

Completing the Audit Tool – Safety Management System Audit

These instructions provide information on how to use the Audit tool. The organization’s audit is intended to give an evaluation of a company’s current health and safety program.

The Audit has eight elements that provide a basic measurement of an effective health and safety program. Each element will have several questions designed to analyze important aspects of each audit element. Each question has several parts including:

- Audit Questions
- Auditor Guidelines
- Scoring
- Notes/Recommendations

In the following section, each of the question components will be explained.

A. Audit Questions

The first column in the audit tool is the question that is being asked. The auditor must answer the questions definitively based on evidence given.

Example – Question

Question 6.1	Auditor Guideline	D	O	I	Scoring	Notes
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)	

B. Audit Guidelines/DOI

These are written instructions to the person using the audit instrument to identify two things:

1. How to verify the information (Observation, Documentation, And Interview)

2. What to look for when determining whether the company has met the intent of the question.

These guidelines are found in the text portion of the question, as in the following example:

Example – Auditor Guideline

Question 6.1	Auditor Guideline	D	O	I	Scoring	Notes
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)	

C. Audit Scoring

Every company that undertakes an audit has to meet a minimum standard. In order to successfully achieve the Certificate of Recognition during a qualifying or re-qualifying year, an employer must obtain at least 50% in every element, with an overall score at least 80% to meet the standard. These scores are required for the Injury Management/Return to Work component as well.

There are two different types of scoring that can occur in the audit. The first is “all or nothing”, which is used to determine if the required standard has been met or not.

Example – Scoring (All or none scoring)

Question 8.1	Auditor Guideline	D	O	I	Scoring	Notes
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.	0			10 points (0 , 10)	There is no evidence of a JOHS due to lack of meeting minutes or terms of reference

In the above example, either there is a joint occupational health and safety committee, or there is not. If there is, the employer receives 10 points. If there is not, the score is zero. There is no room for a partial score in this question.

The second type of scoring is called "range scoring". Points are awarded based on the percentage of correct findings or responses. For example, if four out of five investigation findings and recommendations are discussed with the JOHS committee (below) for 80%, then 80% of the total points will be awarded. If all five answered positively, the award would be 100% of the available score.

Example – Scoring (Range Points)

Question 5.5	Auditor Guideline	D	O	I	Scoring	Notes
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.	4/5 =80%			20 points for Documentation (0 – 20)	JOHS meeting minutes from previous three months show 4/5 investigations were discussed.

Once scores for all questions in the audit tool have been compiled the marks must be entered into the scoring summary document. See Appendix C. The scoring summary is a fillable document that will calculate the scores and percentage score for each element when answers for each question are entered.

D. Auditor Notes

Auditors must be certain that their findings are valid in all cases.

If a question is not applicable, the reason must be included in the notes section, and it must be clear why it does not apply to this particular organization. Auditor comments must support how the Auditor arrived at a result, by noting where documentation was located (i.e., office file, supervisor’s truck), what was observed (i.e., observed policy on bulletin boards, observed worker not wearing a hard hat), or by summarizing documentation or interview comments (i.e., “policy statement is signed by (name) who is the current senior manager).

When recording findings, use the following framework:

- Affirm the question;
- Provide background information about the reason for the finding;
- Confirm score.

Developing Recommendations

After a question has been answered and commented on, a recommendation may be made. In every instance where full points are not achieved, there must be a recommendation made regarding how the organization can improve their program. This recommendation will be made in the notes section and then added into the corresponding corrective action plans (explained in below section).

	Auditor Guideline	D	O	I	Scoring	Notes
Question 2.5						
Are the hazard identifications, assessments and controls reviewed regularly?	<p>Review documentation (hazard identification process / policy) to ensure hazards are reviewed as per the process / policy.</p> <p>Interview a representative number of Supervisors and Managers to determine if the process is reviewed.</p>	0		5	<p>5 points for documentation (0,5)</p> <p>5 points for interviews</p> <p>Award points based on percentage of positive responses; if more than 70%, award full points.</p>	<p>Findings:</p> <p>A total of 34 JSAs were reviewed to confirm qualified individuals participate in the hazard identification process. 0 out of 34, 0% of the JSAs do not include the name(s) of the individual(s) that developed or reviewed the relevant JSA. 0/5 documentation points awarded.</p> <p>24 out of 30, 80% of the workers and 5 out of 5, 100% of the supervisors were able to discuss the hazard identification assessment process, who performed the analysis (department heads and/or supervisors with worker input) and believed they were qualified to perform the analysis. The combined total of 29 out of 35, 83% exceeds the 70% threshold so 5/5 interview points awarded.</p> <p>Recommendations:</p> <p>In order to adequately confirm participation in the hazard identification assessment process and to meet the requirements of this question the documentation needs to confirm participation in the assessment process. Develop a system that includes the names or positions of those performing the assessment on the JSA documentation.</p>

Question 2.8	Auditor Guideline	D	O	I	Scoring	Notes
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.		9		10 points (0-10) Award points based on positive observations	<p>Findings:</p> <p>22 out of 25, 89% of the worker observations regarding safe work practices were positive. Observations include: PPE usage, lifting heavy objects, using a buggy to move heavy objects, housekeeping, using 'behind you' in crowded hazardous areas (kitchen) and closing doors to restricted areas. The doors in the receiving area on 3 occasions were left open thus allowing unrestricted access to the hotel. 9/10 observation points awarded.</p> <p>Recommendations:</p> <p>Review the training summaries of all employees to ensure that each employee has had adequate training in security and related topics. When non-compliance items are found and there is no way to identify the person(s) creating the non-compliance the company should consider re-educating all employees. The security of the back of the house areas is an important issue for both employees and guest. This topic should be a recurring topic in the pre-shift meetings.</p>

3.3 Audit Information Gathering Techniques

There are three verification techniques used in the audit.

Documentation: Paperwork is reviewed by the Auditor during the audit.

Interview: Interviews will be held with managers, supervisors, workers, safety committee members and others, on a formal or informal basis.

Observation: The Auditor will observe to see the actual activity being performed during the audit.