

OCCUPATIONAL HEALTH AND SAFETY CERTIFICATE OF RECOGNITION (COR)

LARGE EMPLOYER AUDIT TOOL VERSION 1C

**(20 OR MORE EMPLOYEES)**

**AUDIT YEAR:**

METHODOLOGY OF AUDIT

**Every audit must be based on evidence that is collected using, at a minimum, the following methods:**

* **documentation review to determine extent of the written program development.**
* **interviews or questionnaires to determine** 
  + **if the program has been communicated to employees**
  + **information not learned through document review**
* **workplace observational tour to determine** 
  + **program implementation**
  + **information that cannot be learned through document review and conducting interviews/questionnaires**
* **minimum 10 percent of possible points required of total score for each technique by itself or in required combination (“and” questions).**
* **Maximum 50 percent of possible points of total score for each technique by itself or as an option (“or” questions).**

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| **Document** | **Observation** | **Interview** |
| You will review **documentation** to determine the criteria have been met. Mark corresponding score in this column.  Questions marked (0 , XX) are all or nothing while questions with scoring of (0 – XX) are a range based on positive findings. | You will **observe** all employees carrying out their job functions and make observations of the worksite to ensure criteria have been met. Mark corresponding score in this column.  Questions marked (0 , XX) are all or nothing while questions with scoring of (0 – XX) are a range based on positive findings. | You will **interview** all levels of employees including Workers, Supervisors or Management to ensure criteria has been satisfied. Mark corresponding score in this column.  Award points based on percentage of positive responses; if more than 70%, award full points. |

**If any of the questions do not apply, strike them from the audit and remove the total of that section from the overall score.**

ELEMENT 1: Management and Leadership Commitment

**Score: 15 percent of total audit score**

**170 points available in this element**

**Verification Method: Documentation, Interviews**

An effective occupational health and safety program must demonstrate management leadership and commitment to the program and a willingness to improve the workplace safety culture. The audit will measure the level of leadership and commitment toward health and safety within the organization by assessing the following items:

* a current written health and safety policy that clearly states the employer’s aims, and responsibilities of the employer, managers, supervisors and workers, and awareness of these individual responsibilities at all levels of the organization
* a system for accountability of health and safety roles and responsibilities at all levels of the company
* levels of senior and middle management and worker involvement in the program
* levels of knowledge and awareness of applicable legislation
* allocation of sufficient resources for health and safety
* level of commitment from the senior management (CEO or most senior management in B.C.) toward improving the workplace safety culture

Health and Safety Policy

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| **Question 1.1** | Auditor Guideline | D | O | I | Scoring |
| Does the business have a written health and safety policy? | Review **documentation** to ensure there isa health and safety policy. |  |  |  | 5 points  (0 , 5) |
| **Notes / Findings** | | | | | |
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| **Question 1.2** | Auditor Guideline | D | O | I | Scoring |
| Are the aims of the health and safety policy clearly stated? | Review **documentation** (health and safety policy). It must clearly state the aims of the occupational health and safety program which must be consistent with the objectives of:   * creating a culture of health and safety in the workplace * preventing workplace injury and disease. |  |  |  | 5 points  (0 , 5) |
| **Notes / Findings** | | | | | |
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| **Question 1.3** | Auditor Guideline | D | O | I | Scoring |
| Does the health and safety policy clearly outline the responsibilities of the Employer, Managers, Supervisors, and Workers? | Review **documentation** (the health and safety policy) and ensure it clearly outlines the responsibilities for the Employer, Managers, Supervisors, and Workers. |  |  |  | 5 points  (0 , 5) |
| **Notes / Findings** | | | | | |
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| **Question 1.4** | Auditor Guideline | D | O | I | Scoring |
| Does the Employer inform Employees about the policy? | **Interview** Employees to verify they are aware of the policy. |  |  |  | 5 points  (0 – 5)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 1.5** | Auditor Guideline | D | O | I | Scoring |
| Does senior management ensure that ongoing resources are allocated to implement and maintain the health and safety program? | **Interview** Workers, Supervisors, and Managers. Resources could include health and safety committee, employee training, communications and meetings, hazard controls, budget allocations, or scheduling concessions. |  |  |  | 40 points  (0 – 40)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 1.6** | Auditor Guideline | D | O | I | Scoring |
| Are the following aware of their safety responsibilities:   1. Managers 2. Supervisors 3. Workers | **Interview** Managers, Supervisors and Workers. |  |  |  | 15 points  (0 – 15)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 1.7** | Auditor Guideline | D | O | I | Scoring |
| Are health and safety responsibilities carried out? | **Interview** Managers, Supervisors and Workers to ensure health and safety responsibilities are carried out. Determine if their involvement is appropriate to their level in the organization. |  |  |  | 30 points  (0 – 30)  Award points based on percentage of positive responses; if more than 70%, award full points. |
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| **Question 1.8** | Auditor Guideline | D | O | I | Scoring |
| Is there an effective system to ensure accountability for safety roles and responsibilities? | Review **documentation** to demonstrate that there is an effective system to ensure accountability (e.g. performance evaluations, log books, training records, KPIs, etc.) |  |  |  | 25 points  (0 , 25) |
| **Notes / Findings** | | | | | |
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| **Question 1.9** | Auditor Guideline | D | O | I | Scoring |
| Are Managers and Supervisors aware and knowledgeable of the applicable regulations? | **Interview** Managers and Supervisors to determine their awareness of the regulation that applies to the organization and knowledge of regulation that applies to their area of responsibility (ex. BC OHS Regulations, Workers Compensation Act). |  |  |  | 20 points  (0 - 20)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 1.10** | Auditor Guideline | D | O | I | Scoring |
| Does senior management demonstrate their level of commitment toward improving the workplace safety culture? | **Interview** the senior management (including the CEO or most senior management in B.C.) to gauge the level of commitment toward improving the workplace safety culture. |  |  |  | 20 points  (0 – 20) |
| **Notes / Findings** | | | | | |
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ELEMENT 2: Hazard Identification and Control

**Score: 15 percent of total audit score**

**125 points available in this element**

**Verification Method: Documentation, Observations, Interviews**

A process to identify and control workplace hazards is critical in order to eliminate, minimize or prevent unsafe or harmful conditions and work procedures. All work, equipment, tools, machinery, work practices and conditions need to be included in the hazard recognition process. The audit will measure the following:

* a process to analyze jobs, equipment and conditions for hazards according to risk and to review the hazards when changes are made
* a system to control the workplace hazards by engineering controls (proper use of controls by workers and availability of standardized engineering controls)
* administrative controls (including workers following written safe work procedures, rules and practices for hazardous jobs and management enforcement of the use)
* personal protective equipment controls (including availability, training and maintenance of PPE, worker use of PPE and enforcement of the use of PPE)

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| **Question 2.1** | Auditor Guideline | D | O | I | Scoring |
| Is there a process to analyze jobs, equipment, and conditions for hazards according to risk? | Review **documentation** to ensure there is a process / policy for identifying and assessing hazards in the workplace. |  |  |  | 10 points  (0 , 10) |
| **Notes / Findings** | | | | | |
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| **Question 2.2** | Auditor Guideline | D | O | I | Scoring |
| Is the process to analyze risks outlined in Question 2.1 being followed? | Review **documentation** (hazard / risk assessments) to determine if the process for identifying and assessing hazards in the workplace is being followed. |  |  |  | 10 points  (0 – 10)  Award points based on percentage of positive findings. |
| **Notes / Findings** | | | | | |
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Unsafe Conditions

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| **Question 2.3** | Auditor Guideline | D | O | I | Scoring |
| Is there a process for reporting unsafe conditions? | Review **documentation** for a formal or informal process (e.g. unsafe conditions report form or verbal reporting). |  |  |  | 5 points  (0 , 5) |
| **Notes / Findings** | | | | | |
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| **Question 2.4** | Auditor Guideline | D | O | I | Scoring |
| Do Workers report unsafe conditions? | **Interview** a representative number of Workers to determine their understanding of the process. |  |  |  | 5 points  (0 – 5)    Award points based on the percentage of positive responses; if more than 70% award full points. |
| **Notes / Findings** | | | | | |
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| **Question 2.5** | Auditor Guideline | D | O | I | Scoring |
| Do qualified individuals participate in the hazard identification process? | Review **documentation** to confirm qualified individuals participate in hazard identification process.  **Interview** Supervisors and Workers to verify qualified individuals participate in the hazard identification process. |  |  |  | 5 points for documentation  (0 , 5)  5 points for interviews  (0 - 5)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 2.6** | Auditor Guideline | D | O | I | Scoring |
| Are the hazard identifications, assessments and controls reviewed regularly? | Review **documentation** (hazard identification process / policy) to ensure hazards are reviewed as per the process / policy.  **Interview** a representative number of Supervisors and Managers to determine if the process is reviewed. |  |  |  | 5 points for documentation  (0 , 5)  5 points for interviews  (0 - 5)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 2.7** | Auditor Guideline | D | O | I | Scoring |
| Are engineering controls identified in the hazard identification process available and being used? | **Observe** a representative sample of engineering controls from the hazard identification process and verify they are available and being used or other effective controls are in place. |  |  |  | 25 points  (0 – 25)  Award points based on percentage of positive observations. |
| **Notes / Findings** | | | | | |
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| **Question 2.8** | Auditor Guideline | D | O | I | Scoring |
| Do Workers work according to safe work procedures and job practices? | **Observe** Workers engaged in work activities for which safe work practices and job procedures have been developed. |  |  |  | 10 points  (0 – 10)  Award points based on percentage of positive observations. |
| **Notes / Findings** | | | | | |
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| **Question 2.9** | Auditor Guideline | D | O | I | Scoring |
| Does the employer have a method to ensure compliance with the rules, safe work practices, and job procedures?  Is it being followed? | Review **documentation** for a method to ensure compliance.  **Interview** Managers, Supervisors, and Workers to verify the application of compliance procedures. |  |  |  | 5 points for documentation  (0, 5)  5 points for interviews  (0 – 5)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 2.10** | Auditor Guideline | D | O | I | Scoring |
| Are hazards and controls communicated to Workers? | **Interview** a representative number of Workers to determine if they have been made aware of the hazards associated with their position. |  |  |  | 5 points  (0 – 5)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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Personal Protective Equipment

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| **Question 2.11** | Auditor Guideline | D | O | I | Scoring |
| Are Employees who use PPE trained? | Review **documentation** to verify formal or informal training. |  |  |  | 5 points for documentation  (0 , 5) |
| **Notes / Findings** | | | | | |
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| **Question 2.12** | Auditor Guideline | D | O | I | Scoring |
| Is there a system to ensure Employees wear appropriate PPE?  Is it being followed? | Review **documentation** to determine if there is a system to ensure Employees wear appropriate PPE.  **Observe** use of PPE during site tour. |  |  |  | 5 points for documentation  (0 , 5)  10 points for observation  (0 – 10)  Award points based on percentage of positive observations. |
| **Notes / Findings** | | | | | |
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| **Question 2.13** | Auditor Guideline | D | O | I | Scoring |
| Is PPE identified in the hazard identification process available and being properly maintained? | **Observe** a representative sample of PPE identified in the hazard identification process and verify it is available and being properly maintained. |  |  |  | 5 points  (0 – 5) |
| **Notes / Findings** | | | | | |
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ELEMENT 3: Safe Work Procedures and Written Instruction

**Score: 15 percent of total audit score**

**190 points available in this element**

**Verification Method: Documentation, Observations, Interviews**

An effective health and safety program needs to ensure that systems are in place for the workers’ safe performance of their duties. Safe work procedures and practices must be developed and made available to workers as required by the Occupational Health and Safety Regulation. Appropriate written instructions must also be developed to supplement the Occupational Health and Safety Regulation. Measurement of these items in the audit will include written safe work procedures, practices, and/or instructions to supplement the requirements of the Occupational Health and Safety Regulation including:

* instructions that assign responsibility for a Workplace Hazardous Materials Information System (WHMIS), in accordance with the Occupational Health and Safety Regulation
* instructions that direct the first aid services, supplies and equipment to be provided and that state the procedure for rendering and reporting of first aid services
* procedures addressing possible emergencies, training of workers to the procedures, a means to test the effectiveness of the procedures and evaluating and revising the procedures to correct identified deficiencies

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| **Question 3.1** | Auditor Guideline | D | O | I | Scoring |
| Have safe work practices and job procedures been written for the identified hazards as required? | Review a representative sample of **documentation** (safe work practices / job procedures) and compare to hazard identification and assessment. The percentage cannot exceed the percentage scored in Question 2.2 (i.e. If only 50% of the assessments have been completed in Question 2.2, 50% is the maximum that can be scored) |  |  |  | 40 points  (0 – 40) |
| **Notes / Findings** | | | | | |
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| **Question 3.2** | Auditor Guideline | D | O | I | Scoring |
| Are qualified individuals involved in the development / maintenance of safe work practices and job procedures? | **Interview** Supervisors and Workers identified in the safe work practices and job procedures to verify their involvement. |  |  |  | 20 points  (0 – 20)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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First Aid

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| **Question 3.3** | Auditor Guideline | D | O | I | Scoring |
| Has a first aid assessment been completed for the site and the results implemented into a program? | Review **documentation** to determine if a first aid assessment has been completed and outlines first aid services, supplies, and equipment to be provided. |  |  |  | 20 points  (0 , 20) |
| **Notes / Findings** | | | | | |
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| **Question 3.4** | Auditor Guideline | D | O | I | Scoring |
| Are the first aid equipment and supplies available as required? | **Observe** condition and availability of first aid equipment and supplies. |  |  |  | 10 points  (0 , 10) |
| **Notes / Findings** | | | | | |
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| **Question 3.5** | Auditor Guideline | D | O | I | Scoring |
| Do the Employees know the procedure for obtaining first aid? | **Interview** Employees to verify knowledge of the procedure to obtain first aid services. |  |  |  | 10 points  (0 – 10)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 3.6** | Auditor Guideline | D | O | I | Scoring |
| Is there a procedure for rendering and reporting of first aid services? | Review **documentation** (First Aid Procedures). |  |  |  | 10 points  (0 , 10) |
| **Notes / Findings** | | | | | |
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Emergency Response

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| **Question 3.7** | Auditor Guideline | D | O | I | Scoring |
| Are there written emergency response plans?  Is the emergency response plan readily available to all employees? | Review **documentation** (emergency response plans). Ensure that each plan is appropriate for the worksite(s).  **Observe** the location of the emergency response plan to ensure it is accessible to all staff. |  |  |  | 10 points for documentation  (0 , 10)  10 points for observations  (0 , 10) |
| **Notes / Findings** | | | | | |
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| **Question 3.8** | Auditor Guideline | D | O | I | Scoring |
| Have all Employees been made aware of the emergency response plans? | **Interview** Workers, Supervisors, and Managers to verify training. This training could be during orientation or refresher training, department meetings, job-specific training, or "emergency response" training. |  |  |  | 10 points  (0 – 10)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 3.9** | Auditor Guideline | D | O | I | Scoring |
| Are emergency response plans evaluated to identify deficiencies and revise accordingly? | **Interview** Supervisors and Managers to verify there is a method to evaluate the effectiveness of the plan.  Review **documentation** (JHSC meeting minutes, emergency drill records) to ensure the effectiveness of the emergency response plan was reviewed and deficiencies were corrected. |  |  |  | 10 points for documentation  (0 , 10)  10 points for interviews  (0 – 10)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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Workplace Hazardous Materials Information System (WHMIS)

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| **Question 3.10** | Auditor Guideline | D | O | I | Scoring |
| Does the organization have a workplace hazardous materials information system (WHMIS) program? | Review **documentation** to ensure there is a WHMIS program and that responsibility for the program been assigned.  **Observe** that the program is being followed. Ensure all elements have been successfully implemented including labeling and signage.  **Interview** a representative number of Employees to determine if they are familiar with their responsibilities in the WHMIS program. |  |  |  | 10 points for documentation  (0 , 10)  10 points for observations  (0 – 10)  Award points based on percentage of positive observations.  10 points for interviews  (0 – 10)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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ELEMENT 4: Inspection of Premises, Equipment, Workplaces and Work Practices

**Score: 15 percent of total audit score**

**105 points available in this element**

**Verification Method: Documentation, Observations, Interviews**

Regular inspection of the premises, equipment, work methods and work practices must be included in an effective health and safety program. The audit must allow for the provision of formal inspection activities by measuring the following:

* specific written instructions that state the intent of inspections, who is to inspect (including worker representative(s) from the health and safety committee), what is to be inspected, and inspection frequency
* regular inspections are carried out as outlined in the written instructions by designated personnel
* a system to ensure that unsafe or harmful conditions and work procedures are identified, reported, corrected, and followed up without delay
* adequate training is provided for personnel responsible for inspection

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| **Question 4.1** | Auditor Guideline | D | O | I | Scoring |
| Is there a written policy/procedure for inspections? | Review **documentation** (inspection policy/procedure) to ensure it identifies who, what, and when inspections of premises, equipment, workplaces, and work practices are to be performed. |  |  |  | 20 points  (0 , 20) |
| **Notes / Findings** | | | | | |
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| **Question 4.2** | Auditor Guideline | D | O | I | Scoring |
| Are inspections being performed as per the inspection policy / procedure? | Review **documentation** (inspection records). Inspections may be done according to a formal or informal schedule.  **Interview** Employees to ensure inspections are occurring as per the policy / procedure. |  |  |  | 10 points for documentation  (0 – 10)  5 points for interviews  (0 – 5)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 4.3** | Auditor Guideline | D | O | I | Scoring |
| Do the individuals identified in the policy participate in the inspection process? | Review **documentation** to verify involvement in the inspection process. |  |  |  | 10 points  (0 - 10) |
| **Notes / Findings** | | | | | |
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| **Question 4.4** | Auditor Guideline | D | O | I | Scoring |
| Is there a system to ensure that unsafe or harmful conditions and work procedures are corrected, and followed up without delay?  Is the system being followed? | Review **documentation** (JOHSC meeting minutes, maintenance records, etc.) to ensure there is a system.  **Observe** corrective action from a sample of completed current inspection records during the site tour. |  |  |  | 10 points for documentation  (0 , 10)  15 points for observations  (0 – 15) |
| **Notes / Findings** | | | | | |
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| **Question 4.5** | Auditor Guideline | D | O | I | Scoring |
| Are the individuals performing inspections trained to do them? | Review **documentation** (training records) and verify if formal or informal inspection training has occurred. |  |  |  | 20 points  (0 - 20)  Award points based on percentage of positive findings. |
| **Notes / Findings** | | | | | |
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| **Question 4.6** | Auditor Guideline | D | O | I | Scoring |
| Is there a system for preventing the use of defective/broken tools and equipment until it is repaired or replaced?  Is it being followed? | **Interview** Supervisors and Workers to ensure a system is in place.  **Observe** and verify during site tour by looking at condition/ repair of a sample of items.  Review **documentation** (JOHSC minutes, maintenance records, etc.) to verify the system is in place and being followed. |  |  |  | 5 points for documentation  (0 , 5)  5 points for observations  (0 – 5)  5 points for interviews  (0 – 5)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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ELEMENT 5: Investigation of Incidents/Accidents

**Score: 10 percent of total audit score**

**100 points available in this element**

**Verification Method: Documentation, Interviews**

The need for prompt investigation of accidents, including instructions on what to report to WorkSafeBC, is required in accordance with the Occupational Health and Safety Regulation. The investigation process reveals information necessary to prevent recurrence. The audit will measure the following:

* a procedure for the immediate investigating and reporting of incidents that identifies what to report to WorkSafeBC, which incidents to investigate, the intent of the investigation and the content, distribution and follow-up of reports
* a process to identify and record the action(s) necessary to prevent recurrence and to implement and follow-up on those actions
* designated investigating personnel are adequately trained and knowledgeable of the type of work involved

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| **Question 5.1** | Auditor Guideline | D | O | I | Scoring |
| Does the employer have an accident / incident investigation procedure? | Review **documentation** (the accident / incident investigation procedure) to determine if it identifies what to report to WorkSafeBC, which incidents to investigate, the intent of the investigation and the content, distribution and follow-up of reports. |  |  |  | 20 points  (0 , 20) |
| **Notes / Findings** | | | | | |
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| **Question 5.2** | Auditor Guideline | D | O | I | Scoring |
| Have Employees been made aware of the accident / incident investigation procedure? | **Interview** Employees to determine if they have been made aware of the accident / incident investigation procedure. |  |  |  | 10 points  (0 – 10)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 5.3** | Auditor Guideline | D | O | I | Scoring |
| Are incidents/ accidents investigated as per the company’s procedures? | Review **documentation** (incident/accident investigation procedures and reports).  **Interview** Managers, Supervisors and Workers. |  |  |  | 10 points for documentation  (0 – 10)  10 points for interviews  (0 – 10)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 5.4** | Auditor Guideline | D | O | I | Scoring |
| Are the persons investigating incidents trained in investigation techniques? | Review **documentation** (training records).  **Interview** investigator(s). Formal incident investigation training is required to achieve points. |  |  |  | 10 points for documentation  (0 – 10)  Award points based on percentage of positive findings.  10 points for interviews  (0 – 10)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 5.5** | Auditor Guideline | D | O | I | Scoring |
| Are investigation findings and recommendations discussed with the joint occupational health and safety committee? | Review **documentation** (JOHSC meeting minutes) to ensure findings and recommendations are reviewed with the committee. |  |  |  | 20 points for  Documentation  (0 – 20) |
| **Notes / Findings** | | | | | |
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| **Question 5.6** | Auditor Guideline | D | O | I | Scoring |
| Are employees aware of their responsibility to report all incidents? | **Interview** Employees to ensure they are aware of their responsibility to report all incidents and the procedures to do so. |  |  |  | 10 points for interviews  (0 – 10)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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ELEMENT 6: Training and Instruction of Employees

**Score: 15 percent of total audit score**

**140 points available in this element**

**Verification Method: Documentation, Observations, Interviews**

All workers need to know how to perform their jobs safely and to understand their role in maintaining a healthy and safe workplace. Employers must ensure that workers are trained, qualified and competent to perform their tasks. Adequate instruction and supervision must also be provided to workers in the safe performance of their work. The audit will measure the following:

* a system to ensure job specific instructions and training (including job specific hazards and work procedures and practices) have been given to workers, training and instruction is current, enforced, and followed
* a system to assess and ensure that all employees are qualified and are competently performing their duties in a safe manner
* new employee, visitor, and contractor orientation covering critical issues (emergency procedures, hazard reporting) and health and safety policies and procedures delivered in a timely manner

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| **Question 6.1** | Auditor Guideline | D | O | I | Scoring |
| Does the company have a program to ensure employees are trained, qualified, and competent to perform their tasks safely? | Review **documentation** to verify there is a system to ensure job-specific instructions and training have been given to workers, training and instruction is current and followed. |  |  |  | 20 points  (0 , 20) |
| **Notes / Findings** | | | | | |
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| **Question 6.2** | Auditor Guideline | D | O | I | Scoring |
| Are Workers trained on safe work practices and job procedures? | Review **documentation** (training records). Ensure Employees receive job-specific training including when they are transferred to a new job or perform new tasks.  **Interview** Workers to verify training is occurring. |  |  |  | 20 points for documentation  (0 – 20)  20 points for interviews  (0 – 20)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 6.3** | Auditor Guideline | D | O | I | Scoring |
| Is there a system to assess and ensure that all Employees are qualified and are competently performing their duties in a safe manner? | **Interview** Supervisors to verify that worker skills are checked to ensure competency. |  |  |  | 40 points  (0 – 40)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 6.4** | Auditor Guideline | D | O | I | Scoring |
| Does the organization have a health and safety orientation for all new Employees? | Review **documentation** to ensure all new Employees receive an orientation that covers critical issues (ERP, hazard reporting, etc.) and health and safety procedures in a timely manner  **Interview** Supervisors to determine their knowledge of the procedures for orienting new Employees. |  |  |  | 10 points for documentation  (0 – 10)  10 points for interviews  (0 – 10)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 6.5** | Auditor Guideline | D | O | I | Scoring |
| Does the organization have a health and safety orientation for all contractors? | Review **documentation** to ensure all contractors receive an orientation that covers critical issues (ERP, hazard reporting, etc.) and health and safety procedures in a timely manner.  **Interview** Contractors (if possible) to verify that they received an orientation.  **Interview** Supervisors to determine their knowledge of the procedures for contractors that come to the site. |  |  |  | 5 points for documentation  (0 , 5)  5 points for interviews  (0 – 5)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 6.6** | Auditor Guideline | D | O | I | Scoring |
| Does the organization have a health and safety orientation for all visitors? | **Observe** during site tour. Look for examples of signage in all areas such as emergency evacuation plans, wet floor signs, or employee only signs.  **Interview** Supervisors to determine their knowledge of the procedures for visitors that come to the site. |  |  |  | 5 points for observations  (0 – 5)  5 points for interviews  (0 – 5)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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ELEMENT 7: Program Administration

**Score: 10 percent of total audit score**

**140 points available in this element**

**Verification Method: Documentation, Interviews**

The maintenance of health and safety records is necessary in order to determine the effectiveness of a health and safety program. Reports of inspections and incident investigations are required in order to determine frequency, severity, and incident trends. Effective communication of the program is necessary in order to promote a good safety culture. The audit will measure the following:

* a health and safety records management system
* the analysis of records and statistics that determine incident trends (frequency, severity, type and nature of worker injury)
* effective communication of the program at all levels
* a system for program evaluation and a plan to correct deficiencies

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| **Question 7.1** | Auditor Guideline | D | O | I | Scoring |
| Is there a health and safety records management system?  Are records being maintained as per the policy? | Reviewa representative sample of **documentation** from the program to ensure there is a system to manage health and safety records. For example, which documents are collected and how documents are collected, retained, stored, and protected. |  |  |  | 10 points  (0 , 10) for the system.  20 points  (0 – 20) for records maintenance. |
| **Notes / Findings** | | | | | |
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| **Question 7.2** | Auditor Guideline | D | O | I | Scoring |
| Are records and statistics collected and analyzed to determine incident trends (frequency, severity, type and nature of worker injury)? | Review **documentation** to ensure records and statistics are being collected and analyzed to determine incident trends (including frequency, severity, type, and nature of worker injury). |  |  |  | 20 points  (0 , 20) |
| **Notes / Findings** | | | | | |
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| **Question 7.3** | Auditor Guideline | D | O | I | Scoring |
| Are the outcomes of the analysis of incident trends communicated to all Employees? | **Interview** Employees to determine their level of awareness of incident trends and plans to correct deficiencies. |  |  |  | 30 points  (0 – 30)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 7.4** | Auditor Guideline | D | O | I | Scoring |
| Is there a safety improvement plan based on the analysis of incident trends referred to in Question 7.2? | Review **documentation** (for examplemanagement meeting minutes, JOHSC meeting minutes) to determine if incident trends are being used to evaluate and correct deficiencies in the health and safety program. |  |  |  | 20 points  (0 , 20) |
| **Notes / Findings** | | | | | |
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| **Question 7.5** | Auditor Guideline | D | O | I | Scoring |
| Does senior management make sure that previous safety audit recommendations are implemented and deficiencies corrected? | **Interview** a representative number of Managers to determine if recommendations and deficiencies are dealt with.  Review **documentation** to confirm previous safety audit recommendations and action plan items are implemented and deficiencies corrected. |  |  |  | 20 points for documentation  (0 – 20)  20 points for interviews  (0 – 20)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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ELEMENT 8: Joint Occupational Health and Safety Committee

**Score: 5 percent of total audit score**

**110 points available in this element**

**Verification Method: Documentation, Interviews**

A joint occupational health and safety committee (JOHSC) is required at every workplace and is an integral part of an effective occupational health and safety program. The audit will measure the following:

* a functioning JOHSC that includes instruction that sets out the committee involvement, membership, function, and duties
* committee members’ active involvement in health and safety activities
* a process that ensures committee minutes are maintained and communicated and recommended actions to the employer are followed up

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| **Question 8.1** | Auditor Guideline | D | O | I | Scoring |
| Is there a joint occupational health and safety committee (JOHSC)? | Review **documentation** (JOHSC meeting minutes) to confirm there is a joint health and safety committee. |  |  |  | 10 points  (0 , 10) |
| **Notes / Findings** | | | | | |
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| **Question 8.2** | Auditor Guideline | D | O | I | Scoring |
| Does the joint occupational health and safety committee have written terms of reference? | Review **documentation** (Terms of Reference) to verify that it sets out the committee involvement, membership, function, and duties. |  |  |  | 10 points  (0 , 10) |
| **Notes / Findings** | | | | | |
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| **Question 8.3** | Auditor Guideline | D | O | I | Scoring |
| Are committee members aware of the terms of reference and carrying out their roles and responsibilities as identified? | **Interview** JOHSC members to determine their level of knowledge and understanding of their roles and responsibilities on the committee and the terms of reference. |  |  |  | 30 points  (0 – 30)  Award points based on percentage of positive responses; if more than 70%, award full points. |
| **Notes / Findings** | | | | | |
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| **Question 8.4** | Auditor Guideline | D | O | I | Scoring |
| Are joint occupational health and safety committee meetings held regularly? | Review **documentation** (meeting schedules and minutes) to ensure meetings are held as outlined in the Terms of Reference. |  |  |  | 20 points  (0 , 20) |
| **Notes / Findings** | | | | | |
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| **Question 8.5** | Auditor Guideline | D | O | I | Scoring |
| Are minutes kept for the meetings and made accessible to all employees? | Review **documentation** (copies of minutes) from the meetings.  **Observe** the minutes are made accessible to all employees. |  |  |  | 5 points for documentation  (0 , 5)  5 points for observation  (0 , 5) |
| **Notes / Findings** | | | | | |
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| **Question 8.6** | Auditor Guideline | D | O | I | Scoring |
| Does the JOHSC have a process for ensuring recommendations are presented to and followed up with management? | Review **documentation** (Terms of Reference or meeting minutes) to determine if a process for the committee to submit and follow up on recommendations made to management. |  |  |  | 20 points  (0 , 20) |
| **Notes / Findings** | | | | | |
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| **Question 8.7** | Auditor Guideline | D | O | I | Scoring |
| Do Workers know how to find out who their representative on the JOHSC is? | **Interview** Workers to determine if they are aware of how to find out who their safety representative on the JOHSC is. |  |  |  | 10 points  (0 - 10) |
| **Notes / Findings** | | | | | |
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Glossary

**Administrative Controls**

The provision, use, and scheduling of work activities / resources for the purpose of controlling risk. This includes planning, organizing, staffing and coordinating.

**Alternate Duties**

Alternate work that a worker can do while recovering from an injury of illness. The worker may act as a helper for another job, or may perform work that is specifically reserved for injured workers. The objective is to keep the worker at the worksite, possibly while receiving treatment at the same time. Alternate duties should be meaningful and productive.

**Base Rate**

The rate assigned to all the employers in your classification (prior to experience rating discounts or surcharges if applicable). The base rate is the rate each industry is charged per $100 of assessable earnings based on the historic cost of claims in their industry.

**Clearance Letter**

A clearance letter is obtained from WorkSafeBC and tells you whether a contractor is registered with the WCB and making its payments on time.

**Competent**

Properly qualified, suitably trained, and with sufficient experience to perform the task with limited supervision.

**Confined Space**

Spaces in the workplace with configurations that hinder the activities of employees who must enter, work in, and exit them. A confined space has limited or restricted means for entry or exit, and it is not designed for continuous employee occupancy. Confined spaces include, but are not limited to underground vaults, tanks, storage bins, manholes, pits, silos, process vessels, and pipelines.

**Contact Personnel**

Individuals who are designated by the employer to be responsible for establishing and maintaining contact with an injured worker. Examples include the first aid attendant and supervisors.

**Contractor**

A company or person engaged in providing work with or on behalf of another company for the purpose of compensation under terms specified in an agreement.

**Control Measures**

Methods that are used to eliminate the risk to workers or, if elimination is not possible, minimize the risk.

**Due Diligence**

The level of judgment, care, prudence, determination, and activity that a person would reasonably be expected to do under particular circumstances. Applied to occupational health and safety, due diligence means that employers shall take all reasonable precautions under the particular circumstances to prevent injuries or incidents in the workplace.

**Early Intervention**

A process in which modified or alternate duties are provided to an injured worker before any time away from work occurs.

**Effective**

Producing or capable of producing an intended result or having the intended effect.

**Employee**

An individual directly employed by the company. This includes Managers, Supervisors, and Workers as defined in this glossary.

**Employer**

All aspects of an organization, business, firm, or entity that are registered under on Worksafe account number.

**Engineering Controls**

The physical arrangement, design or alteration of workstations, equipment, materials, production facilities or other aspects of the physical work environment, for the purpose of controlling risk.

**Experience rating**

The WorkSafeBC’s experience rating plan is designed to reward workplace safety. It provides discounts of up to 50 percent and surcharges of up to 100 percent on your base rate, based on the cost of your claims relative to your payroll - over a period of time.

**Graduated Return to Work**

A return to work plan in which the worker gradually progresses to the full, regular, pre-injury work over a specified period of time. This may include modified working hours or alternate duties. Work included in the plan should be meaningful and productive.

**Hazard**

A thing or condition that may expose a person to a risk of injury or occupational disease.

**Hazard Identification**

An inspection process used to find conditions in the workplace that could endanger the health and safety of workers. Once hazards have been identified, the next step is to assess the risks associated with them.

**Incident**

Includes an accident or other occurrence which resulted in or had the potential for causing a death, injury, occupational disease, or damage to equipment or property. Incidents include accidents in which a worker is injured or killed, accidents in which no one is hurt but equipment or property is damaged, or a near miss.

**Injury Management / RTW Coordinator**

An employee or third-party provider who is assigned the responsibility of overseeing the injury management / RTW program. Actual job titles will vary depending on the company.

**Inspection**

The careful examination of workers, equipment, property, materials, or the environment, which is conducted to compare the findings against stated program requirements.

**Lock-out/De-energization**

Lock-out/De-energization refers to specific practices and procedures to safeguard employees from the unexpected energization or startup of machinery and equipment, or the release of hazardous energy during service or maintenance activities.

**Manager**

The person responsible for planning and directing the work of a group of individuals, monitoring their work, and taking corrective action when necessary.

**Modified Duties**

Changes to a worker’s regular job that allows the worker to return to work. Modified duties may include changes to specific duties or methods for how those duties are to be performed. Modified duties should be meaningful and productive.

**Musculoskeletal Injuries**

Injuries to muscles, tendons, ligaments, joints, nerves, blood vessels, or related soft tissue, including sprains, strains, and inflammation that may be caused or aggravated by work.

**Near Miss**

An incident in which there is no injury or damage but that could have resulted in an injury or death, or damage to equipment or property. Near misses may indicate hazardous conditions or acts that must be corrected.

**Occupational Exposure**

Reasonably anticipated, harmful contact with blood or other potentially bio-hazardous material that may result from the performance of a worker's duties.

**Orientation**

An overview of the company, policies, procedures, and safe work practices that may affect the employee in the course of work. It is to be performed by a qualified individual prior to the commencement of work and should contain material specific to the tasks being performed.

**Personal Protective Equipment (PPE)**

Equipment worn by workers to minimize exposure to specific occupational hazards. Examples include respirators, gloves, fall protection, hard hats, safety glasses, earplugs, and foot protection.

**Policy**

A senior management statement which guides the program administration processes, reflects management’s attitudes and commitment, and defines the authority and respective relationships required to accomplish the company’s goals and objectives.

**Preventative Maintenance Process**

An established schedule for the regular inspection and maintenance of equipment and property to prevent potential unsafe conditions to occur.

**Procedure**

An established and defined method of performing a work task typically described as a series of steps.

**Qualified Individual**

A person who is knowledgeable of the work, the hazards involved, and the means to control the hazards, by reason of education, training, experience, or a combination of those three items.

**Risk**

A chance of injury or occupational disease. Also, the weighting of the possibility of an incident occurring.

**Return to Work (RTW) Plan**

An individualized, planned process to manage the impact of a worker’s injury or illness. An RTW plan specifies when an Employee can safety return to alternate or modified duties, and when the Employee can safely resume full duties. Alternate or modified work included in the plan should be meaningful and productive. All RTW plans should have specified end dates.

**Risk Assessment**

A process in which the risks associated with a particular workplace hazard are analyzed or evaluated. A risk assessment helps determine what actions are necessary to control (eliminate or minimize) the hazard.

**Root Cause**

The underlying reason an incident occurred. Root causes are useful because they point toward deficiencies in the safety management system. When corrected effectively, this will prevent (or significantly reduce the likelihood of) the problem’s reoccurrence.

**Safe Job Procedures**

Safe job procedures are a series of specific steps that guide a worker through a task from start to finish in a chronological order. Safe job procedures are designed to reduce the risk by minimizing potential exposure.

**Safe Work Practices**

Safe work practices are generally written methods outlining how to perform a task with minimum risk to people, equipment, materials, environment, and processes. Safe work practices should be developed as a result of completing a Hazard Assessment and should closely reflect the activities most common in the company's type or sector.

**Supervisor**

A person who instructs, directs, and controls Workers in the performance of their duties.

**Training**

A process by which a skill is developed. For the purposes of this audit, training may be provided by an external consultant or developed and delivered ‘in house’ by a qualified individual.

**Unsafe Act**

An unsatisfactory behaviour that is not in compliance with a required standard or legislation, and which increases the risk of injury or occupational disease.

**Unsafe Condition**

A physical condition that is not in compliance with a required standard, and which increases the risk of injury or occupational disease. Examples include poor housekeeping, inadequate ventilation, and defective tools or equipment.

**Violence**

The attempted or actual exercise by a person, other than a worker, of any physical force so as to cause injury to a worker, and includes any threatening statement or behaviour which gives a worker reasonable cause to believe that he or she is at risk of injury.

**Visitor**

Any individual that visits the workplace in a professional capacity but is not being paid by the Employer (not to be confused with Contractors whose services are being paid for by the Employer). Examples of visitors on site include vendors or delivery personnel.

**WHMIS**

Acronym for Workplace Hazardous Material Information System. If controlled products are used in the workplace the employer must establish and maintain an effective WHMIS program, as part of the overall workplace health and safety program, which addresses applicable WHMIS Requirements including education and training, and is reviewed at least annually, or more frequently if required by a change in work conditions or available hazard information.

**Workers**

An employee that performs work ‘on the front line’ and reports directly to a Supervisor. Worker roles typically involve manual or industrial labour.