	lo I/A		jation process. I tovide examples.	
No N/A	lo I/A	lf the o		
N/A	I/A	lf the o		
Total	Total	lf the o Yes No		
		Yes No		
		Yes No	rganization does not have supervisors, this question can be asked to only manag	
		Yes No	rganization does not have supervisors, this question can be asked to only manag	
		Yes No	rganization does not have supervisors, this question can be asked to only manag	
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		Yes	rganization does not have supervisors, this question can be asked to only manag	
		Yes No	rganization does not have supervisors, this question can be asked to only manag	
		'es Io	rganization does not have supervisors, this question can be asked to only manag	

9.13 Hov	v are incident investigation results communicated to employees?	
	by employee interviews. Interviewees must be able to describe how investigati icated. Provide examples.	on results are
Yes		
No		
N/A		
	Total	
10.02.04		
Verified emerger	by employee interviews. Health and safety information (e.g., hazard assessmer by employee interviews. Health and safety information (e.g., hazard assessmer icy response procedures, safe work practices/procedures, investigations, HSC eadily available to employees. Provide examples.	
Yes		
No		
N/A		
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		
Νο		
N/A		
	Total	

### MANAGER INTERVIEWS

#### **Background Information**

- 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?

Verified by senior manager, manager, and supervisor interviews. Interviewees must be able to describe how they ensure that the policy is communicated to employees.

Yes		
No		
N/A		
	Total	

1.04 W	hat are some of the key points listed in the Health and Safety Policy?	
	d by employee interviews (and councillor interviews if applicable). Employees mus I terms, the policy's content. Provide examples.	st be able to explain, in
Yes		
No		
N/A		
	Total	
<b>partici</b> Verifie	Can you provide some examples of how the three OHS Rights (right to be inform pate, and right to refuse dangerous work) apply to the work you do? d by employee interviews (and councillor interviews if applicable). Employees mus ee OHS rights (right to know, right to participate, right to refuse dangerous work).	st be able to identify
Provide	e 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?			
what the	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			
I		Total	
Verified ensure t	<b>at are your responsibilities to ensure the health and safety of employed</b> by manager and supervisor interviews. Managers and supervisors must b he health and safety of the employees under their supervision. ganization does not have supervisors, this question can be asked to only	be able to describe how they	
Yes			
No			
N/A			
	Total		

1.08 Ca	n 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	
109 Ho	w does senior management (i.e., the boss/the owner) communicate to	you that health and safety is
	int? How often?	you that health and safety is
-		
	by employee interviews. Notes must include examples of how senior maind safety commitment. Provide examples.	anagement communicates
Yes		
No		
N/A		
	Total	

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

commitr		nent demonstrates their
ontrols	nent to health and safety (e.g., site tours, participation in inspections o etc.). Provide examples.	r committees, using hazard
		Ι
Yes		
No		
N/A		
	Total	
l.13 Wha system?	t resources does senior management provide to implement and impr	ove the health and safety
describe	by employee interviews (and councillor interviews if applicable). health and safety resources provided (e.g., paid time, equipment, t d to health and safety needs, etc.). Provide examples.	
Yes		
No		
N/A		
	Total	

	low does management participate in the formal hazard assessment p	
Confirm	by manager interviews. that management and supervisory levels are involved in the formal haza n the regular review of formal hazard assessments. Provide examples.	ard assessment process,
Yes		
No		
N/A		
	Total	
2.06 B H	ow do supervisors participate in the formal hazard assessment proce	ss?
	by manager/supervisor interviews. Confirm that management and supe	
the forn	hal hazard assessment process, and/or in the regular review of formal ha	azard assessments.
lf the or	ganization does not have supervisors, then 2.06B can be N/A.	
Yes	ganization does not have supervisors, then 2.000 can be N/A.	
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.

	Total	
N/A		
No		
Yes		

### 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 Wh	at 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.

N/A	Total	
N/A		
Νο		
Yes		

### 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	

health and safety activities. Pr	Total	
orward health and safety conc	Total	
orward health and safety conc	Total	
orward health and safety conc	Total	
orward health and safety conc		
orward health and safety conc		
orward health and safety conc		
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orward health and safety conc		
orward health and safety conc		
s. Employees must be able to ex HSC and/or HS representative(		forward health and safet
	Total	
		Iotai

N/A       Total         Total         5.01 How does the company verify that employees have the qualifications required to do the job for wh they are being hired?         Verified by review of documentation and manager/supervisor interviews. A process must exist that require 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			
5.01 How does the company verify that employees have the qualifications required to do the job for wh they are being hired?         Verified by review of documentation and manager/supervisor interviews. A process must exist that require 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	Yes		
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they are being hired?         Verified by review of documentation and manager/supervisor interviews. A process must exist that require 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	
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they are being hired?         Verified by review of documentation and manager/supervisor interviews. A process must exist that require 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			
they are being hired?         Verified by review of documentation and manager/supervisor interviews. A process must exist that require 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			
they are being hired?         Verified by review of documentation and manager/supervisor interviews. A process must exist that require 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			
they are being hired?         Verified by review of documentation and manager/supervisor interviews. A process must exist that require 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			
they are being hired?         Verified by review of documentation and manager/supervisor interviews. A process must exist that require 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			
they are being hired?         Verified by review of documentation and manager/supervisor interviews. A process must exist that require 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			
they are being hired?         Verified by review of documentation and manager/supervisor interviews. A process must exist that require 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			
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			uired to do the job for which
No N/A	check fo	or qualifications required for the job/tasks (e.g., degrees, diplomas, cert	
Yes No N/A			
Yes Control Co	If the or	janization does not have supervisors, this question can be asked to only	r managers.
N/A	Yes		
	No		
Total	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	
<ul> <li>5.04 What type of training have you received to support your role as a manager/supervisor?</li> <li>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.).</li> <li>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.</li> <li>If the organization does not have supervisors, this question can be asked to only managers.</li> </ul>		
Yes		
No		
N/A		
	Total	

	nen an employee is hired or assigned a new job, task, or when an opera	tional change affects their
work, w	hat 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	
	en and how are competency assessments completed?	
	by manager/ supervisor interviews. Managers and supervisors must be the competency assessments are conducted as required by the process	
lf the or	ganization 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.).

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.

	Total	
N/A		
Νο		
Yes		

# 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.

	Total	
N/A		
No		
Yes		

#### 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			
Νο			
N/A			
	Total		

	are the steps you take to ensure deficiencies identified during an inspe diate corrective actions and corrective actions that may take longer?	ection will be corrected –
-	manager/supervisor interviews. Interviewees must be able to describe h s identified through formal inspections will be corrected. Provide examp	-
lf the organ	ization does not have supervisors, this question can be asked to only ma	nagers.
Yes		
No		
N/A		
	Total	
8.03 What t	type of training have you received in emergency response?	
the type of	employee interviews (and councillor interviews if applicable). Interviewe training they received in emergency response. Examples include first aid ecific, 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	
	nployees explain the reporting procedures for incidents (including nea work refusals?	r misses), occupational
	employee interviews (and councillor interviews if applicable). Interviewe	
the process details/exa	s for report incidents, near misses, occupational illness, and work refusa mples.	ls. Provide
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 orgar	nization does not have supervisors, this question can be asked to only ma	nagers.	
Yes			
No			
N/A			
	Total		
9.13 How a	re the results from incident investigations communicated to employee	s?	
	employee interviews. Interviewees must be able to describe how investion ated. Provide examples.	gation results are	
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 plan for the upcoming year, provide resources for health and safety plan for the upcoming year, provide resources for 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	<b>T</b>	
	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**

- 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?

Verified by senior manager, manager, and supervisor interviews. Interviewees must be able to describe how they ensure that the policy is communicated to employees.

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

1.04 What ar	e some of the key points listed in the Health and Safety Policy?	
	mployee interviews (and councillor interviews if applicable). Employees mu ms, the policy's content. Provide examples.	ist be able to explain,
Yes		
No		
N/A		
	Total	
<b>participate, a</b> Verified by er	ou provide some examples of how the three OHS Rights (right to be inform and right to refuse dangerous work) apply to the work you do? mployee interviews (and councillor interviews if applicable). Employees mu S rights (right to know, right to participate, right to refuse dangerous work	ist be able to identify
Provide exam	iples.	
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	
l		
1.08 Can you	explain how you are held accountable for your health and safety roles and	d responsibilities?
evaluate thei appraisals, di	nployee interviews. Employees at all levels must be able to explain the syster accountabilities for their OHS roles and responsibilities. These can include scipline policy/process for non-performance, letters from employer, positiv ob safety observations, management and supervisor reviews, etc. Provide o	e: performance ve reinforcement by
Yes		
No		
N/A		
	Total	
		I

1.09 How do y	you communicate to employees that Health and safety is important? How	often?
	nployee interviews. Notes must include examples of how senior manageme fety commitment. Provide examples.	nt communicates
Yes		
No		
N/A		
	Total	
Verified by em	mpany health and safety activities do you participate in? nployee interviews. Employees must identify how senior management demo by participating in health and safety activities (e.g., site tours, participation using hazard controls, etc.). Provide examples.	
Yes		
No		
N/A		
	Total	

	ealth and safety resources provided. Examples can include paid time, eand budget dedicated to health and safety needs, etc.	quipment, training
No		
N/A	Tatal	
	Total	
	senior manager and councillor (if applicable) interviews. Interviewees must be hazard tasks related to their operations (identified in question 2.04). Provide e	
Yes		
No		
No N/A		

#### 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 haz	ard controls do you use?	
Observe emplo	ployee interviews and observation. Interviewees must confirm their use of yees performing their jobs, and verify they are using the established hazar e interviews. Provide examples.	
Yes		
No		
N/A		
	Total	
4.03 How did y	ou designate your HS representative?	
requirements (, informed if this	bloyee interviews. An employer needs to designate a HS representative as Alberta) or Federal legislation for federally regulated employers. Employee s process has occurred.	es need to be
	is only required to have an HSC, this question may be marked not applicat I	ole.
Yes		
No		
N/A		
	Total	

4.06 HSC and/ responsibilities	or HS representative – What are your HSC and/or HS representative dut s?	ies and
duties and resp	and/or HS representative(s) interviews. Interviewees must be able to des onsibilities. Examples may include: participation in hazard identification evelopment and promotion of hazard controls; handling health and safety	, investigations, and
	rmine if interviewee would be considered a Health and Safety Committee Safety Representative (HS representative). N/A if they are not.	(HSC) member or
Yes		
No		
N/A		
	Total	
		<u> </u>
4.07 HSC and/o	or HS Representative – What is your role in the formal hazard assessmer	nt process?
	and/or HS representative interviews. Interviewees must be able to confi the formal hazard assessment process, and/or in the regular review of for	
Auditor to dete they are not.	ermine if interviewee would be considered a HSC member or HS Represe	entative. N/A if
Yes		
No		
N/A		
	Total	

representa	employee interviews. Interviewees must be able to confirm that committee m tive(s) are involved in health and safety activities. Provide examples.	embers and/or
Yes		
No		
N/A		
	Total	
Verified by	o employees bring forward health and safety concerns and complaints? employee interviews. Employees must be able to explain how they bring forwaterns and complaints to the HSC and/or HS representative(s).	ard health and
No		
N/A		
	Total	

No		
N/A		
	Total	
	<b>ribe how employee observations are incorporated into the inspection proces</b> y senior manager, manager interviews. Senior managers/managers must be abl	
they inclu	de observations of OHS behaviours and conditions during their inspections (for etails/examples.	
Yes		
Yes No		
No	Total	

8.03 What ty	pe of training have you received in emergency response?	
describe the	mployee interviews (and councillor interviews if applicable). Interviewees mu type of training they received in emergency response. Examples can include aid, lock down procedures, shelter in place, etc. Provide examples.	
Yes		
No		
N/A		
	Total	
	re your emergency response responsibilities? mployee interviews. Interviewees must be able to describe how they would r	espond in the event
	ncy. Provide examples.	
Yes		
No		
N/A		
	Total	

	employee interviews (and councillor interviews if applicable). Interviewees muse process for reporting incidents, near misses, occupational illness, and work reamples.	
Yes		
No		
N/A		
	Total	
Verified by	are the results from incident investigations communicated to employees? employee interviews. Interviewees must be able to describe how investigation ated. Provide details/examples.	results are
Verified by communica <b>Yes</b>	employee interviews. Interviewees must be able to describe how investigation	results are
Verified by communica Yes No	employee interviews. Interviewees must be able to describe how investigation	results are
Verified by communica <b>Yes</b>	employee interviews. Interviewees must be able to describe how investigation	results are

10.02 How is	health and safety information made available to you and your employees	?
emergency re	nployee interviews. Health and safety information (e.g., hazard assessment esponse procedures, safe work practices/procedures, investigations, HSC r / available to employees. Provide examples.	
Yes		
No		
N/A		
	Total	
develop a hea initiatives, et Verified by se their involvem upcoming yea	be your involvement in the performance of the health and safety manager alth and safety plan for the upcoming year, provide resources for health a ic.). How are you held accountable for the OHSMS? Inior manager, manager and councillor (if applicable) interviews. Interviewed nent in improving the performance of the OHSMS (e.g., develop a health and ar, provide resources for health and safety initiatives, etc.) and how they are	nd safety es must describe safety plan for the
Provide detail	ls/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 Wha	at are some of the key points listed in the Health and Safety Policy?	
Interviev	vees must be able to explain, in general terms, the policy's content.	
Yes		
No		
N/A		
	Total	
106A Ca	n you provide some examples of how the three OHS Rights (right to be inform	ped right to
	ate, and right to refuse dangerous work) apply to the work you do for this org	
Interviev	vees must be able to identify the three OHS rights.	
Yes		
No		
N/A		
	Total	

	n you provide some examples of legislation that is applicable to you under th nd Safety Act, Regulation and Code?	e Occupational
	wees must be able to provide examples of some of their health and safety respo y and legislated).	onsibilities (both
Yes		
No		
N/A		
	Total	
1.13 Wha	t kinds of resources are provided to implement and improve the health and s	afety system?
Interviev	wees must be able to describe health and safety resources provided (e.g., paid t	ime, equipment,
	materials, and budget dedicated to health and safety needs, etc.)	
Yes		
No		
N/A		
	Total	
1		

2.05 W	hat are some of the highest hazard tasks associated with the organization's o	perations?
Intervie	ewees must be knowledgeable of the highest hazard tasks related to their opera	tions.
Yes		
No		
N/A		
	Total	
	hat type of training have you received in emergency response?	achanca Evamplas
	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	

# 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	

# 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:

Instructi	ions	Audit Infor	mation	Site Sa	ampling	Int. Sam	pling	Int. Scoring	g Int.	Record	Audit To	pol A	udit Repor	t Exe	c. Summar	Ŷ					
Instructi	ons	Тор																			
Intervie	w Scori	ng																			
Data Sour	rce:	Selec	et data so	ource	✓ Error: L	ata source	e must be	selected.													
		Workers	Workers		Supervisor	upenvisors		Managers		Se	nior Manag	ers		Council not i Councillor		iterview San	nple, if this is		just on Int. So erall	impling she	et
Question	+	-	N/A	+	- 1	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%	0
		No	
		No	
	Field Notes: (optional - not included in Report or Summary)		
	Justification Notes:		
	SFI/Strength:		

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.

#### 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.

	Total	
N/A		
No		
Yes		

#### 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		
Νο		
N/A		
	Total	

3.02 Hav	ve the identified engineering controls been implemented?	
Refer to impleme Auditors	by observation. question 3.01 to obtain a sample of engineering controls and verify through observation nted. must include some controls for highest hazard items in the sample to verify they have b details/examples.	
Yes		
No		
N/A		
	Total	
3.04 Ha	ve the identified personal protective equipment (PPE) controls been impleme	ented?
Refer to impleme Auditors	by observation. question 3.01 to obtain a sample of controls, and verify through observation that they han nted. must include some controls for highest hazard items in the sample to verify they have b details/examples.	
Yes		
No		
N/A		
	Total	

3.06 Are employee	s using the established	hazard controls?
-------------------	-------------------------	------------------

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.

N/A	Total	
N/A		
No		
Yes		

4.15 Are the names and contact information of the HSC members and/or the HS Representative readily available?
readily available?

Verified by observation.

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

Provide details/examples.

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         Image: Constraint of the second of the sec		Total	
	N/A		
res	Νο		
	Yes		

#### 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	

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?**

## **AMHSA QUALITY ASSURANCE FORM**

The approved form is used by quality assurance staff to ensure that audits meet all partnerships requirements before being submitted.

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.

Element 1:         Ele           Element 2:         Ele           Element 3:         Ele           Element 3:         Ele           Element 3:         Ele           Element 4:         Ele           Element 5:         Tot           Auditor Type:         Select auditor type           Lead Auditor:         Tot           Team Members:         Auditor type           Audito Start Date:         dd/mm/yyy           Audito Start Date:         dd/mm/yyy           Feedback Date:         dd/mm/yyy           Cor         Feedback Date:           Date Extension:         NA           Date Extension:         NA           Equeted:         No           Quality Issues:         No           Sig:         Sig:	Partnerships Quality Assurance Form (Al	VIHSA)	Required Audit Data		Comments (not req.)	
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Rejected: No App Quality Issues: No Sign Report Duplicated: No Date			Interview sampling is representative of audit scope	Yes		
Quality Issues: No Sign Report Duplicated: No Date	Draft Rejected Fina	Draft Approved	Interview numbers by level, department, etc.	Yes		
Report Duplicated: No Dat		Select one				
	No Signed:	Select reviewer	Total # of worksites by type/location	Yes		
Aller Aller	ed: No Date:	dd/mm/yyyy	Sampled worksites by type/location	Yes		
	No		Worksite sampling minimums met	Yes		
Timelines: No	No		Worksite sampling adequately justified	Yes		
Other:			Worksites representative of audit scope	Yes		
Rev	Review Score:	100%				