

COR™ Audit Tool



SAMPLE
Version 2015

Company Name: _____	Date: _____
Contact Person: _____	Phone #: _____
Company Address: _____	

Auditor's Name: _____	Phone #: _____
Total number of workplaces/sites audited: _____	
Total number of employees interviewed:	Management _____ Worker _____
Start Date: _____	Completion Date: _____

SAMPLE
Version 2015

Element 1
Health and Safety Policy
Statement

SAMPLE
Version 2014

Interview Questions

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Version 2015

Health and Safety Policy

Score Possible

Score Achieved

Legislated

Verification Technique

Does the organization have a Health and Safety Policy Statement that:

1.1	Is signed by the president, CEO or local senior management?	3			Documentation
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Guideline

The Policy Statement should be signed by the president or CEO of the organization, or the senior most leader of the local operation.

Auditor's Notes

1.2	Includes managements commitment to provide a safe and healthy work environment?	3			Documentation
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Guideline

The Policy Statement must include senior management's commitment to provide a safe work environment, and a work environment that promotes occupational health.

Auditor's Notes

1.3	Recognizes the right of workers to work in a safe and healthy work environment?	2			Documentation
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Guideline

The Policy Statement must clearly state that management (CEO, president, etc.) recognizes that all workers have the right to work in a safe and healthy workplace.

Auditor's Notes

1.4	Is current?	2		*	Documentation
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Guideline

The Policy Statement shall indicate its date of issuance.

Auditor's Notes

1.5	Is reviewed annually?	2		*	Documentation
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Guideline

The review shall be conducted by senior management at least annually and records of the review shall be retained.

Auditor's Notes

Subtotal

12

0

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 1.7 How does the health and safety Policy Statement address your responsibilities with regards to your personal safety and the safety of others?

Positive		#DIV/0!
Negative		

- 1.9 How do you ensure that personnel understand the Policy Statement?

Positive		#DIV/0!
Negative		

Workers

- 1.6 Where would you find a copy of the health and safety Policy Statement?

Positive		#DIV/0!
Negative		

- 1.7 What are your responsibilities under the Policy Statement?

Positive		#DIV/0!
Negative		

- 1.9 Explain what the Policy Statement means to you?

Positive		#DIV/0!
Negative		

Health and Safety Policy

Score
PossibleScore
Achieved

Legislated

Verification
Technique

Does the organization have a Health and Safety Policy Statement that:

1.6	Is visibly posted in the workplace or made available to workers?	3		*	Observation or Interview
Guideline Policy Statement to be posted in the workplace. It may be provided to workers in the form of a handbook, safety manual, as part of procedures manual, or in electronic form. A workplace can also include traveling, working at client premises or working at home.		Auditor's Notes			#DIV/0!
1.7	Addresses health and safety and responsibilities for all workplace parties?	2			Documentation and Interview
Guideline Policy Statement must make all workplace parties aware of their individual OH&S obligations, and make reference to documented OH&S responsibilities of workplace parties that are consistent with legislated requirements.		Auditor's Notes			#DIV/0!
1.8	Expresses a commitment to work in a spirit of consultation and co-operation with workers?	3			Documentation
Guideline The Policy Statement should outline the commitment of the company to work jointly with relevant personnel in the development and implementation of their H & S program.		Auditor's Notes			
1.9	Is understood by personnel?	3			Interview
Guideline Verify that all personnel understand what the Policy Statement says and can describe its meaning in their own word.		Auditor's Notes			#DIV/0!
Net Total		25	0		

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Element 2
Hazard Assessment,
Analysis and Control

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Interview Questions

A score of 51% must be achieved to pass the interview questions

Management and Supervision

- 2.3 Are you involved in the hazard assessment process? If not who is?

Positive		#DIV/0!
Negative		

Workers

- 2.3 Are you involved in the hazard assessment process? If not who is?

Positive		#DIV/0!
Negative		

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Hazard Assessment, Analysis and Control

		Score Possible	Score Achieved	Legislated	Verification Technique
2.1	Are hazard assessments conducted, documented and approved for all operations?	5			Documentation
Guideline <i>A documented procedure must be in place to ensure hazard assessments are conducted for all operations and activities. Verify that hazard assessments are being performed according to the procedure.</i>		Auditor's Notes			
2.2	Are hazard assessments maintained?	4			Documentation
Guideline <i>Documented hazard assessments must be updated to reflect process changes, and re-approved as appropriate. Ongoing hazard assessments could include introduction of new activities, materials, equipment, emergency operations, etc.</i>		Auditor's Notes			
2.3	Are appropriate personnel involved in the hazard assessment process?	2			Documentation and Interview
		2			
Guideline <i>Hazard assessments must be conducted using a team-based approach. Relevant participants can include workers, supervisors, technical, engineering, maintenance, management, suppliers, etc.</i>		Auditor's Notes #DIV/0!			
2.4	Are workplace and job specific hazards clearly identified in the job hazard assessment documents?	3			Documentation
Guideline <i>The assessment shall identify the hazards in the workplace and include physical and other agents such as temperature, vibration, noise, UV, radiation, dust, chemical, ergonomic, biological and other health and safety hazards.</i>		Auditor's Notes			
2.5	Are risks prioritized?	2			Documentation
Guideline <i>The hazard assessment document must use a standardized methodology for prioritizing the risks associated with the identified hazards. A risk threshold level shall be established and documented.</i>		Auditor's Notes			
Subtotal		18	0		

Interview Questions

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Hazard Assessment, Analysis and Control

Hazard Assessment, Analysis and Control		Score Possible	Score Achieved	Legislated	Verification Technique
2.6	Is there a list of identified critical tasks?	3			Documentation
Guideline <i>The organization shall document and communicate the activities that are associated with risks above the threshold value.</i>		Auditor's Notes			
2.7	Are controls developed for all identified hazards?	3			Documentation
Guideline <i>Documented control strategies (procedures, standards, checklists, supervision, monitoring, JHA, JSA etc.) shall exist for all hazards.</i>		Auditor's Notes			
2.8	Are controls implemented in a timely manner?	3			Documentation and Observation
Guideline <i>Verify that actions have been taken to mitigate identified hazards.</i>		Auditor's Notes			
2.9	Are appropriate personnel informed of the control strategies?	3			Documentation
Guideline <i>Records of communication and/or training on controls should be retained and show that controls have been developed and deployed, and identify the participants in this communication.</i>		Auditor's Notes			

Sub Total

30	0
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Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 2.10 What is your role in supporting the process of ongoing hazard assessments?

Positive		#DIV/0!
Negative		

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Hazard Assessment, Analysis and Control

	Score Possible	Score Achieved	Legislated	Verification Technique
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2.10	Does management support the process of ongoing hazard assessments?	2		Documentation and Interview
		2		

Guideline

Hazard assessment and risk reduction activities shall be supported by management. Evidence can include, evidence of documented review, assignment of resources to this activity, involvement in developing risk mitigation controls, timely approvals of requested modifications to processes, equipment, procedures, etc., and reviews of the results of any actions.

Auditor's Notes

#DIV/0!

2.11	Does the company have a process for evaluating and monitoring subcontractors?	4		Documentation
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Guideline

Criteria for selection, evaluation and re-evaluation shall be established. Records of evaluation results and any necessary actions arising from the evaluation shall be maintained. This process may include reviewing incident reports, clearance certificates, performance reports, orientation records, internal feedback, complaints, assessments, etc.

Auditor's Notes**Net Total**

38

0

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Element 3
Safe Work Practices

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Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 3.3 How do you determine that workers understand the safe work practices?

Positive		#DIV/0!
Negative		

- 3.5 How do you ensure that workers follow safe work practices?

Positive		#DIV/0!
Negative		

Workers

- 3.3 Do you find the safe work practices easy to understand? Give me two examples of practices.

Positive		#DIV/0!
Negative		

- 3.4 Where can you find safe work practices?

Positive		#DIV/0!
Negative		

- 3.5 Do you follow established safe work practices?

Positive		#DIV/0!
Negative		

Safe Work Practices

Safe Work Practices		Score Possible	Score Achieved	Legislated	Verification Technique
3.1	Have safe work practices been documented?	2			Documentation
Guideline Verify that applicable safe work practices are documented and approved.		Auditor's Notes 			
3.2	Do safe work practices accurately reflect the organization's activities?	3 2			Documentation and Observation
Guideline Review the hazard assessments and conduct site observations and then ascertain if safe work practices exist.		Auditor's Notes 			
3.3	Are the practices understood by workers?	2			Interview
Guideline Verify that workers understand the safe work practices and can describe them.		Auditor's Notes #DIV/0!			
3.4	Are they readily available to workers?	2			Observation or Interview
Guideline Verify that documented safe work practices are available at all workplaces and located where workers have easy access to them.		Auditor's Notes #DIV/0!			
3.5	Are they followed by workers on a regular basis?	2			Observation or Interview
Guideline Assess the workplace to determine if safe work practices are being followed consistently by all workers.		Auditor's Notes #DIV/0!			
Subtotal		13	0		

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 3.6 Are you involved in the development and review of safe work practices? If not who is?

Positive		#DIV/0!
Negative		

Workers

- 3.6 Are you involved in the development or review of existing safe work practices? If not who is?

Positive		#DIV/0!
Negative		

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Safe Work PracticesScore
PossibleScore
Achieved

Legislated

Verification
Technique

3.6	Do both management and workers participate in the development and review of safe work practices?	4			Documentation or Interview
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Guideline

When drafting safe work practices include input from those who will actually be doing and/or supervising the work. Inputs may include orientations, committee meetings and tool box talks.

Auditor's Notes

#DIV/0!

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Net Total

17

0

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Element 4
Safe Job Procedures

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Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 4.3 How do you determine that workers understand the safe job procedures?

Positive		#DIV/0!
Negative		

- 4.4 Are safe job procedures readily available to workers? Where are they kept?

Positive		#DIV/0!
Negative		

Workers

- 4.3 Do you find the safe job procedures easy to understand? Give two examples of procedures.

Positive		#DIV/0!
Negative		

- 4.4 Where can you find safe job procedures?

Positive		#DIV/0!
Negative		

Safe Job Procedures

		Score Possible	Score Achieved	Legislated	Verification Technique
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4.1	Have safe job procedures been documented?	2			Documentation
-----	---	---	--	--	---------------

Guideline

Verify that applicable safe job procedures are documented and approved.

Auditor's Notes

4.2	Do the safe job procedures accurately reflect the organization's activities?	3			Documentation and Observation
		2			

Guideline

Review the hazard assessments, incident reports and conduct site observations and then ascertain if appropriate safe job procedures exist. At a minimum for all high risk activities.

Auditor's Notes

4.3	Are the procedures understood by workers?	2			Interview
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Guideline

Verify that workers understand the safe job procedures and can describe them.

Auditor's Notes

#DIV/0!

4.4	Are they readily available to workers?	2			Observation or Interview
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Guideline

Verify that documented safe job procedures are available at all workplaces and located where workers have easy access to them.

Auditor's Notes

#DIV/0!

Subtotal

11	0
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Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

4.5 How do you ensure that workers follow safe job procedures?

Positive		#DIV/0!
Negative		

4.6 Are you involved in the development and review of safe job procedures? If not who is?

Positive		#DIV/0!
Negative		

Workers

4.5 Do you follow established safe job procedures?

Positive		#DIV/0!
Negative		

4.6 Are you involved in the development and review of safe job procedures? If not who is?

Positive		#DIV/0!
Negative		

Safe Job Procedures

Score
PossibleScore
Achieved

Legislated

Verification
Technique

4.5	Are they followed on a regular basis?	3			Observation or Interview
<p>Guideline Assess multiple workers to determine if safe job procedures are being followed consistently by all workers. Assess compliance to procedure by observing the actual practice.</p>		<p>Auditor's Notes</p>			#DIV/0!
4.6	Do both management and workers participate in the development and review of the procedures?	4			Documentation or Interview
<p>Guideline When drafting safe job procedures include input from those who will actually be doing and/or supervising the work. Possible inputs can include orientations, health and safety meetings and reviews of the safe job procedures by the Joint Health & Safety Committee.</p>		<p>Auditor's Notes</p>			#DIV/0!
Net Total		18	0		

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Element 5 ***Company Rules***

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Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 5.2 Are company rules provided to workers and posted in the workplace? When and where?

Positive		#DIV/0!
Negative		

- 5.5 Tell me how you enforce the company rules?

Positive		#DIV/0!
Negative		

Workers

- 5.2 Were you given a copy of the company rules or do you know where a copy is posted?

Positive		#DIV/0!
Negative		

- 5.3 Were the company rules explained to you? Give some examples of the rules.

Positive		#DIV/0!
Negative		

- 5.5 What happens if someone breaks a company rule?

Positive		#DIV/0!
Negative		

Company Rules

Company Rules		Score Possible	Score Achieved	Legislated	Verification Technique
5.1	Are company rules clearly stated in writing?	2			Documentation
Guideline Verify that the company rules have been documented.		Auditor's Notes 			
5.2	Are the rules visibly posted or provided to each employee?	1			Observation or Interview
Guideline Verify by observation or interview that rules are posted in high traffic areas. Records should show that employees have been made aware of the rules.		Auditor's Notes 			
5.3	Do workers understand company and workplace specific rules?	2			Interview
Guideline Verify through interviews that employees are aware of and understand the company rules.		Auditor's Notes 			
5.4	Do the rules include a progressive disciplinary policy?	2			Documentation
Guideline Ensure there is a progressive disciplinary policy included in the company rules.		Auditor's Notes 			
5.5	Are the rules applied and enforced consistently throughout the company?	3			Documentation and Interview
Guideline Company rules should be consistently enforced in all divisions, departments and areas of the organization.		Auditor's Notes 			
Net Total		10	0		

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Element 6
Personal Protective
Equipment

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Version 2019

Interview Questions

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Personal Protective Equipment

		Score Possible	Score Achieved	Legislated	Verification Technique
6.1	Is there a written policy governing mandatory use of PPE where required?	2			Documentation
Guideline Verify that a written policy exists.		Auditor's Notes <div style="background-color: #ffffcc; height: 40px;"></div>			
6.2	Is there specific criteria used to select PPE?	2			Documentation
Guideline Verify that the organization reviews MSDS's, hazard assessments, legislation, etc. to determine proper selection of PPE.		Auditor's Notes <div style="background-color: #ffffcc; height: 40px;"></div>			
6.3	Has the organization documented the required PPE for all activities?	2			Documentation
Guideline The organization will need to assess the exposure to workplace hazards and determine the appropriate PPE. Also, the organization will need to adhere to any regulatory requirements.		Auditor's Notes <div style="background-color: #ffffcc; height: 40px;"></div>			
6.4	Are workers made aware of the requirements for PPE for specific tasks?	2			Documentation
Guideline Worker training records should be reviewed to ensure that PPE requirements have been addressed. Training records can include orientation training, site training, departmental training, job specific training, procedures or work instruction training.		Auditor's Notes <div style="background-color: #ffffcc; height: 40px;"></div>			
6.5	Are there written rules and/or guidelines for the proper fitting, care and use of specialized PPE?	2			Documentation
Guideline Verify that written guidelines for specialized PPE are readily available.		Auditor's Notes <div style="background-color: #ffffcc; height: 40px;"></div>			
Subtotal		10	0		

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

6.6 Who provides specialized PPE?

Positive		#DIV/0!
Negative		

6.7 Do you provide worker training on the care and use of specialized PPE?

Positive		#DIV/0!
Negative		

Workers

6.6 Is specialized PPE readily available when you need it?

Positive		#DIV/0!
Negative		

6.7 Have you received training on the care and use of specialized PPE? Give three examples.

Positive		#DIV/0!
Negative		

Personal Protective Equipment

Personal Protective Equipment		Score Possible	Score Achieved	Legislated	Verification Technique
6.6	Is adequate specialized PPE provided and made available to workers for specific activities?	3			Observation or Interview
Guideline Verify that specialized PPE (respirators, Kevlar gloves, fall arrest harnesses, etc.) is provided by the company and made available.		Auditor's Notes			#DIV/0!
6.7	Is proper training provided for workers required to use specialized PPE?	3		*	Documentation and Interview
Guideline Review worker orientation and training records to verify that specialized PPE training is being done.		Auditor's Notes			#DIV/0!
6.8	Is there a system in place to regularly inspect and maintain PPE?	3		*	Documentation
Guideline Check for PPE inspection schedule to ensure that manufacturer's or legislated requirements are being met.		Auditor's Notes			
6.9	Do management, supervisors, workers and sub-contractors use required PPE?	2			Observation
Guideline Verify by observation that all parties have, and are using appropriate PPE.		Auditor's Notes			
Net Total		21	0		

SAMPLE
Version 2015

Element 7
Preventative Maintenance

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Version 2015

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 7.3 How do you ensure your maintenance program meets manufacturer's and/or regulatory standards?

Positive		#DIV/0!
Negative		

SAMPLE
Version 2015

Preventative Maintenance

Score
PossibleScore
Achieved

Legislated

Verification
Technique

Does the company's preventative maintenance program for facilities, tools, equipment and vehicles include:

7.1	An inventory of items to be maintained?	1			Documentation
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Guideline

A list of tools (power), equipment (SCBA, tripod eyewash, CO monitors), lathes-presses, skid steers, lift trucks, vehicles, facilities (job trailers, maintenance shop), etc.

Auditor's Notes

7.2	The use of schedules and checklists as required?	3			Documentation
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Guideline

A preventative maintenance program includes a system for scheduling and recording all maintenance work. Verify maintenance records/checklists.

Auditor's Notes

7.3	Provisions to ensure manufacturers' maintenance guidelines and/or regulatory standards are met?	3			Documentation and Interview
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Guideline

Verify that maintenance is performed according to manufacturer's and/or legislated requirements.

Auditor's Notes

#DIV/0!

7.4	Is maintenance being performed as planned?	2			Documentation
-----	--	---	--	--	---------------

Guideline

Verify maintenance records to ensure that maintenance is systematically scheduled and completed as required according manufacturer's and/or legislated requirements.

Auditor's Notes

Subtotal

9

0

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 7.7 What procedure is in place to handle tools and or equipment found to be defective?

Positive		#DIV/0!
Negative		

Workers

- 7.7 What do you do with defective/broken tools and or equipment?

Positive		#DIV/0!
Negative		

SAMPLE
Version 2015

Preventative Maintenance

Score
PossibleScore
Achieved

Legislated

Verification
Technique

Does the company's preventative maintenance program for facilities, tools, equipment and vehicles include:

7.5	Records stating corrective action taken?	2			Documentation
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Guideline

Actions taken to correct identified equipment issues should be recorded on work orders, maintenance logs or checklists.

Auditor's Notes

7.6	Does a competent/qualified worker perform the inspection and maintenance?	2			Documentation
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Guideline

Training and qualification credentials must be supplied in order to fulfill the requirements of this question. Credentials may be a certificate of qualification, specific manufacturer's training, in addition to years of experience.

Auditor's Notes

7.7	A procedure to effectively remove overdue and /or defective tools, equipment and vehicles from service?	2			Documentation and Interview
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Guideline

A guideline for tagging and subsequently removing overdue or defective equipment/tools/vehicles /PPE must be in place and verifiable.

Auditor's Notes

#DIV/0!

Net Total

15

0

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Version 2015

Element 8

Training and Communications

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Version 2015

Interview Questions

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Version 2015

Training and Communications

Score
PossibleScore
Achieved

Legislated

Verification
Technique

Orientation training:

8.1	Does the organization have a documented orientation program?	4			Documentation
Guideline Verify that a documented program includes all relevant aspects of the organization's health and safety program.		Auditor's Notes 			
8.2	Is orientation a mandatory requirement for all personnel?	3			Documentation
Guideline Verify that orientations were conducted with all personnel upon joining the company, before they started work. This includes management, supervisors, workers, subcontractors, suppliers, etc.		Auditor's Notes 			
8.3	Is orientation standardized across the organization?	2			Documentation
Guideline Verify that a standard orientation form or equivalent is being used. Check orientation records.		Auditor's Notes 			
8.4	Is there a provision for the signatures of both the worker and the person conducting the orientation?	2			Documentation
Guideline Verify documentation that shows orientation has been provided, and that both the worker and the program facilitator have signed the orientation record.		Auditor's Notes 			
8.5	Are orientation records maintained?	2			Documentation
Guideline Verify that records of employee orientation shall be readily available.		Auditor's Notes 			

Subtotal

13

0

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

8.7 Are workers provided training for specific jobs? Give 2 examples.

Positive		#DIV/0!
Negative		

8.10 How do you ensure that training is effective and understood by workers?

Positive		#DIV/0!
Negative		

SAMPLE
Version 2015

Training and Communications

Score Possible

Score Achieved

Legislated

Verification Technique

Job specific training:

8.6	Are mandatory training requirements verified or training provided before starting work?	3		*	Documentation
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Guideline

Verify that records show the organization's mandatory training, including legislated requirements have been identified and completed.

Auditor's Notes

8.7	Is job specific training provided and are records retained?	2			Documentation and Interview
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Guideline

Verify that additional task/job specific training provided (other than mandatory training), such as procedures, work and workplace instruction.

Auditor's Notes

#DIV/0!

8.8	Does a competent person provide/conduct job specific training?	2			Documentation
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Guideline

Verify that the training is done by a "competent person" (as defined under the OHSA). Trainer qualifications can include education such as a trade certificate or degree, years of relevant experience, skills in teaching, (training certificates).

Auditor's Notes

8.9	Have supervisors received training in workplace inspections and OH & S responsibilities?	4			Documentation
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Guideline

Verify that the supervisor has completed the required training in OH&S responsibilities.

Auditor's Notes

8.10	Is training understood by personnel and is it effective?	2			Interview and Observation
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Guideline

Verify through interviews and observation that training is understood by personnel.

Auditor's Notes

#DIV/0!

Subtotal

26

0

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 8.11 Is there an annually scheduled series of events which include health and safety meetings?

Positive		#DIV/0!
Negative		

- 8.12 Do you attend these meetings?

Positive		#DIV/0!
Negative		

- 8.14 How do you actively participate and promote the participation of other employees, including workers?

Positive		#DIV/0!
Negative		

Workers

- 8.11 Have you ever attended company events where health and safety was included/discussed?

Positive		#DIV/0!
Negative		

- 8.12 Does senior management attend and participate in these health and safety meetings?

Positive		#DIV/0!
Negative		

- 8.14 Are you encouraged to participate (speak up) at these meetings?

Positive		#DIV/0!
Negative		

Training and Communications

Score Possible

Score Achieved

Legislated

Verification Technique

Health & Safety communication meetings:

8.11	Does senior management of the organization hold scheduled health and safety meetings?	3			Documentation and Interview
Guideline Verify that an annual schedule of health and safety events such as quarterly meetings, annual meetings, spring start-up meetings, summer barbeques exist.		Auditor's Notes			#DIV/0!
8.12	Does senior management attend/participate in health and safety meetings?	2			Documentation and Interview
Guideline Verify through interviews and minutes that discussions, Q&A sessions etc. were held.		Auditor's Notes			#DIV/0!
8.13	Are records of safety meetings retained?	3			Documentation
Guideline This includes meeting agendas, attendance list, minutes and action items.		Auditor's Notes			
8.14	Does two way communication exist during these meetings?	3			Documentation and Interview
Guideline What methods do managers use to involve employees in this communication.		Auditor's Notes			#DIV/0!
8.15	Are tailgate or tool box talks or their equivalent held as scheduled?	3			Documentation
Guideline Verify records of these talks. Records should indicate the date, topic, attendees and facilitator and any resulting action items.		Auditor's Notes			
Net Total		40	0		

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Element 9
Workplace Inspections

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Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

9.6 Are you performing workplace inspections as required?

Positive		#DIV/0!
Negative		

Workers

9.6 Does the supervisor do workplace inspections? How often?

Positive		#DIV/0!
Negative		

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Workplace Inspections

		Score Possible	Score Achieved	Legislated	Verification Technique
9.1	Does the organization have a documented workplace inspection procedure?	2			Documentation
Guideline Verify that the workplace inspection procedure includes all operations (office, shop, yard, projects, etc.)		Auditor's Notes 			
9.2	Does the procedure define the inspection frequencies and responsibilities?	3		*	Documentation
Guideline The procedure must identify when inspections are to be completed and who must complete them. The frequencies defined must meet legislated requirements and manufacturer specifications as a minimum. The responsibilities for reporting on findings and follow up shall also be defined.		Auditor's Notes 			
9.3	Does the procedure define requirements for conducting and recording pre-use inspections of vehicles, machines, tools and equipment?	3		*	Documentation
Guideline Verify that the inspection procedure defines the pre-use inspection requirements for vehicles, machines, tools and equipment including those required by the manufacturer (Reg. 213/91 section 93(3)) and 94(1),(2).		Auditor's Notes 			
9.4	Are their specific forms and checklists used for recording inspections?	2			Documentation
Guideline Verify inspection checklists and forms: <ul style="list-style-type: none"> • are specific to the item(s) and workplace(s), and • include all parts of the workplace(s), and • include all legislated and manufacturer specified inspection requirements where applicable. 		Auditor's Notes 			
9.5	Do records indicate that these inspections have been completed as required?	3		*	Documentation
Guideline Inspection records shall be retained and show that inspections have been performed and completed to legislated requirements.		Auditor's Notes 			
9.6	Are assigned personnel performing inspections as required?	3		*	Documentation and Interview
Guideline Review inspection records to verify that workplace parties are performing their assigned inspections.		Auditor's Notes #DIV/0!			
Subtotal		16	0		

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 9.10 How are the results of inspections communicated to senior management?

Positive		#DIV/0!
Negative		

- 9.11 How do you communicate the inspection results to workers?

Positive		#DIV/0!
Negative		

Workers

- 9.8 Are you or any other workers involved in the inspection process?

Positive		#DIV/0!
Negative		

- 9.11 How do you find out about the inspection results?

Positive		#DIV/0!
Negative		

Workplace Inspections

Workplace Inspections		Score Possible	Score Achieved	Legislated	Verification Technique
9.7	Are inspection frequencies being adhered to?	3		*	Documentation
Guideline Review inspection records to verify that inspections are performed when required by legislation, when specified by the manufacturer and as required by the organization's HSMS.		Auditor's Notes 			
9.8	Are workers involved in the inspection process?	3			Documentation and Interview
Guideline Worker participation can include conducting the inspection, being involved in discussions during or following the inspection. Inspection records should indicate this involvement.		Auditor's Notes #DIV/0!			
9.9	Are identified deficiencies corrected in a timely manner?	3			Documentation
Guideline Verify that corrective action taken is documented including who, what, and when.		Auditor's Notes 			
9.10	Are the results of workplace inspections communicated to senior management?	2			Documentation and Interview
Guideline Verify that senior management participates in the process by reviewing inspection reports, prioritizing actions to correct any identified deficiencies and providing resources as needed.		Auditor's Notes #DIV/0!			
9.11	Are inspection reports communicated to all relevant workplace parties?	4			Interview
Guideline The results of workplace inspections shall be communicated, either through posting, workplace discussions or other means of communication to all workers, supervision and management associated with the areas that were inspected.		Auditor's Notes #DIV/0!			
Net Total		31	0		

SAMPLE
Version 2015

Element 10

Investigations and Reporting

SAMPLE
Version 2015

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 10.2 Does someone do an investigation when an incident occurs?
Describe an investigation that was performed.

Positive		#DIV/0!
Negative		

- 10.5 Have you been trained how to investigate incidents including your organization's specific reporting procedures?

Positive		#DIV/0!
Negative		

Workers

- 10.2 Does someone do an investigation when an incident occurs?
Describe an incident that was investigated.

Positive		#DIV/0!
Negative		

- 10.4 How do you report incidents and/or near misses?

Positive		#DIV/0!
Negative		

Investigations and Reporting

		Score Possible	Score Achieved	Legislated	Verification Technique
10.1	Does the organization have a documented policy and procedure for the investigating and reporting of incidents that meets the legislated requirements? Guideline <i>The procedure shall describe the process for investigating and reporting incidents, including prescribed incidents, responsibilities, timelines, communication requirements, corrective actions and their effectiveness and the retention of records.</i>	2		*	Documentation
		Auditor's Notes			
10.2	Do records show that the incident investigation and reporting procedure is being followed? Guideline <i>Records of investigations shall demonstrate that incident investigations are being conducted as per the documented procedure.</i>	2 2			Documentation and Interview
		Auditor's Notes #DIV/0!			
10.3	Has the organization established a standardized incident investigation form that is readily available? Guideline <i>All areas of the organization shall use a common form to record incident investigations which shall be readily available to all personnel at all workplaces.</i>	2			Documentation
		Auditor's Notes			
10.4	Are workers aware of reporting procedures? Guideline <i>Verify by interview that workers are aware of and understand the company's incident reporting procedures.</i>	3			Interview
		Auditor's Notes #DIV/0!			
10.5	Have supervisors been trained in incident investigation and reporting procedures? Guideline <i>Verify training records and interview supervisors.</i>	3			Documentation and Interview
		Auditor's Notes #DIV/0!			
Subtotal		14	0		

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 10.7 Are near misses reported? Are preventative actions developed as a result?

Positive		#DIV/0!
Negative		

- 10.8 Are preventative actions implemented as soon as possible?

Positive		#DIV/0!
Negative		

- 10.9 How do you let the workers know about the corrective and preventive actions that have been made?

Positive		#DIV/0!
Negative		

Workers

- 10.7 Do you report near misses? Explain to whom you report and how?

Positive		#DIV/0!
Negative		

- 10.8 After an incident or near miss how soon after are changes made to correct the problem(s)? Give one example.

Positive		#DIV/0!
Negative		

- 10.9 How do you find out that an incident has occurred and what changes have been made?

Positive		#DIV/0!
Negative		

Investigations and Reporting

		Score Possible	Score Achieved	Legislated	Verification Technique
10.6	Are appropriate personnel involved in investigations?	2			Documentation
Guideline Review investigation reports that indicate supervisors and workers (including the safety rep. or committee member if appropriate) are involved in investigations and that required personnel have signed the report.		Auditor's Notes			
10.7	Are opportunities for corrective and preventive actions (CA&PA) being identified and addressed?	2			Documentation and Interview
		2			
Guideline Verify that inspection reports, action plans etc. contain evidence of proactive reporting, prioritizing incidents or other input into the preventive action process.		Auditor's Notes			
		#DIV/0!			
10.8	Are corrective and preventive actions implemented in a timely manner?	2			Documentation and Interview
		2			
Guideline Records shall indicate that preventative actions are being implemented in a timely manner and their effectiveness assessed.		Auditor's Notes			
		#DIV/0!			
10.9	Are corrective and preventive actions communicated to workers?	2			Interview
		2			
Guideline Records shall show that the results of CA&PA to improve workplace health and safety have been communicated to workers. Communication can include posted materials, meeting minutes, tool box talks, safety meetings, etc.		Auditor's Notes			
		#DIV/0!			
10.10	Is the organization measuring the effectiveness of the corrective and preventive actions?	2			Documentation
Guideline Verify that management has reviewed the effectiveness of the CA&PA taken.		Auditor's Notes			
Net Total		28	0		

SAMPLE
Version 2015

Element 11
Emergency Preparedness

SAMPLE
Version 2015

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 11.3 What is your role and responsibilities in the emergency preparedness plan?

Positive		#DIV/0!
Negative		

- 11.4 How is an emergency be communicated to the workers?

Positive		#DIV/0!
Negative		

Workers

- 11.3 What are your responsibilities should a workplace emergency occur?

Positive		#DIV/0!
Negative		

- 11.4 If an emergency were to occur right now how would you know?

Positive		#DIV/0!
Negative		

Emergency Preparedness

Emergency Preparedness		Score Possible	Score Achieved	Legislated	Verification Technique
11.1	Do documented emergency preparedness and Emergency Response Plans (ERP) include the most appropriate responses to identified hazards and address the potential for emergency situations? <i>Guideline</i> The plans for potential situations such as fire, powerline contact, medical, vehicle or equipment incidents, etc. shall be documented and communicated for the workplace.	4			Documentation and Observation
		2			
		Auditor's Notes			
11.2	Do the plans include the input and approval of relevant interested parties? <i>Guideline</i> The ERP for all organizations within the scope of the employer (subcontractors, clients, emergency services, neighbours) should be approved by senior management both initially and when there is a change of scope.	4			Documentation
		Auditor's Notes			
11.3	Do the plans define the roles and responsibilities of relevant personnel, and include training in emergency procedures? <i>Guideline</i> Verify training records to determine that employees involved in emergency response (rescuers, responders, fire marshalls, etc.) are appropriately trained and that records of training are maintained.	2			Documentation and Interview
		2			
		Auditor's Notes			
		#DIV/0!			
11.4	Is an appropriate emergency communication system in place? <i>Guideline</i> This could include reporting the emergency to a central location and the use of alarm bells, radio or telephone to warn all employees of the emergency.	2		*	Observation and Interview
		Auditor's Notes			
		#DIV/0!			
11.5	Has the plan been tested for deficiencies and corrective action taken (if necessary)? <i>Guideline</i> Testing procedures can include exercises such as fire drills, mock evacuations, demonstrations with fire extinguishers, etc. Reports on the results of the exercises must be available for review.	3			Documentation
		Auditor's Notes			
Subtotal		19	0		

Interview Questions

SAMPLE
Version 2015

Emergency Preparedness

Emergency Preparedness		Score Possible	Score Achieved	Legislated	Verification Technique
11.6	Are the appropriate number and type of fire extinguishers at marked locations?	2		*	Documentation and Observation
Guideline The workplace or site plan should include the specifications, type, size and rating and locations of fire equipment.		Auditor's Notes			
11.7	Are workers who are required to use fire extinguishers trained how to use them?	1			Documentation
Guideline Verify that workers are trained and that training records are maintained.		Auditor's Notes			
11.8	Are fire extinguishers regularly inspected and maintained?	2		*	Documentation and Observation
Guideline Verify that a competent worker inspects every fire extinguisher for defects and deterioration at least once a month. A tag noting the date of inspection must be attached to the extinguisher.		Auditor's Notes			
11.9	Is all other emergency response equipment regularly inspected and maintained?	2			Documentation
Guideline Verify that equipment such as Automatic External Defibrillator (AED), rescue ladders, breathing apparatus, etc. is inspected and maintained according to manufacturer's requirements.		Auditor's Notes			
Subtotal		26	0		

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 11.12 If someone gets hurt on the job how do they get to the hospital or medical centre?

Positive		#DIV/0!
Negative		

SAMPLE
Version 2015

Emergency PreparednessScore
PossibleScore
Achieved

Legislated

Verification
Technique

Have appropriate emergency response resources and equipment been made available including:

11.10	First aid station/facilities and supplies?	2		*	Observation
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Guideline

In the workplace verify there are sufficient first aid stations/facilities and that they contain the proper first aid supplies as per first aid regulations.

Auditor's Notes

11.11	Qualified first aid personnel?	3		*	Documentation or Observation
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Guideline

Verify that first aiders are qualified to the required standard Emergency First Aid (EFA), Standard First Aid (SFA), etc.) Look for posted certificates or names of first aiders.

Auditor's Notes

11.12	Provision for transporting an injured worker to a hospital or medical facility?	4		*	Observation and Interview
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Guideline

Verify that a vehicle is available at all times for transporting an injured worker to a medical facility.

Auditor's Notes

#DIV/0!

Net Total

32

0

SAMPLE
Version 2015

Element 12

Statistics and Records

SAMPLE
Version 2015

Interview Questions

SAMPLE
Version 2015

Statistics and Records

Statistics and Records		Score Possible	Score Achieved	Legislated	Verification Technique
12.1	Is there a documented procedure to organize, monitor and measure OH&S performance?	2			Documentation
<p>Guideline Measures can include both quantitative and qualitative components, be proactive and/or reactive, show the extent to which OH&S objectives are met, as well as the effectiveness of controls.</p>		<p>Auditor's Notes</p>			
12.2	Are corporate and/or project health and safety summaries developed and maintained?	2			Documentation
<p>Guideline Project reports should be readily available for the auditor. Monthly reports should roll the statistics from all projects into a corporate document. The annual report should be an overall report on health and safety activities and statistics for the year. Activity summaries should be available for each project and for the company: e.g. toolbox talks, training and worker orientation records, injury and accident investigation reports, insurance claims, etc.</p>		<p>Auditor's Notes</p>			
12.3	Is OH&S performance being measured at a specified frequency?	2			Documentation
<p>Guideline Statistical reports shall be generated on a regular basis and readily available, and include individual projects and the company as a whole.</p>		<p>Auditor's Notes</p>			
12.4	Does the company compare their health and safety performance with past performance?	2			Documentation
<p>Guideline Year-to-year comparisons should be done to evaluate performance, and the effectiveness of any efforts to improve performance.</p>		<p>Auditor's Notes</p>			

Subtotal

8	0
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Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 12.8 After the last audit was an action plan developed and implemented? How was it communicated to the workforce?

Positive		#DIV/0!
Negative		

SAMPLE
Version 2015

Statistics and Records

Statistics and Records		Score Possible	Score Achieved	Legislated	Verification Technique
12.5	Are the annual statistics analyzed and needs or trends identified?	2			Documentation
<p>Guideline Analysis verification could include minutes, trend analysis, corrective action plans which identify areas such as:</p> <ul style="list-style-type: none"> > particular areas where training is needed > where equipment should be repaired or replaced > where a safe work practice should be developed > where a specific job task analysis should be undertaken 		<p>Auditor's Notes</p>			
12.6	Are first aid treatment records analyzed?	3			Documentation
<p>Guideline Analysis verification could include first aid treatment records, minutes, trend analysis, corrective action plans.</p>		<p>Auditor's Notes</p>			
12.7	Was an action plan developed based on the summary and recommendations of your last audit?	2			Documentation
<p>Guideline Verify that an action plan was defined as a result of the prior (COR or other recognized OH&SM) audit report. This should be part of the organization's corrective and preventive action system.</p>		<p>Auditor's Notes</p>			
12.8	Was the action plan communicated to workers and implemented in a timely manner?	3			Documentation and Interview
<p>Guideline Verify how the action plan was communicated to workers. E.g. minutes, memo, tool box talk etc.. Review the action plan to verify that recommendations have been implemented.</p>		<p>Auditor's Notes #DIV/0!</p>			

Net Total

18

0

SAMPLE
Version 2015

Element 13

Legislation

SAMPLE
Version 2015

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

13.1 How does health and safety legislation impact your job planning?

Positive		#DIV/0!
Negative		

13.3 What are your rights and responsibilities regarding health and safety in the workplace?

Positive		#DIV/0!
Negative		

Workers

13.2 Tell me where to find workplace health and safety legislation if you need it?

Positive		#DIV/0!
Negative		

13.4 Have you been trained on your roles and responsibilities regarding health and safety in the workplace? Give some examples.

Positive		#DIV/0!
Negative		

Legislation

Legislation		Score Possible	Score Achieved	Legislated	Verification Technique
13.1	Is health and safety legislation (all acts and regulations that apply) considered during the job planning process? Guideline Verify that the organization has ensured that all applicable acts and regulations are considered when planning and executing the work.	3			Documentation and Interview
		Auditor's Notes			#DIV/0!
13.2	Are copies of relevant legislation readily available at each workplace as required? Guideline Verify that appropriate and current legislation (OHSA, Con. Regs, Ind. Regs, WHMIS, etc.) are readily available to workers and/or posted in the workplace.	2		*	Observation or Interview
		Auditor's Notes			#DIV/0!
13.3	Have supervisors been trained on their rights and responsibilities and how to exercise them? Guideline Verify that records of training on OHS responsibilities shall be available. Verify by interview that supervisors are aware of those responsibilities.	2		*	Documentation and Interview
		Auditor's Notes			#DIV/0!
13.4	Have workers been trained on their rights and responsibilities and how to exercise them? Guideline Verify that records of training on OHS rights and responsibilities shall be available. Verify by interview that workers are aware of their rights and responsibilities.	2		*	Documentation and Interview
		Auditor's Notes			#DIV/0!
13.5	Are legislated posting requirements being met? Guideline Verify by observation that required documents are posted in the workplace (WSIB form 82, Notice of Project, MoL prevention poster, first aid certificates, JH&SC members, workers trades committee members, etc.)	2		*	Observation
		Auditor's Notes			

Net Total

11

0

SAMPLE
Version 2015

Element 14
Occupational Health

SAMPLE
Version 2015

Interview Questions

SAMPLE
Version 2015

Occupational Health

Occupational Health		Score Possible	Score Achieved	Legislated	Verification Technique
14.1	Has the organization conducted a risk assessment for occupational health hazards?	2			Documentation
<p>Guideline Risks associated with identified occupational health hazards should be identified, prioritized and documented.</p>		<p>Auditor's Notes</p>			
14.2	Have controls been developed and implemented for identified occupational health hazards?	2			Documentation
<p>Guideline Controls to mitigate the risks should be developed. Controls can include elimination, substitution, engineering controls, signage/warnings/administrative controls, PPE.</p>		<p>Auditor's Notes</p>			
<p>Is there a documented procedure that addresses working safely with the following?</p>					
14.3	Chemicals?	2			Documentation
<p>Guideline A chemical inventory and procedures for safe handling, use, storage, clean-up and transportation are required. This may include designated substances.</p>		<p>Auditor's Notes</p>			
14.4	Physical agents?	2			Documentation
<p>Guideline Physical agents include temperature hazards (such as extreme heat and cold), vibration, noise, UV exposure and radiation exposure.</p>		<p>Auditor's Notes</p>			
14.5	Biological agents?	2			Documentation
<p>Guideline Human biological wastes, sharps, bird, bat or other animal droppings, dead animals, poisonous insects, reptiles and plants.</p>		<p>Auditor's Notes</p>			
14.6	Lead?	2			Documentation
<p>Guideline Lead may be in paints, solder, batteries, electronics, etc.</p>		<p>Auditor's Notes</p>			
Subtotal		12	0		

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 14.9 Are you familiar with the company's chemical spills clean-up procedure? Explain the process.

Positive		#DIV/0!
Negative		

- 14.11 Can you explain the procedure to be followed when entering a confined space?

Positive		#DIV/0!
Negative		

Workers

- 14.9 Are you trained or do you know of anyone trained in the clean-up procedure to use when you have a chemical spill?

Positive		#DIV/0!
Negative		

- 14.11 Are you aware of any special procedure to be followed before entering a confined space?

Positive		#DIV/0!
Negative		

Occupational Health

Score
PossibleScore
Achieved

Legislated

Verification
Technique

Is there a documented procedure that addresses working safely with the following? (cont'd)

14.7	Asbestos?	2			Documentation
------	-----------	---	--	--	---------------

Guideline

Asbestos is primarily encountered during building retrofit work and may involve asbestos removal or work that may disturb asbestos-containing materials, including insulation.

Auditor's Notes

14.8	Silica?	2			Documentation
------	---------	---	--	--	---------------

Guideline

Silica is a designated substance that is found in sandblasting building restoration, quarries, concrete.

Auditor's Notes

Is there a documented procedure for:

14.9	Chemical spill cleanup?	3			Documentation and Interview
------	-------------------------	---	--	--	-----------------------------

Guideline

Verify that the procedure identifies methods to safely respond to spills.

Auditor's Notes

#DIV/0!

14.10	Proper handling and storage of hazardous materials?	2		*	Documentation
-------	---	---	--	---	---------------

Guideline

These should include information for monitoring hazardous materials. Methods should include storage location, safe handling/transporting, verification that procedure has been followed and reference to documents such as MSDSs.

Auditor's Notes

14.11	Entering confined spaces?	3		*	Documentation and Interview
-------	---------------------------	---	--	---	-----------------------------

Guideline

Methods should include verification of air quality prior to entry into confined spaces, entry permits, air and personnel monitoring while in confined spaces, ventilation, entry procedures, attendant, communication, PPE, safe retrieval, emergency rescue procedures, equipment and records, etc.

Auditor's Notes

#DIV/0!

Subtotal

24

0

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 14.13 Are the toilet and wash-up facilities cleaned and maintained on a scheduled basis?

Positive		#DIV/0!
Negative		

- 14.14 Do you ensure there is an adequate amount of drinking water on site? How?

Positive		#DIV/0!
Negative		

Workers

- 14.13 Are the toilets and wash-up areas kept clean? Are there always sufficient supplies?

Positive		#DIV/0!
Negative		

- 14.14 Is there always a good supply of drinking water on site?

Positive		#DIV/0!
Negative		

- 14.16 What do you do if you find a WHMIS label that is missing or badly damaged?

Positive		#DIV/0!
Negative		

Occupational Health

Score
PossibleScore
Achieved

Legislated

Verification
Technique

14.12	Have personnel been trained on these procedures?	3			Documentation
-------	--	---	--	--	---------------

Guideline

Verify that training includes, safe handling, clean-up use of WHMIS material, specific job requirements (confined spaces).

Auditor's Notes**Does the organization provide and maintain:**

14.13	Adequate toilet and wash-up facilities?	3		*	Observation or Interview
-------	---	---	--	---	--------------------------

Guideline

Verify that the organization has provided or arranged for the use of toilet and clean-up facilities in the workplace before work starts and that facilities are serviced as required.

Auditor's Notes

#DIV/0!

14.14	An adequate supply of potable drinking water?	2		*	Observation or Interview
-------	---	---	--	---	--------------------------

Guideline

Verify that drinking water and drinking cups are available and methods of sanitization exist.

Auditor's Notes

#DIV/0!

14.15	Material safety data sheets?	3		*	Documentation and Observation
-------	------------------------------	---	--	---	-------------------------------

Guideline

Confirm that MSDSs are available in the workplace and accessible to workers and emergency response personnel. Review a sample of MSDSs to confirm that they are current.

Auditor's Notes

14.16	Properly labelled hazardous material?	2		*	Observation or Interview
-------	---------------------------------------	---	--	---	--------------------------

Guideline

This should include all incoming, stored, in-process and finished materials. All packaging or storage areas should be properly labelled and any missing or damaged labels be immediately replaced.

Auditor's Notes

#DIV/0!

Net Total

37

0

SAMPLE
Version 2015

Element 15
First Aid

SAMPLE
Version 2015

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 15.2 Do you ensure that a qualified first aider(s) is in charge of the first aid station(s) on site?

Positive		#DIV/0!
Negative		

Workers

- 15.2 Who is in charge of the first aid station nearest you? Where are they now?

Positive		#DIV/0!
Negative		

SAMPLE
Version 2015

First AidScore
PossibleScore
Achieved

Legislated

Verification
Technique

Is there a documented procedure for the provision and maintenance of first aid that includes:

15.1	Ensuring compliance with applicable regulations?	3			Documentation
------	--	---	--	--	---------------

Guideline

Verify the company is applying the relevant regulations (First Aid, WSIB, etc.)

Auditor's Notes

15.2	A qualified First Aider who is assigned to the kit/station and works in the immediate vicinity.	2		*	Interview and Observation
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Guideline

All first aid attendants must successfully complete training by a recognized training authority. Verify through interview that name of First Aider matches name on certificate.

Auditor's Notes

#DIV/0!

15.3	Posting first aid training certificates?	2		*	Observation
------	--	---	--	---	-------------

Guideline

Copies of valid first aid certificates should be visible and made readily available at the first aid station for the designated first aid attendant(s).

Auditor's Notes

15.4	A process for maintaining and re-certifying first aid attendants.	2			Documentation
------	---	---	--	--	---------------

Guideline

Verify a process exists to ensure that qualified first aid attendants are available when and where required.

Auditor's Notes**Subtotal**

9

0

Interview Questions

SAMPLE
Version 2015

First AidScore
PossibleScore
Achieved

Legislated

Verification
Technique**Does the organization ensure:**

15.5	Periodic inspection of first aid facilities and equipment?	2		*	Observation
------	--	---	--	---	-------------

Guideline

First aid facilities and equipment shall be inspected at least quarterly. Inspection records shall indicate the inspection date and the identity and signature of the inspector and be kept with the kit.

Auditor's Notes

15.6	The responsibility of workers to report all injuries to supervisors?	3		*	Documentation
------	--	---	--	---	---------------

Guideline

Verify that workers understand that they must report all injuries to supervisors. This can be verified by reviewing procedure showing responsibility to report and by reviewing injury report forms.

Auditor's Notes

15.7	Records of all first aid treatment/advice?	2		*	Documentation
------	--	---	--	---	---------------

Guideline

Records of the circumstances of the injury, names of witnesses, nature and exact location of the injuries, date, time, and type of first aid treatment given shall be retained by the employer.

Auditor's Notes

15.8	"In Case of Injury" poster is available at the first aid kit/station?	1		*	Observation
------	---	---	--	---	-------------

Guideline

Verify that Form 82 - In Case of Injury poster (any format provided through WSIB), is visible at the first aid station.

Auditor's Notes**Net total**

17

0

SAMPLE
Version 2015

Element 16
Health and Safety
Representative and Joint
Health and Safety Committee

SAMPLE
Version 2015

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 16.2 Is there a health & safety representative on site? How was he/she made the representative?

Positive		#DIV/0!
Negative		

- 16.5 How is the JH&SC set-up in your workplace?

Positive		#DIV/0!
Negative		

Workers

- 16.2 Who is the health & safety representative on site? How are they selected?

Positive		#DIV/0!
Negative		

- 16.5 Who represents workers on the JH&SC?

Positive		#DIV/0!
Negative		

H & S Rep. and Joint H & S Committee

		Score Possible	Score Achieved	Legislated	Verification Technique
16.1	Does the organization have documented procedures for the selection of roles and responsibilities and/or establishment criteria for JH&S committees? Guideline <i>Verify that procedure/terms of reference exist.</i>	2			Documentation
		Auditor's Notes			
Does the organization meet its legislated requirements for:					
16.2	Selection or appointment of a health and safety representative where required? Guideline <i>Required for organizations that have between 5 - 19 employees. Selected by workers or appointed by trade union, if applicable.</i>	2		*	Documentation and Interview
		Auditor's Notes			
		#DIV/0!			
16.3	Periodic health and safety inspections of the workplace? Guideline <i>Inspections of the workplace must be carried out at least monthly. Where it is not practicable to inspect the entire workplace monthly, the H&S Rep shall inspect a portion of the workplace each month such that the entire workplace will be inspected at least annually. Records of inspections shall be retained.</i>	2		*	Documentation
		Auditor's Notes			
16.4	Collection, review, corrective actions, implementation of actions and follow-up on H&S Rep. and JHSC recommendations? Guideline <i>Recommendations can result from workplace inspections, observations, discussions, reviews of training programs, worker requests or concerns, etc. Review records for recommendations, corrective actions and corrective action plans. Follow-up includes timely response to the originator on all recommendations.</i>	2		*	Documentation
		Auditor's Notes			
16.5	Selection and composition of a workplace joint health and safety committee where required? Guideline <i>Verify list of JHSC members to ensure correct number and composition of worker and management reps. Verify existence of worker's trades committee if applicable.</i>	2		*	Documentation and Interview
		Auditor's Notes			
		#DIV/0!			
Subtotal		10	0		

Interview Questions

SAMPLE
Version 2015

H & S Rep. and Joint H & S CommitteeScore
PossibleScore
Achieved

Legislated

Verification
Technique**Is there a documented procedure for:**

16.6	Posting of JH&SC members' names and work locations?	2		*	Observation
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Guideline

The organization shall post the names and locations of committee members in a visible location in the workplace.

Auditor's Notes

16.7	Frequency of meetings and the availability of minutes?	3		*	Documentation
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Guideline

Verify records of meeting minutes and ensure meetings are being held at least every 3 months.

Auditor's Notes**Net Total**

15

0

SAMPLE
Version 2015

SAMPLE
Version 2015

Element 17
Workplace Violence and
Harassment

SAMPLE
Version 2015

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 17.2 How does the violence and harassment policy address your responsibilities with regards to your personal safety and the safety of others? Where can you find a copy of the policy and program?

Positive		#DIV/0!
Negative		

Workers

- 17.2 Where would you find a copy of the violence and harassment policy and guidelines? How does the policy apply to you?

Positive		#DIV/0!
Negative		

SAMPLE
Version 2015

Workplace Violence and Harassment

Score Possible

Score Achieved

Legislated

Verification Technique

Does the organization have a Workplace Violence and Harassment policy statement that:

17.1	Is signed by the president, CEO or local senior management?	2			Documentation
Guideline <i>Ideally the Policy Statement should be signed by the president or CEO of the organization, or the senior-most leader of the division.</i>		Auditor's Notes			
17.2	Includes a program that outlines roles and responsibilities of all workplace parties?	2			Documentation and Interview
Guideline <i>The policy should outline the roles and responsibilities of all workplace parties regarding their participation in the workplace violence and harassment program. A workplace party is a person, visitor, contract or temporary worker or group inside the workplace concerned with or affected by the OH&S performance of an organization.</i>		Auditor's Notes		#DIV/0!	
17.3	Recognizes the right of workers to work in a violence and harassment free work environment?	2			Documentation
Guideline <i>The Policy Statement must clearly state that management (CEO, president, etc.) recognizes that all workers have the right to work in a violence and harassment free workplace.</i>		Auditor's Notes			
17.4	Is current?	2		*	Documentation
Guideline <i>The policy statement shall indicate its date of issuance.</i>		Auditor's Notes			
17.5	Is reviewed annually?	1		*	Documentation
Guideline <i>The review shall be conducted by senior management at least annually and records of the review shall be retained.</i>		Auditor's Notes			
17.6	Is visibly posted in the workplace or made available to the workers?	2		*	Observation
Guideline <i>Policy to be posted in the workplace. It may be provided to workers in the form of a handbook, safety manual, as part of procedures manual, or in electronic form. A workplace can also include traveling, working at client premises or working at home.</i>		Auditor's Notes			
Subtotal		11	0		

Interview Questions

A score of 51% must be achieved to pass the interview questions.

Management and Supervision

- 17.7 Has your organization conducted a violence and harassment risk assessment? What was the result?

Positive		#DIV/0!
Negative		

- 17.10 What is the procedure for reporting violence or harassment incidents?

Positive		#DIV/0!
Negative		

Workers

- 17.10 How would you report an incident of violence or harassment?

Positive		#DIV/0!
Negative		

SAMPLE 2015
Version 2015

Workplace Violence and Harassment

Score
PossibleScore
Achieved

Legislated

Verification
Technique

Does the employer have a Workplace Violence and Harassment program that:

17.7	Periodically assesses the risk of violence in the workplace?	3		*	Documentation and Interview
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Guideline

Assessments and reassessments shall be documented and must identify the potential violence risks in the workplace. Procedure must contain a documented requirement to reassess at set intervals.

Auditor's Notes

#DIV/0!

17.8	Identifies specific controls for all identified risks?	3		*	Documentation
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Guideline

Program must contain controls that eliminate or mitigate risks identified in the assessment that are associated with violence and harassment.

Auditor's Notes

17.9	Includes measures and procedures for summoning immediate assistance?	3		*	Documentation
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Guideline

Program must also include measures and procedures for summoning immediate assistance when workplace violence occurs or is likely to occur.

Auditor's Notes

17.10	Includes reporting and investigation procedures?	3		*	Documentation and Interview
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Guideline

Procedures shall address legislated reporting of incidents of workplace violence/harassment and the subsequent investigation and any required actions, if applicable.

Auditor's Notes

#DIV/0!

17.11	Is periodically reviewed?	2			Documentation
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Guideline

The program shall be consistent with the policy, reviewed at least annually and records of the review shall be retained.

Auditor's Notes

Net Total

25

0

SAMPLE
Version 2015

Element 18
Return to Work and
Re-employment

SAMPLE
Version 2015

Interview Questions

SAMPLE
Version 2015

Return to Work and Re-employment

Score
PossibleScore
Achieved

Legislated

Verification
Technique

Does the organization have a written Return to Work and re-employment policy and procedure that:

18.1	Is signed by the president, CEO or local senior management?	2			Documentation
------	---	---	--	--	---------------

Guideline

The RTW policy statement must be clearly written and state the exact procedures (in chronological order) that are to be followed from the time of the reported injury, to the injured worker's return to full employment. (This procedure could be developed as a result of completing a RTW self assessment using the WSIB guide).

Auditor's Notes

18.2	Clearly defines the goal of the RTW program?	2			Documentation
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Guideline

This could include ensuring that the employee will have the best opportunities available for successful return to work with their employer, or if required, to the labour market.

Auditor's Notes

18.3	Provide a framework for the organization and the worker to co-operate in developing the RTW and re-employment plans for the worker?	2			Documentation
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Guideline

The framework should include timing, responsibilities, constraints and outcomes. Co-operation includes: initiating early contact; maintaining appropriate communication throughout the worker's recovery; identifying and securing Work Reintegration (WR) opportunities for the worker; providing WSIB with all relevant information concerning the WR and; notifying the WSIB of any dispute or disagreement concerning the WR.

Auditor's Notes**Subtotal**

6

0

Interview Questions

SAMPLE
Version 2015

Return to Work and Re-employment

Score
PossibleScore
Achieved

Legislated

Verification
Technique

Do documented procedures:

18.4	Address the employer's duty to accommodate?	2			Documentation
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Guideline

Employers have a duty to modify the work or the workplace to accommodate the needs of the worker to the extent of undue hardship as set out under the WSIA, Ont. Human Rights Code or Cdn. Human Rights Act.

Auditor's Notes

18.5	Provide a re-entry plan for the worker's eventual transition to full employment?	2			Documentation
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Guideline

Process will outline: assistance and services available to identify suitable work with employer or re-entry into the labour market; the duration of the plan; payment of expenses for the duration of the re-entry plan and; offer of re-location services.

Auditor's Notes

18.6	Address communication of RTW and WR program responsibilities to all involved parties?	2			Documentation
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Guideline

Documented roles and responsibilities will vary depending on the size of the organization, and can include the RTW program coordinator, human resources, project manager, safety coordinator, injured worker, medical department or health care provider, WSIB and site supervisor.

Auditor's Notes

SubTotal

12

0

Interview Questions

SAMPLE
Version 2015

Return to Work and Re-employment

Score
PossibleScore
Achieved

Legislated

Verification
Technique

Do documented procedures:

18.7	Address modification of duties based on job tasks and their specific physical demands?	2			Documentation
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Guideline

Suggested modified duties during transition should reflect the physical demands of the worker's normal job/work and the work to be performed. The organization should have a list of types of work, tasks involved and the physical demands of the tasks. Some considerations: ergonomics, including lifting, walking, bending, sitting, twisting, vibration, work posture temperature, humidity, etc..

Auditor's Notes

18.8	Address WSIB correspondence?	2			Documentation
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Guideline

E.g. worker wage changes; all expenses related to RTW and V.R. changes in worker duties; adjustment to duration of RTW program; failure to cooperate; miscellaneous correspondence and return to full employment/close out etc.

Auditor's Notes
Net Total

16

0

SAMPLE
Version 2015

Element 19

Management Review

SAMPLE
Version 2010

Interview Questions

SAMPLE
Version 2015

Management Review

Management Review		Score Possible	Score Achieved	Legislated	Verification Technique
19.1	Does senior management have a policy for conducting an annual review of the organization's OH&S program?	4			Documentation
Guideline <i>The intent of the review is for senior management to ensure continual improvement by evaluating the suitability, adequacy and effectiveness of the OH&S program.</i>		Auditor's Notes			
19.2	Does senior management have a procedure for conducting an annual review of the organization's OH&S program?	4			Documentation
Guideline <i>The procedure must include all steps in conducting the review including:</i> <i>Responsibilities</i> <i>Frequency of review (minimum annually)</i> <i>Objectives and action plans</i> <i>Record retention</i>		Auditor's Notes			
19.3	Does the review include evaluation of all elements of the OH&S program?	4			Documentation
Guideline <i>Verify that records of the review include all elements of the organization's OH&S program including:</i> <i>- Internal records such as inspections, hazard assessments, incident reports, statistical reports.</i> <i>- External communications such as evaluations conducted by other parties, evaluations of legal compliance etc.</i> <i>- Follow up actions from previous management reviews</i> <i>- Changing circumstances, including developments in legal and other requirements related to OH&S (changes in business conditions, organizational structures, materials and services, legal and other requirements)</i>		Auditor's Notes			
Subtotal		14	0		

Interview Questions

Management and Supervision

- 19.7 How does your organization communicate the annual OH&S objectives to the workers?

Positive		#DIV/0!
Negative		

Workers

- 19.7 Name two of your organization's health and safety objectives for the upcoming year?

Positive		#DIV/0!
Negative		

SAMPLE
Version 2015

Management Review

		Score Possible	Score Achieved	Legislated	Verification Technique
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19.4	Does the review include assessing the OH&S performance of the organization?	4			Documentation
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Guideline

Verify that:
 Key performance indicators have been developed, measured and analyzed to determine the overall OH&S performance.
 Comparison from previous statistics are reviewed and any future steps necessary to prevent reoccurrence are implemented.
 The review of OH&S objectives has been performed to determine whether objectives/targets have been met.
 Opportunities for improvement have been identified and changes made to the OH&S management system
 Changes have been made to the OH&S policy and objectives (if applicable)

Auditor's Notes

19.5	Has an action plan been developed based on the review?	4			Documentation
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Guideline

Verify that an action plan that supports the assessment and findings has been developed.

Auditor's Notes

19.6	Have the OH&S objectives been identified as a result of the review?				Documentation
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Guideline

Verify that OH&S objectives reflect the outcomes of the current review.

Auditor's Notes

19.7	Have the OH&S objectives and action plan(s) been communicated to all personnel?	5			Documentation and Interview
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Guideline

Records are to be retained for at least 3 years.

Auditor's Notes

#DIV/0!

Net Total

29	0
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SAMPLE
Version 2015

Audit Performance Summary

Firm Name
Contact

Auditor
Date

		Possible Score	Achieved Score	%
Element # 1	Health and Safety Policy Statement	25	0	0.00%
Element # 2	Hazard Assessment, Analysis and Control	38	0	0.00%
Element # 3	Safe Work Practices	17	0	0.00%
Element # 4	Safe Job Procedures	18	0	0.00%
Element # 5	Company Rules	10	0	0.00%
Element # 6	Personal Protective Equipment	21	0	0.00%
Element # 7	Preventative Maintenance	15	0	0.00%
Element # 8	Training and Communications	40	0	0.00%
Element # 9	Workplace Inspections	31	0	0.00%
Element # 10	Investigations and Reporting	28	0	0.00%
Element # 11	Emergency Preparedness	32	0	0.00%
Element # 12	Statistics and Records	18	0	0.00%
Element # 13	Legislation	11	0	0.00%
Element # 14	Occupational Health	37	0	0.00%
Element # 15	First Aid	17	0	0.00%
Element # 16	Health & Safety Rep. and Joint H & S Committee	15	0	0.00%
Element # 17	Workplace Violence and Harassment	25	0	0.00%
Element # 18	Return to Work and Re-employment	16	0	0.00%
Element # 19	Management Review	29	0	0.00%
Total elements score		443	0	0.00%
CFCSA score (Elements 1 - 13)		304	0	0.00%