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**Audit**

**Designed for Small Employers
*(4 – 19 employees)***

**Introduction**

WorkSafeBC's voluntary Partners in Injury and Disability Prevention Program (Partners Program) offers incentives to employers who create and adhere to health and safety management systems aimed at improving workplace safety and helping injured workers return to work in a safe and timely way. The Certificate of Recognition (COR) program is based on the proven concept that employers who take a strategic approach to mitigating risk through the implementation and ongoing application of a health and safety management system will benefit from reductions in both the direct and indirect costs of workplace injuries and illnesses.

The COR program is offered by WorkSafeBC through agreements with Certifying Partners. SafetyDriven-TSCBC is an industry association recognized by WorkSafeBC as a Certifying Partner having in depth industry specific knowledge and the ability to promote workplace health and safety initiatives to industry. Employers who choose to take part in the COR program must:

* Implement a comprehensive management system in health and safety (OHS) which exceeds legislated standards.
* Provide workers with relevant training and ensure all workers have the necessary knowledge and skills to carry out their assigned duties in accordance with the company’s safe work procedures and legislative requirements.
* Assess the competence of all workers at least annually by conducting interviews, observing work practices, and performing a documentation review.
* Re-assess any worker who is involved in an incident.

The worker competence assessment will serve as the interview verification method to confirm the safety management program has been communicated to workers. A Worker Competence Assessment Checklist must be completed for each worker at least annually. A minimum of 30% of these checklists must be submitted as part of the audit submission. For example, if the company has 10 workers, 3 completed Worker Competence Assessment Checklists from various occupations are required to be submitted.

 Where the employer’s audit demonstrates that the OHS management system meets the standard set by the Certifying Partner the employer will be awarded an Occupational Health & Safety Certificate of Recognition (OHS COR).

WorkSafeBC provides a financial incentive of 10% of the base assessment of the employer’s WorkSafeBC premium for employers who achieve COR certification and who are in good standing with WorkSafeBC.  These rebates on base assessment are awarded for the calendar year in which the employer completed a successful COR audit and appear as credits on the employers account in May - June of the following year.

The primary focus of the COR program is the reduction and prevention of workplace incidents, not financial rebates. The implementation of health & safety management and return to work systems that exceed the standard will assist in the prevention of injuries/illnesses, improve productivity, mitigate against the human costs of injuries, create a safe culture and, through the reduction of injuries and claims costs, lower premiums for both the individual employer and the rate group.

SafetyDriven-TSCBC is the Certifying Partner for the COR program in the General Trucking and Moving & Storage industries in BC.

**Instructions**

This audit tool is applicable to employers with 4 to 19 employees. This audit tool provides:

1. A framework for the development of an OH&S management system.
2. The evaluation standards to measure the effectiveness of an employer’s program.

SafetyDriven COR Certification requires that companies participating in the COR program develop and maintain in-house knowledge and capacity in order to maintain their own health & safety management system. To qualify for COR the participating company must maintain at least one employee with SafetyDriven Internal Auditor training. The auditor completing the small employer audit must be an employee of the company. It is essential that the auditor have industry specific and auditing knowledge to conduct a successful audit.

Audits are a management tool for measuring the performance the company’s health & safety program during a snapshot in time. Audits measure system performance and provide a basis for future management strategies for continual improvement of the health & safety system. Auditors must remain objective and follow the auditor Code of Ethics otherwise the audit will be of little value.

**The small employer audit tool consists of the following elements:**

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The small employer audit tool is downloaded and completed as a word document or printed and filled by hand. The auditor must complete the following sections of the audit report:

* Company Profile
* Health and Safety Element 1 to 9 to qualify for the OHS COR
* The Scoring Summary
* Documentation Submission List
* Improvement Action Plan

Each question in the audit tool is worth 1 point. All verification requirements in the question must be checked unless directed to only check applicable categories. Not all company program documents are required to be submitted. The auditor must upload program documents such as policies, procedures and records per requirements stated in the Documentation Submission List. Improvement action must be developed and documented in the Improvement Action Plan for each question not scoring 1 point. Continual improvement actions may also be developed by the auditor to drive continual improvement for questions that are meeting the verification requirements. The final audit score will be awarded by TSCBC based on the results of a quality assurance review. A random sampling of audits submitted to the TSCBC will be subject to an on-site verification review.

The OHS COR certificate will be awarded if the audit achieves an overall score of at least 80% and with each element over 50%.

The company is required to conduct an audit each year on or before the anniversary date of the certificate to maintain COR certification and eligibility for the WorkSafeBC rebate.

Support to complete the audit tool is available through the SafetyDriven office. Please contact:

COR Program

Telephone: 604-888-2242 ext.4

Email: cor@safetydriven.ca

# Company Profile

|  |
| --- |
| **Reporting Jurisdiction** |
| [ ]  Interprovincial (HRSDC) | [ ]  Provincial (WSBC) |
| **Current Workforce Count** |
| **Company Employee** | **Contractor** |
| Office: | Company Driver: | Others: | Owner Operators: |
| **Operation Type (Tick all applicable)**  |
| [ ]  Courier[ ]  Dry Bulk[ ]  Dump | [ ]  Flat Deck[ ]  General Freight[ ]  Liquid Bulk | [ ]  Specialized[ ]  Truck Load[ ]  Less than Truck Load | [ ]  Van[ ]  Warehouse[ ]  Others:\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Equipment Type and Count** |
| Van: | Tractor: | Trailer: | Forklift: |
| Others: |  |  |  |
| **Company Facilities Location/Address** |
| [ ]  Office | [ ]  Warehouse | [ ]  Yard | [ ]  Maintenance Shop |
|  |  |  |  |

|  |
| --- |
| **Training** |
| Name of Current Employee(s) that have completed the SafetyDriven SECOR Internal Auditor Training Course:  |  | Date of Training: |  |
|  |  |
|  |  |

# Auditor Information (Auditor responsible for this audit)

|  |  |  |  |
| --- | --- | --- | --- |
| **Auditor Name** |  | **Position** |  |
| **Phone Number** |  | **Email** |  |

[ ]  **This audit has been completed in accordance with the auditor code of ethics. (This box must be checked before submitting audit)**

**Audit Information**

|  |  |  |
| --- | --- | --- |
| **Audit Start Date** | **Audit End Date** | **Audit Report Submission Date** |
|  |  |  |

# 1. Management Leadership and Commitment

For any health & safety program to be successful it is essential for management, including the President and/or owner, demonstrate a commitment to improving worker health and safety. Management must be prepared to actively implement safety initiatives, evaluate the effectiveness of the safety program, and drive continual improvement. The safety program must establish clear expectations and define the roles and responsibilities of everyone in the organization including supervisors, managers, workers, and contractors, including owner operators. Guidelines for compliance with company safety policies, procedures, and regulatory requirements, such as the Canada Labour Code, need to be established and communicated to all employees and contractors.

| **1. MANAGEMENT LEADERSHIP AND COMMITMENT** |
| --- |
| **Question** | **Verification** | **Documentation Required** | **Requirement Met** |
| 1.1 Does the company have a written health and safety policy? | Our company safety policy includes:[ ]  a management commitment to health & safety[ ]  goals & objectives [ ]  a commitment to meet relevant legal  requirements[ ]  the roles and responsibilities of the supervisors,  managers and workers [ ]  an acknowledgement of workers’ right to refuse  unsafe work[ ]  the roles and responsibility of the worker safety  representative[ ]  a commitment to continual improvement[ ]  the signature of current senior management and  dated within 2 years | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 1.2 Is the health & safety policy communicated to all employees and owner operators? | The safety policy is being communicated:[ ]  to all employees and owner operators during  initial worker orientation and at periodic safety meetings | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details:  | Comments:  |
| 1.3 Is management aware of the requirements in the applicable occupational health & safety legislation? | The company is regulated: (check applicable category)[ ]  provincial and Workers’ Compensation Act and  OHS Regulations are available to management and workers, or[ ]  federal and Part II of the Canada Labour Code  and COSH Regulations are available to management and workers | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 1.4 Is there a policy for addressing workforce non-compliance with safety requirements? | A disciplinary policy is established and communicated to the workforce that:[ ]  includes progressive steps to address non- compliance with safety requirements[ ]  a copy of the policy has been provided to all  employees and owner operators | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| **Scoring** |  **X of 4 points achieved** |

# 2. Industry Specific Requirements

WorkSafeBC and industry research has shown that musculoskeletal injuries (MSI’s) and falls from height account for a significant number of occupational injuries in the trucking industry. A key objective of a health & safety program is to develop specific safety practices, policies and procedures that are focused on eliminating the types of injuries and illnesses experienced by workers in the trucking industry.

| **2. Industry Specific Requirements**  |
| --- |
| **Question** | **Verification** | **Documentation Required** | **Requirement Met** |
| 2.1 Has an assessment been conducted to identify the risks of musculoskeletal injuries (MSI) in the workplace? | MSI hazard identification and risk assessment and have been completed to identify:[ ]  work activities with the potential to cause MSI [ ]  potential hazards [ ]  control measures to eliminate the hazards  | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 2.2 Does the company have a written program to control musculoskeletal injuries? | A MSI program has been implemented that includes:[ ]  written safe work procedures [ ]  provision of necessary engineering controls and /  or personal protective equipment[ ]  training for relevant workers | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 2.3 Has an assessment been conducted to identify risks associated with falls from height? | Fall from height hazard identification and risk assessment have been completed to identify:[ ]  work activities with the potential to fall from  height [ ]  potential hazards [ ]  control measures to eliminate the hazard  | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 2.4 Does the company have a written program to control fall from height injuries? | A fall protection program has been implemented that includes:[ ]  written safe work procedures [ ]  provision of necessary engineering control and /  or personal protective equipment[ ]  training for relevant workers | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 2.5 (Optional question) Does the company have a wellness program to encourage employees to maintain a healthy lifestyle? | Our wellness initiatives include: (check all applicable initiatives available)

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | distribution of health information (e.g., nutrition, exercise, stress, and fatigue) |
| [ ]  | [ ]  | a counselling program (e.g., EAP) |
| [ ]  | [ ]  | an employer subsidized fitness program |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| **Scoring**  | **X of 4 points achieved** |
| **Scoring with optional question** | **X of 5 points achieved** |

# 3. Hazard Identification and Risk Control

Every workplace has recognizable hazards to which people are exposed. A hazard is classically defined as any existing or potential condition in the workplace that by itself, or interacting with other factors, can result in an injury and/or illness or other losses. Hazard Recognition and Control is the process of determining those factors likely to cause incidents and then developing corrective actions (controls) to address the identified risk.

The hazard identification and risk control process is the identification, evaluation and control of hazards associated with the workplace. An effective health & safety program ensures that hazards are identified for each task in the workplace. A job hazard analysis should be performed for each role and controls developed to mitigate the potential risk associated with the identified hazard. The implementation of control measures should be according to the following hierarchy:

* + 1. Elimination
		2. Substitution
		3. Engineering controls
		4. Administrative controls
		5. Personal Protective Equipment (PPE)

This section of the audit determines if the hazards have been identified, and if appropriate controls are in place to reduce the risk. It also establishes if a hazard policy has been effectively implemented and communicated to all managers, supervisors, and workers.

| **3. Hazard Identification and Risk Control**  |
| --- |
| **Question** | **Verification** | **Documentation Required** | **Requirement Met** |
| 3.1 Are job tasks identified for all occupations in the workplace? | An inventory of job tasks has been established for: (check all applicable categories)

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | office employees |
| [ ]  | [ ]  | drivers  |
| [ ]  | [ ]  | owner operators |
| [ ]  | [ ]  | warehouse employees |
| [ ]  | [ ]  | maintenance personnel  |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment: |
| 3.2 Have the potential hazards and required risk controls associated with the job tasks been identified and documented?  | A risk assessment record has been created documenting: [ ]  critical job tasks[ ]  potential hazards[ ]  provision of necessary engineering controls,  administrative controls and / or personal protective equipment (PPE) | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 3.3 Have all the relevant identified hazards and risks been communicated to all affected workers? | The identified hazards and risks have been communicated to all workers through:[ ]  safety orientation[ ]  on-the-job training[ ]  safety meetings | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 3.4 Are written safe work procedures and rules established based on the results of the risk assessment? | Written safe work procedures and rules have been created covering (check all applicable categories):

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | vehicle driving  |
| [ ]  | [ ]  | forklift and other mobile equipment operation |
| [ ]  | [ ]  | loading / unloading |
| [ ]  | [ ]  | handling of hazardous materials and dangerous goods |
| [ ]  | [ ]  | office ergonomics |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 3.5 Is required personal protective equipment made available and used by workers? | Observe work sites, vehicles, and work activities to verify PPE identified in the risk assessment is made available and being used by workers (check all applicable categories):

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | fall protective equipment  |
| [ ]  | [ ]  | hard hat |
| [ ]  | [ ]  | safety boots |
| [ ]  | [ ]  | high visibility vest |
| [ ]  | [ ]  | gloves |
| [ ]  | [ ]  | others: |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 3.6 Is there a maintenance program to ensure equipment and vehicles are in safe condition? | The preventive maintenance program is established including:[ ]  an inventory of tools, equipment, vehicles and  facilities [ ]  schedule of maintenance required[ ]  tracking of maintenance completed[ ]  government inspection records  | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| **Scoring**  | **X of 6 points achieved** |

# 4. Training and Certification

Training should be an ongoing component of your health & safety program. All employees must be trained and instructed on safe work procedures. Owner operators are an integral part of the General Trucking and Moving & Storage sector. Many trucking companies have some drivers who are owner operators working on contract for the company. For the purpose of managing safety of the workforce, owner operators in the trucking industry are generally treated much the same as regular company workers in terms of training, evaluating competency and monitoring performance. When training workers, it is vital that all workers and owner operators are provided job specific training to understand the potential hazards and risks associated with their work activities and the required safe work practices and procedures to be followed. Job specific training enables new workers to understand the operating standards of the company. When there are changes in business processes and operations, refresher training should be provided.

The requirements of this audit element focus primarily on occupational health and safety needs. However, employers must define the required skills for various occupations and to test employees’ skills and ability for operating within safe limits such as using a driver road testing program and forklift operator training and qualification program.

There is a distinct difference between certification and competency. Certification shows a level of education or training received. Competency is defined as having the ability, skill, proficiency, and expertise to perform the task(s) in a safe, reliable, reproducible manner. Certain employees, such as first aid attendants and lift truck operators, are required by legislation to maintain specific certifications to perform required tasks. Worker competence assessment must be conducted for each worker at least annually.

| **4. Training and Certification**  |
| --- |
| **Question** | **Verification** | **Documentation Required** | **Requirement Met** |
| 4.1 Are all newly hired, returning, and transferred workers provided with a safety orientation before start working? | Orientation training is provided to all newly hired, returning, and transferred workers and records are maintained covering: (check all applicable categories)

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | office employees |
| [ ]  | [ ]  | drivers |
| [ ]  | [ ]  | owner operators |
| [ ]  | [ ]  | warehouse employees |
| [ ]  | [ ]  | maintenance personnel  |
| [ ]  | [ ]  |  |
| [ ]  | [ ]  |  |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment: |
| 4.2 Does the safety orientation include the necessary information and instruction to ensure health and safety at work?  | The safety orientation program includes the following information and instruction: [ ]  health and safety policy[ ]  health and safety responsibilities[ ]  job hazards and safe work procedures [ ]  access to legislation and related OH&S materials[ ]  employee right to know, to participate and to  refuse unsafe work[ ]  contact information for supervisors and H&S  representative [ ]  first aid and emergency procedures[ ]  working alone[ ]  workplace violence[ ]  Workplace Hazardous Material Information  System (WHMIS) [ ]  Dangerous Goods[ ]  personal protective equipment[ ]  reporting of incidents and injury[ ]  return to work procedures | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 4.3 Has training been provided to employees at all levels with respect to their duties and responsibilities?  | Training has been provided to all levels of workers and records are maintained: (check all applicable categories)

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | safe driving  |
| [ ]  | [ ]  | inspection and maintenance of vehicle |
| [ ]  | [ ]  | mobile equipment operation |
| [ ]  | [ ]  | working at height |
| [ ]  | [ ]  | MSI prevention procedure |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 4.4 Are required employee certifications maintained and do they meet legislative requirements? | All required employee certifications are tracked including: (check all applicable categories)

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | drivers’ abstracts and licences |
| [ ]  | [ ]  | lift truck operator certificates |
| [ ]  | [ ]  | first aid certificates |
| [ ]  | [ ]  | dangerous goods certificates |
| [ ]  | [ ]  | WHMIS |
| [ ]  | [ ]  | others: |

  | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 4.5 Is worker competency and knowledge of safe performance standards within their assigned tasks evaluated periodically? | Worker competence is evaluated by interview, observation, and documentation review at least annually and re-assessed if a worker is involved in an incident. Evaluations completed for (check all applicable categories):

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | drivers |
| [ ]  | [ ]  | mobile equipment operator |
| [ ]  | [ ]  | maintenance workers |
| [ ]  | [ ]  | office workers |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| **Scoring**  | **X of 5 points achieved** |

# 5. Workplace Inspection

Workplace inspections assist in identifying hazards in the workplace and provide the opportunity to correct hazardous conditions to ensure a safe working environment. The inspection process evaluates compliance with company standards and regulatory requirements on both the physical condition of the facilities, tools, equipment, and materials being handled as well as the work practices being carried out.

All levels in the company have a role in the inspection program:

* correcting the hazards immediately if capable
* reporting hazards to supervisor or manager
* ensuring follow up actions are taken to correct the identified hazards
* communicating the hazards and corrective actions taken

| **5. Workplace Inspection**  |
| --- |
| **Question** | **Verification** | **Documentation Required** | **Requirement Met** |
| 5.1 Does the company have a workplace inspection program? | A workplace inspection program has been established and includes: [ ]  management responsibilities to ensure inspections are conducted and corrective actions taken on identified hazards[ ]  worker responsibilities in conducting inspections and reporting hazards[ ]  type and frequency of inspections  | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 5.2 Are inspection checklists developed based on the operating risks of the company?  | Inspection checklists have been developed to identify hazards covering all operating aspects of the company including: (check all applicable categories)

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | vehicles |
| [ ]  | [ ]  | material handling equipment |
| [ ]  | [ ]  | tools |
| [ ]  | [ ]  | buildings |
| [ ]  | [ ]  | yards |
| [ ]  | [ ]  | work practices |

 | Yes[ ]  | No [ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 5.3 Has inspection training been provided to employees with inspection duties and responsibilities?  | Inspection training has been provided to all employees with inspection duties and responsibilities covering:[ ]  inspection and reporting responsibilities[ ]  legal requirements[ ]  safety standards | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 5.4 Are inspections being carried out according to the required frequency? | Inspection reports are maintained showing all inspections are completed according to required frequency: (check all applicable categories)

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | vehicles |
| [ ]  | [ ]  | material handling equipment |
| [ ]  | [ ]  | tools |
| [ ]  | [ ]  | buildings |
| [ ]  | [ ]  | yards |
| [ ]  | [ ]  | work practices |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 5.5 Are identified deficiencies corrected according to established time frames and with regard to the risk level of the hazard? | A corrective action log is established to track all actions taken on inspection findings:[ ]  actions are completed according to the target completion dates[ ]  review and signed off by management [ ]  corrective action communicated to employees | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| **Scoring**  | **X of 5 points achieved** |

# 6. Incident Investigations

A comprehensive health & safety program can make a significant impact on your company by reducing costs due to injuries and / or property damage. The goal of a safety program is zero incidents, yet even while working towards this goal incidents can occur. Incident investigation is a valuable tool to identify the underlying factors and immediate causes leading to the incident. The objective of an incident investigation is to identify and implement preventive and corrective measures to ensure safety of the work environment and prevent similar incidents from happening again.

| **6. Incident Investigation**  |
| --- |
| **Question** | **Verification** | **Documentation Required** | **Requirement Met** |
| 6.1 Does the company have a written incident investigation program outlining the process of reporting and investigation of incidents and near misses? | An incident investigation program has been established and includes assigning responsibilities and procedures covering: [ ]  reporting incidents and near misses[ ]  conducting investigations[ ]  identifying immediate and root causes[ ]  implementing recommendations [ ]  communicating results of investigation and  improvement actions taken to employees[ ]  notifying and reporting to relevant authorities  (e.g. WSBC, HRSDC)[ ]  follow up process  | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 6.2 Does the incident investigation program outline the types of incidents that must be investigated?  | The incident investigation program requires the following incidents to be investigated: [ ]  vehicle collisions[ ]  injuries[ ]  property damage[ ]  near misses | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 6.3 Has incident investigation training been provided to employees with incident investigation duties and responsibilities?  | Investigation training have been provided to all employees with investigation duties and responsibilities covering:[ ]  investigation and reporting responsibilities[ ]  legal requirements[ ]  investigation process  | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 6.4 Are investigations being carried out according to the establish investigation program? | Reports are maintained showing all required incidents are being investigated: (check all applicable categories)

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
|  [ ]  | [ ]  | vehicle collisions |
| [ ]  | [ ]  | injuries |
| [ ]  | [ ]  | property damage |
| [ ]  | [ ]  | near misses  |
| [ ]  | [ ]  | no incidents requiring investigation in the past 12 months |
|  |  |  |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |

| **6. Incident Investigation**  |
| --- |
| **Question** | **Verification** | **Documentation Required** | **Requirement Met** |
| 6.5 Are recommendations generated from the investigation implemented according to established time frames with respect to the risk level of the hazards? | A corrective action log is maintained to track the implementation of all recommendations arising from investigations:  | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
|

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | recommendations completed according to the target completion dates |
| [ ]  | [ ]  | signed off by management oncorrective action taken and communicated to workers |
| [ ]  | [ ]  | no incidents requiring investigation in the past 12 months |

 | Details: | Comment:  |
| **Scoring**  | **X of 5 points achieved** |

# 7. Emergency Preparedness

Emergencies and disasters can be minimized through adequate planning. The more prepared you are for an emergency, the faster you will be able to act to minimize panic and confusion when an emergency occurs and be able to mitigate losses that can result. The Emergency Preparedness Plan should be based on the identified risks. This section of the audit will review the Emergency Preparedness policy and procedures to verify that it is above the minimum standard and meets the organizations needs.

| **7. Emergency Preparedness**  |
| --- |
| **Question** | **Verification** | **Documentation Required** | **Requirement Met** |
| 7.1 Does the company have a written Emergency Response Plan (ERP) to guide the emergency response actions in the case of an emergency? | An emergency response plan has been established with assigned responsibilities and procedures for: [ ]  reporting emergencies [ ]  actions to be taken by management and workers [ ]  notifying and reporting to relevant authorities  (e.g., WSBC, HRSDC) as per legislative requirements | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 7.2 Does the ERP outline the steps to be taken in the event of an emergency?  | The ERP includes the steps to be taken from the onset of emergency reported and to ensuring safety of personnel involved. The ERP addresses the following types of emergencies: [ ]  vehicle crashes/incidents[ ]  injuries[ ]  fire[ ]  natural disasters[ ]  ­­­­­­­­­­­­­­­­­­ | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 7.3 Does the ERP specify the level of first aid training and emergency response equipment required to meet regulatory requirements?  | Qualified first aid personnel and appropriate emergency response equipment is available at all work locations: [ ]  first aid personnel with current certificate as per  regulatory requirement [ ]  first aid facilities and fire extinguishers in  buildings[ ]  first aid kit and fire extinguisher in vehicles  | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 7.4 Have emergency response drills been conducted to test the effectiveness of the ERP and to enhance employee awareness? | Emergency response drills have been conducted at least annually involving employees: (check applicable categories conducted)

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | fire evacuation |
| [ ]  | [ ]  | vehicle collision  |
| [ ]  | [ ]  | injury |
| [ ]  | [ ]  | natural disaster |
| [ ]  | [ ]  | others |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| **Scoring**  | **X of 4 points achieved** |

# 8. Program Administration

The health and safety management system should be integrated into your business operations. A well administered health and safety management system will assist your company in driving continual improvement in both its safety and operational practices. Often a health & safety program is developed and implemented yet safety performance is not improving or is stagnant. The objective of this section is to provide you with the appropriate tools to maintain an effectively health & safety system and to set safety improvement objectives.

This portion of the audit requires the auditor to look into and analyze the organization’s safety program administration process.

| **8. Program Administration**  |
| --- |
| **Question** | **Verification** | **Documentation Required** | **Requirement Met** |
| 8.1 Does the company have a written process to administer the health and safety management system and to evaluate its effectiveness? | A written process has been established including: [ ]  an assigned person to be the coordinator of the  health and safety program[ ]  the appointment of a worker health & safety  representative [ ]  an annual audit of the health & safety  management system[ ]  implementation of improvement actions  addressing the identified audit deficiencies | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 8.2 Is improvement action plan being developed to address deficiencies and continual improvement opportunities identified by the annual audit? | An improvement action plan has been developed to track the implementation of audit deficiencies and continual improvement opportunities including:[ ]  assignment of responsibilities[ ]  target completion date[ ]  verification of actions completed | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 8.3 Are improvement actions being reviewed and signed off by company owner / senior management?  | Audit improvement actions have been reviewed and approved by company owner / senior manager: [ ]  company owner / senior manager signed and  dated the audit improvement action plan | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 8.4 Are improvement actions being followed up to ensure completion? | Implementation of improvement actions have been reviewed by the auditor to ensure actions are completed according to the target completion date:

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | All improvement actions are completed within the target completion date |
| [ ]  | [ ]  | first certification audit, improvement action plan being developed based on the result of this audit |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 8.5 Have incident statistics been maintained and analysed to identify trends and improvement areas?  | The company had the following number of incidents for the past 3 calendar years: (all boxes must be completed, enter "0" if no incident or SAW/RTW plan required)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Year** | **1st Aid** | **Medical Aid** | **Lost Time Injury** | **SAW/****RTW Plans** | **Preventable Vehicle Collision** | **Near Miss** |
| 2019 |  |  |  |  |  |  |
| 2020 |  |  |  |  |  |  |
| 2021 |  |  |  |  |  |  |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment: |
| 8.6 Have improvement actions been identified based on the results of incident statistical analysis?  | Results of incident statistics analysis are reviewed, and improvement actions identified: (check applicable category)

|  |  |  |
| --- | --- | --- |
| Applies |  Verified | Requirement |
| [ ]  | [ ]  | improvement actions developed and recorded in the current year audit improvement action plan |

 | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 8.7 Does the company have a process to review and update its health & safety program documents?  | A process has been established for management and the worker health & safety representative to review and update the health and safety program:[ ]  a record of amendments of the health and safety  program is maintained [ ]  the amendment record is signed off by both  management and worker health & safety representative | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| **Scoring**  | **X of 7 points achieved** |

# 9. Contractor Management

The goal of this element is to provide trucking companies with the key steps for developing and maintaining a contractor management system to manage the occupational health and safety hazards of work activities being conducted by contractors other than owner operators. This element applies to companies that outsource work to contractors and must be completed in order to qualify for the COR certification. Example of contracting include, subcontracting freight delivery to another trucking company or having contractors work within the company's facilities to do vehicle maintenance and repair. You must ensure that contractors are aware of and complying with the company's occupational health and safety standards.

**Please verify whether Element 9 - Contractor Management applies to your company:**

[ ]  The company hires contractor(s) other than owner operators. Therefore, Element 9 is applicable and must be assessed.

[ ]  The company does not hire contractors other than owner operators. Therefore, Element 9 is not applicable, and this element is to

 be scored "Not Applicable" (N/A).

| **9. Contractor Management**  |
| --- |
| **Question** | **Verification** | **Documentation Required** | **Requirement Met** |
| 9.1 Does the company have a written process to select contractors? | A written process has been established for the selection and the evaluation criteria include: [ ]  definition on the scope of work activities[ ]  hazard assessment[ ]  personnel suitability[ ]  training / qualifications[ ]  safety performance [ ]  contractor experience and reference check | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 9.2 Are formal agreements established between the company and contractors on health and safety requirements? | Health and safety requirements governing contract activities are established as part of the contractor agreement:[ ]  contractors have signed off on their commitment  to comply with company's health & safety requirements | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 9.3 Are contractors made aware of worksite hazards and applicable safe work procedures?  | Training has been provided to all new and existing contractors through:[ ]  safety orientation[ ]  annual refresher training to review company health & safety standards  | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 9.4 Are contractors evaluated on their competency to perform assigned job tasks?  | A contractor evaluation program is established to ensure all contractors are evaluated at least annually. Records are retained documenting the results of evaluation including:[ ]  observation of work activities [ ]  inspection of tools, equipment, and worksites[ ]  interviewing contractor employees on performance and work activities  | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| 9.5 Does the company include contractors in ongoing safety management by ensuring that they are consistently aware of changes in applicable procedures, hazards and/or other safety initiatives?  | Contractors are included in the company's safety communication systems and records of contractor participation are maintained:[ ]  quarterly safety meeting[ ]  Distribution of health & safety information (e.g. TSCBC monthly safety tips) | Yes[ ]  | No[ ]  | Yes[ ]  | No[ ]  |
| Details: | Comment:  |
| **Scoring**  | **X of 5 points achieved** |

# Scoring Summary

|  |  |  |  |
| --- | --- | --- | --- |
| **Element** | **Available****Points** | **Employer Score** | **TSCBC Score** |
| **Not****Applicable** | **Awarded Points** | **%** | **Not****Applicable** | **Awarded Points** | **%** | **Notes** |
| 1. Management Leadership and Commitment | 4 |  |  |  |  |  |  |  |
| 2. Industry Specific Requirements | 5 |  |  |  |  |  |  |  |
| 3. Hazard Identification and Risk Control | 6 |  |  |  |  |  |  |  |
| 4. Training and Instruction | 5 |  |  |  |  |  |  |  |
| 5. Workplace Inspection | 5 |  |  |  |  |  |  |  |
| 6. Incident Investigation | 5 |  |  |  |  |  |  |  |
| 7. Emergency Preparedness | 4 |  |  |  |  |  |  |  |
| 8. Program Administration | 7 |  |  |  |  |  |  |  |
| 9. Contractor Management  | 5 |  |  |  |  |  |  |  |
| **Health & Safety Management Total** | 46 |  |  |  |  |  |  |  |

# Documentation Submission

Companies completing this audit are required to maintain current safety policies, procedures, and records to demonstrate implementation of the occupational health and safety management system and the injury management / return to work program. As part of the quality assurance review process TSCBC will select a minimum of one sample document for each element to be submitted by the auditor to demonstrated compliance with the requirements of the audit protocol. All documents including policies, procedures and records submitted must be dated within the past 12 months for the audit date. Documentation submitted must meet the requirements of each question to be awarded 1 point.

**2022 Documentation Submission List**

Please submit one sample document for the following questions:

|  |  |  |
| --- | --- | --- |
| **Element** | **Question** | **Documentation Attached** |
| **Yes** | **No** | **N/A** |
| 1 | 1.1 Does the company have a written health and safety policy? | [ ]  | [ ]  |  |
| 2 | 2.2 Does the company have a written program to control musculoskeletal injuries? | [ ]  | [ ]  |  |
| 3 | 3.2 Have the potential hazards and required risk controls associated with the job tasks been identified and documented? | [ ]  | [ ]  |  |
| 4 | 4.5 Is worker competency and knowledge of safe performance standards within their assigned tasks evaluated periodically?Submit completed worker competence assessment checklists:

|  |  |
| --- | --- |
| No. of Workers  | No. of Checklist Required |
|  - 5 | 2 |
| 6 - 10 | 3 |
| 11 - 13 | 4 |
| 14 - 16 | 5 |
| 17 - 19 | 6 |

 | [ ]  | [ ]  |  |
| 5 | 5.4 Are inspections being carried out according to the required frequency? | [ ]  | [ ]  |  |
| 6 | 6.4 Are investigations being carried out according to the establish investigation program? (Note: If you have no incidents requiring investigation, submit a blank form.) | [ ]  | [ ]  |  |
| 7 | 7.2 Does the ERP outline the steps to be taken in the event of an emergency? | [ ]  | [ ]  |  |
| 8 | 8.5 Does the company have a process to review and update its health & safety program documents? | [ ]  | [ ]  |  |
| 9 | 9.4 Are contractors evaluated on their competency to perform assigned job tasks? | [ ]  | [ ]  | [ ]  |

# Improvement Action Plan

The Certificate of Recognition program requires companies participating in the program to address any audit-deficiencies to drive continual improvement. Based on the results of your current audit submission please complete the following improvement action plan stating your commitment to improve the company's health & safety management system and injury management / return to work program.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Audit Deficiency** | **Improvement Action** | **Person Responsible** | **By When** | **Action Status** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**Senior Management Approval**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Name: |  | Signature: |  | Date: |  |

# TSCBC Audit Review Feedback

|  |
| --- |
|  |

# Definitions

***Administrative Controls*** Measures established by an employer to eliminate or minimize the risk to workers by changing the way work is done. Examples include timing of work, policies and other rules and work practices such as standards and operating procedures.

***Alternate Duties*** Plan under which the worker can return to pre-injury/illness job site but not former job. Worker may act as a helper for another job or can perform work that is specifically reserved for injured workers. The objective is to keep the worker at the job site, possibly while receiving treatment at the same time. Alternate Duties must be meaningful and productive.

***Audit*** A review of systems and processes within the program to determine how the program is working against the stated intentions.

***Audit Scope:*** Under the standards & guidelines, the auditor must ensure that the audit covers all the operations of the identified employer. If the operations at each terminal are the same, then the auditor can audit a representative operation. If there is another terminal/location with significant differences in work practices, duties and operations, the auditor may need to visit the secondary location.

***Competent*** Properly qualified, suitably trained and with sufficient experience to perform the required task with limited supervision through education, training, experience, or a combination of those three items.

***Controls*** Measures that are used to eliminate the risk to workers or, if elimination is not possible, minimize the risk

***CP*** Acronym for “Certifying Partner” (WSBC terminology). The trucking CP is the Trucking Safety Council of BC.

***Due Diligence*** The reasonable level of care taken to protect the well-being of employees or co-workers. To meet the standard of due diligence, you must take all precautions that are reasonable in the circumstances so that you can carry out your work and your health and safety responsibilities.

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

***Education*** A process by which knowledge (theory) is conveyed.

***Effective*** Within the context of this audit document, the word “effective” means producing or capable of producing an intended result or having the intended effect.

***Employee*** Any person employed by a company.

***Employer*** All aspects of an organization, business, firm, or entity that is registered under one WorkSafeBC account number.

***Engineering Controls*** Physical changes to jobs that control exposure to risk. Engineering controls act on the source of the hazard and control employee exposure to the hazard without relying on the employee to take self-protective action or intervention. Examples include changing the handle angle of a tool, using a lighter weight part and installing a muffler onto a noisy engine.

***Hazard*** A thing or condition that may expose a person to risk of injury, illness, or occupational disease

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

***Incident*** An incident or other occurrence that resulted in or had the potential for causing death, injury, illness, occupational disease or damage to equipment or property. Incidents include:

* incidents in which a worker is injured or results in a fatality
* incidents in which no one is hurt but equipment or property is damaged
* near miss

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

***Injury Management /***

***Return to Work Coordinator*** An employee, or 3rd party provider, assigned the responsibility of overseeing the Injury Management/RTW Program. (Actual job titles will vary depending on the company.)

***Injury Management/***

***RTW Program***A detailed planned process to manage the impact of work-related injury/illness.

***LTI*** Loss of Time Incident occurs when the worker is unable to return to their normal duties at the next scheduled shift due to injury.

***Modified/ Light Duties*** Duties assigned to injured workers when they return to their own jobs with changes to specific duties or method of how those duties are to be performed, e.g., only lift to a specific height or up to a specific weight or additional equipment is provided, such as footstool or ladder, or only perform specific parts of the regular duties.

***MSI*** Musculoskeletal Injuries

***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 a hazardous condition exists or acts that need to be corrected.

***Owner-Operator*** An owner of a vehicle working under contract for a motor carrier. An owner-Operator is not an employee.

***PPE*** Personal Protective Equipment, which includes high visibility vests, safety glasses, chainsaw pants, hard hats, hearing protection, gloves, proper footwear, etc.

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

***Risk*** A weighting of the possibility of an incident occurring.

***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) a hazard*.*

***Root Cause*** The underlying reason that an incident occurred. Root Causes are useful because they point toward deficiencies in the safety system; and they are correctable.

***SAW*** A stay at work process allows an injured employee to return to work with light or modified duties immediate without time lost.

***Standard*** The defined measure of effective performance.

***Worker*** A worker in this document specifically means an individual engaged as an employee by the company to conduct work on its behalf.

***Workplace*** Means any place where employee is engaged in work for the employee's employer.