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**Audit Protocol**

**Designed for Large Employers   
*(20 or more employees)***

***Version 1.3***

***Revised on December 16, 2021***

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# ****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 & 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; industry associations recognized by WorkSafeBC as having in depth industry specific knowledge and the ability to promote workplace health & safety initiatives to industry. Employers who choose to take part in the COR program must implement a comprehensive management system in health & safety (OH&S) which exceeds the regulatory requirements.

This system is audited and if it meets the standard set by the Certifying Partner the employer will be awarded an Occupational Health & Safety Certificate of Recognition (OH&S COR)

The financial incentive for employers who achieve COR certification, and who are in good standing with WorkSafeBC, is a 10% rebate in workers compensation premiums. Employers who achieve the OH&S COR are entitled to a 10% rebate of their WorkSafeBC base assessment. This rebate is awarded in the year following COR certification.

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

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

The Council’s primary objective is to establish itself as a key agency representing the occupational health and safety needs of the trucking industry in BC by providing services and programs that will influence a reduction in workplace injuries and fatalities.  It provides a leadership role by advocating for safety improvements where required and supporting ongoing research on issues of industry safety and performance.

# Instructions for completing the Audit

SafetyDriven-TSCBC has developed this audit document to enable employers with 20 or more employees, to measure the effectiveness of their Health & Safety Management systems. Specific training is required to use this document. It is essential that the auditor have industry specific and auditing knowledge to conduct a successful audit.

TSCBC COR Certification requires that COR applicants receive certain training including:

* Internal Auditor training
* Health & Safety Program Development training
* Senior Management/Owner orientation
* Injury Management/Return to Work training

Audits are a management tool for measuring the performance of 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.

# Audit Preparation

1. **Company Information**

To complete a successful audit it is important that you obtain as much background information as possible about the organization. Look for things such as;

* An organizational chart
* A written description of the company’s operations
* WorkSafeBC Classification Unit(s), account number and any injury statistics
* Size of the company
* Any involved unions
* Geographic dispersion
* Regulations / legislation applicable to the company’s operations
* Any previous audits or action plans
* Contact information for designated audit coordinator

1. **Audit Confirmation Letter**

You must verify by letter with the company, the following information:

* Date , time and location of the pre-audit meeting
* Names/positions of the people that should be in attendance at the pre-audit meeting
* Availability of the audit document
* Date, time and location of the audit
* Number of management, regular workers, and/or temporary workers to determine sample size
* Personnel designated as the key contact(s) for the auditor while on site
* Availability of quiet, comfortable areas for interviews
* PPE (Personal Protective Equipment) requirements
* Availability of required health & safety documentation (health & safety manual, orientations, inspections, etc)

1. **Gather Audit Tools**

Gather the tools you will require to perform the audit.

* Note paper and pens
* Appropriate personal protective equipment
* Copies of the current applicable legislation/regulations
* The TSCBC audit tool

1. **Pre-Audit Site Tour**

You should arrange for a site tour of the facility with a knowledgeable company employee as an escort to ensure that you receive a safety orientation and are familiar with the company operations.

1. **Pre-Audit Meeting**

You should arrange to meet the company representative(s) prior to the audit to address the following items:

* Purpose and scope of the audit
* Audit process (documentation review, interviews and observation)
* Audit sampling requirements and schedule
* Minimum performance standard to achieve COR certification
* Confidentiality requirements of the auditor
* TSCBC quality assurance review process
* Answer any company concerns or questions

# Conducting the Audit

There are three information gathering methods for evaluating the effectiveness of the health & safety management system and the return to work program.

D = Documentation

O = Observation

I = Interview

**Documentation Review**

Documentation review is the process of reviewing the health & safety manual and other safety records (i.e. hiring and orientation, workplace inspections, safety meetings). The auditor is looking for documents that describe the policies and practices in place at the time of the audit. Health and safety records are typically checked for completeness such as dates, frequency, agenda items, signature, senior management endorsement and revision dates.

Documents that need to be reviewed may include:

* Company Health & Safety Manual
* Hazard and Risk Assessments
* Safe work practices
* Safe work procedures
* Personal Protective Equipment policies
* Completed Accident Investigation reports
* Workplace Inspection forms
* Emergency Response Plans
* Action plans
* Joint Health & Safety Committee (JHSC) minutes

If a document cannot be produced or if it does not meet the criteria, points may not be awarded.

**Observational Tour**

The purpose of the site observational tour is to confirm the information that was gathered during the documentation review and obtain additional information that will be confirmed during the interview process. It is important that you observe whether or not the organization’s employees are following the policies & procedures as outlined in the health & safety program and if they are working in accordance with applicable regulatory requirements. You should also note the general site conditions, although the observational tour is not intended to be a detailed site inspection.

During the pre-audit meeting you will verify worksite locations and the nature of the operations at each site with the employer. If there is a significant change of operations at any site, the site must be observed as part of the observational tour to ensure that site specific hazards are addressed and workers are following the specific safe work practices identified.

It is crucial that you observe a representative sample of worksites. As an auditing standard, one third of all active worksites must be visited to provide you with enough data to validate findings.

**Interviews**

It is essential that you interview a representative sample of the company work force including senior management, mid-level managers, supervisors, JHSC representatives and workers. Interview questions need to be designed so as to verify that the systems and activities related to the audit are in place. Questions specific to each of these groups are included in the audit document. Interviews must be conducted on a one on one basis. You must ensure that you follow proper protocol and advise all participants at the onset that all of the information disclosed during an interview will remain strictly confidential.

Work through each question. Use a check mark for a positive response and an X for a negative response in the interview column to verify or confirm an answer

**Note**: To award points for an all or nothing response, a greater than 50% total must be obtained to award any points. Unless otherwise specified, to award points for a range of points question, the number of positive responses must equal the percentage of the total points possible. (i.e. 20 out of 50 positive answers 20/50 = 40% = 4 points out of 10)

**Interview Sample Sizes**

It is crucial that you interview a representative sample of the workforce. The sample must represent all the aspects of the business and its operations (i.e. each shift, terminal, area of work, etc.) and provide you with enough data to validate the findings.

The Sample Size Chart provides the auditor with the required interviewee sample numbers.

For example, a company with 150 employees would require a minimum of 25 interviews. You must ensure a cross section of interviews that represent a sample of the workplace and its operational organizational chart.

You have the authority to conduct as many interviews as you deem necessary to verify the safety management system proficiency. Deviation from the recommended sample size is permitted however you must provide justification to SafetyDriven-TSCBC as to the reasons for the deviation.

When conducting the interviews use the interview sheets provided as a guideline and use paraphrasing as required to clarify questions. Specific sheets are available for managers, supervisors and workers. It is standard that the average interview should last about 20 minutes if interviews are lasting longer; it is more of an interrogation.

Owner / Operators are considered part of the total workforce. For the purpose of the determining interview sample size for an audit, owner operators will be included in the total workforce count. For example if a company has 25 employees and 25 owner operators, the total number of interviews required will be based on a total workforce count of 50. Therefore, 19 interviews are required according to the interview sample chart and the interview sample should include managers, supervisors, workers and owner operators.

**Awarding Points**

The audit tool requires that points to be awarded for each question. Every question has clear scoring instructions that describe how to verify the answers and determine the number of points to be awarded. Each question includes the allowable points in bold brackets. Points are awarded using various verification methods as such as “all or nothing” or a proportional basis. You must read the scoring instruction for each question carefully to ensure points are awarded accurately. A weighting factor has been included in the final scoring summary, in compliance with WorkSafeBC COR Standards and Guidelines.

Questions may be deemed “not applicable” if they do not apply to a company. Justification must be provided in the comments box.

Each question must be accompanied with comments that describe the factors considered to reach the conclusion (i.e. what document was reviewed and where it was found). While it is important to record where deficiencies are found, it is equally important to record where the organization has exceeded the standard. This will aid in future audits and provide justification for the audit score.

In some cases it is not possible to provide a simple yes or no answer to a question. In these cases professional judgment is required. Justification for the points awarded must be provided in the comments section that corresponds to the appropriate question.

Recommendations are required for each question when full points are not awarded. These recommendations must indicate how the company can improve their program. The notes and recommendations will form the basis for the audit executive summary. It is up to the auditor to develop recommendations which are appropriate to the audit question as well as to the organization. Recommendations should follow the SMART principle.

* Simple
* Measurable
* Achievable
* Realistic
* Timely

**Unless stated otherwise in each question, Documentation questions are scored on an all or nothing basis and**

**Observation questions must be based on an 80% positive result.**

**Summarizing the Audit**

**Close Out Meeting**

Once the audit is complete, a close out meeting should take place, usually involving the same personnel that attended the pre-audit meeting. At this time the audit document is reviewed in its entirety. You should give credit to the organization in those areas where they have performed well and provide smart recommendations for improvement in areas that were found deficient. You should also recommend that the company develop an action plan based on the results. Once the meeting is concluded, allow for a question and answer period and have the company’s senior executive sign off on the audit summary sheet on behalf of the company.

**Audit Report**

The auditor’s executive summary is an important part of the audit. The summary should address the positive and negative findings in each audit element. The executive summary should also outline the overall recommendations arising from the audit. The company should be able to develop an action plan based on the findings and recommendations of the audit report.

The audit report should include:

* Executive Summary
* Organizational Chart
* Justification for interview sample and observational tour
* Completed TSCBC audit document

1. Management Leadership and Commitment
2. Industry Specific Requirements
3. Hazard Recognition and Control
4. Training and Instruction
5. Workplace Inspection
6. Incident Investigations
7. Emergency Preparedness
8. Program Administration
9. Joint Health and Safety Committee
10. Contractor Management

* Scoring summary

**Audit Improvement Action Plan**

The employer is required to develop a written improvement action plan after each audit. The action plan provides the employer with the opportunity to respond to the audit. Documented improvement action plans demonstrate a level of DUE DILIGENCE provided the plan has been effectively implemented. The improvement action plan must be submitted by the employer when requesting TSCBC to conduct a quality assurance review of the completed audit. Instructions on how to submit the improvement action plan are provided in the TSCBC online Information Management System

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**1. Management Leadership and Commitment**

For any health & safety program to be successful, it is essential that it have the commitment and active leadership of management up to and including the President and/or CEO. Management must also be prepared to actively implement safety initiatives and proactively manage them. Leadership includes setting the tone for safety in the company through the health & safety policy that includes management’s commitment to safety, clear expectations and the role and responsibilities of everyone including supervisors, managers and workers. The Management Leadership and Commitment section measures and evaluates management’s conduct in regard to the OH&S program. It also establishes that the standard requirements for safety documentation, as required by the Certificate of Recognition Standards and Guidelines are in place and that the policies and procedures are compliant with, or exceed the requirements set by OH&S Regulations and the Canada Labour Code where applicable.

| **1.1 Health and Safety Program MANAGEMENT LEADERSHIP AND COMMITMENT** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the company have a written health and safety policy?  **(0-5 points)** | **D (0-5)** Review health and safety policy.  If the policy contains a statement of intent or safety objective, award 3 points. If the policy contains a commitment to continual improvement, award 2 points. | **O** | **D** | **I** | **Total**  **/5** |
|  | | | |
| 2. Is the policy signed by the company’s current senior management (President, CEO or senior operations manager) and dated within the current year?  **(0, 6 points)** | **D (0, 6)** Ensure policy is signed by the current senior management (President, CEO or Operations Manager).  If the signature is on the policy and the policy is dated, award 6 points. | **O** | **D** | **I** | **Total**  **/6** |
|  | | | |
| 3. Does the policy discuss health and safety responsibilities of management, supervisors and workers?  **(0-20 points)** | **D (0-20)** Verify that the policy describes a commitment statement from senior management. If yes award 5 points.  If the policy document identifies:   1. Responsibilities of management, award 5 points 2. Responsibilities of supervisors, award 5 points 3. Responsibilities of workers, award 5 points | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 4. Do supervisors and managers effectively communicate the OHS policy to workers?  **(0-15 points)** | **D (0-5)** Review documentation such as new hire documentation, supervisor journal or safety meeting records ensure there is signed documentation exhibiting that the policy has been communicated and proof that their understanding of the policy has been evaluated. (i.e. testing, interview notes from hiring etc)  **I (0-10)** Interview a representative sample of various workers to determine if the policy has been communicated to them.  Award points based on % of positive responses.  (Up to 20% = 2points, 21-40% = 4 points, 41-60% = 6 points, 61 – 80% = 8 points, and 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 5. Is the policy readily available to all employees?  **(0, 5 points)** | **O (0, 5)** Review worksites to determine if the policy is posted in areas accessible to workers, such as lunchrooms, coffee rooms or bulletin boards. For offsite workers; such as drivers; the policy can be provided as part of a health & safety manual. If there is evidence that the policy is readily available, award 5 points. | **O** | **D** | **I** | **Total**  **/5** |
|  | | | |
| 6. Does the company policy make reference to the requirement to comply with appropriate regulations?  **(0, 5 points)** | **D (0, 5)** Review health and safety policy.  If the policy contains a statement which identifies the requirement to comply with relevant OHS regulatory requirements award five points. | **O** | **D** | **I** | **Total**  **/5** |
|  | | | |

**Roles and Responsibilities** - Each party in the workplace, managers, supervisors and workers are all stakeholders in health & safety and have set roles and responsibilities in the program. It is important to have a well established chain of responsibility and that each person is committed and understands their role in the success of the health & safety program’s implementation, ongoing maintenance and improvement.

| **1.2 Roles and Responsibilities MANAGEMENT LEADERSHIP AND COMMITMENT** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Has senior management identified a high level person to oversee the health & safety program (e.g. health & safety manager) and ensured that the individual has adequate training and experience?  **(0-15 points)** | **D (0, 5)** Review company organizational structure to determine if there is high level position responsible for health & safety. If yes award 5 points.  **I (0, 10)** Interview managers and supervisors to determine if the designated representative is meeting the needs of the company’s safety program.  80% positive response to award 10 points. | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 2. Do senior managers, middle managers and supervisors have a clear understanding of their roles and responsibilities in managing health & safety at the workplace? **(0-20 points)** | **D (0-10**) Review documentation such as policies, training materials and procedures to determine if there is clear documentation that establishes the health and safety roles and responsibilities for;   * middle managers and supervisors (5 points) * senior managers award (5 points)   **I (0-10**) Interview managers and supervisors to determine if they are aware and understand their health & safety responsibilities.  Award points based on % of positive responses.  (1-20% = 2points, 21-40% = 4 points,…81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 3. Are supervisors monitoring the health and safety of all workers under their direct supervision?  **(0-15 points)** | **O (0, 5)** Observe supervisors demonstrating their worksite control practices. Supervisors must ensure workers are following safe work procedures and required risk control measures during the site tour. Additionally, supervisors must intervene when required.  80% positive observation required to award points.  **D (0-5)**  Review supervisors’ notes, inspection reports, safety meetings, production meeting notes and other material to determine if supervision is being provided to all workers and records are being kept appropriate to the scope, complexity and associated risks of the activities.  Award points based on positive documentation evidence.  **I (0-5**) Interview supervisors and workers to determine if supervisors are communicating known and foreseeable hazards as necessary to ensure safety.  Award points based on % of positive responses.  (1-20% = 1 point, 21-40% = 2 points…81-100% = 5 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 4. Does the organization have a process for ensuring compliance with the health and safety rules and regulations?  Is the process being followed as outlined?  **(0-15 points)** | **D (0, 5)** Review the organization’s disciplinary procedures to verify that a process exists to address non-compliance with the company’s health and safety requirements. If present award 5 points.  **I (0-10)** Interview supervisors and workers to determine if they are aware of the disciplinary process and whether the process is followed.  Award points based on % of positive responses.  (1-20% = 2points, 21-40% = 4 points, … 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 5. Are senior managers measuring and evaluating the performance of the company’s safety program?  **(0-18 points)** | **D (0-8)**  Review reports to determine if the senior management is measuring and evaluating key performance indicators of the company’s safety program at regular intervals such as:   * Completion of safety program activities (e.g. timely completion of hazard identification and risk assessments, inspection, training, investigation and implementation of corrective actions). * First aid, medical claims, time loss, return to work, types of injuries, severity, location, risk.   If there is evidence of measurement and evaluation of key performance indicators, award 3 points.  If there is evidence of managers providing direction on continual improvement based on the results of their evaluation, award 5 points.  **I (0-10)** Interview senior managers to confirm they are evaluating key safety program performance indicators and providing directions for continual improvement.  Award points based on % of positive responses.  (1-20% = 2 points, 41-60%.. 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/18** |
|  | | | |
| 6. Are managers and supervisors leading by example and following the health and safety rules and procedures?  **(0, 20 points)** | **O (0, 10)** Observe managers and supervisors conducting their activities to see if they are following the company’s health and safety rules and procedures such as wearing of PPE, seatbelts, etc.  80% positive observation required to award points.  **I (0, 10)** Interview workers to determine overall compliance by managers and supervisors.  80% positive responses required to award points. | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 7. Have managers ensured that relevant health and safety regulations, industry safety codes of practice and safe work procedures are available to supervisors and workers and there is a system of ongoing communication and resources for workers?  **(0, 20 points)** | **O (0, 10)** Observe the worksite to determine if relevant health and safety regulations, industry safety codes of practice and other relevant resources such as equipment operations manuals and safe work procedures are readily available either in the form of physical copy or electronic means.    Award points based on the availability of relevant safety resource documents to workers.    80% positive results required to award points  **I (0, 10**) Interview managers, supervisors and workers to understand if they are aware of the types of safety resources applicable to their operations and how safety resources are accessed.  80% positive response required to award points. | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 8. Have workers been advised of their responsibilities and accountability with regard to complying with the health & safety program and regulations?  **(0-10 points)** | **D (0, 3)** Verify by analyzing hire orientation documentation, safety meetings, that workers are aware of the regulations and their responsibilities. If yes award 3 points.  **I (0, 7)** Interview a representative sample of workers to determine if workers are aware of their legal and company assigned responsibilities.  80% positive response required to award points. | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 9. Is there a continuous improvement plan developed by management on a yearly basis and is the plan being implemented?  **(0-10 points)** | **D (0-10)**  Review safety documents to determine if an annual safety improvement plan has been developed based on the results of the management review.  (e.g. a safety project, management review report, audit action plan)  Award 5 points if an annual safety improvement plan exists and is signed off by senior management.  Award 5 points if the progress of the annual safety improvement plan is being reviewed by senior management to track progress. | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 10. Does top management (CEO, President or the most senior manager) responsible for the overall safety program of the company meet with the workers at least annually and communicate why safety is important?  **(0-10 points)** | **D (0, 5)** Review meeting documentation to determine if this is occurring. Senior management should hold a major safety meeting with their workers at least annually, other than the periodic safety meetings or site visits. The meeting could be in the form of a video conference, safety day or annual company function.  If there is documentation confirming this has occurred, award 5 points.  **I (0, 5**) Interview supervisors and workers to confirm the involvement of the CEO, President or the most senior manager and to determine if interviewees understood the message.  80% positive response required to award points. | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 11. Do managers, supervisors communicate health & safety information to workers on a regular and ongoing basis?  **(0-15 points)** | **D (0, 5)** During site visit, verify that a process is present in the workplace (pre-shift meetings, safety meetings, safety training, supervisor notes). If process is present, award 5 points  **I (0, 10)** Interview a representative sample of workers to determine if the process is followed.  80% positive response required to award points. | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |

**2. Industry Specific Elements**

A key process of a health & safety program is to develop safety practices, policies and procedures that can effectively prevent injuries and illnesses in the workplace. WorkSafeBC and industry research has identified trends regarding injuries and illnesses in the trucking industry. These injuries include falls from height and from the same level, incidents involving mobile equipment and MSDs.

MSD is an umbrella term for a number of injuries and disorders of the muscles, tendons, nerves, etc. Other terms that mean the same include:

* repetitive strain injury (RSI)
* cumulative trauma disorder (CTD)
* work-related musculoskeletal disorder (WMSD)
* musculoskeletal injury (MSD, MSK)
* occupational overuse syndrome (OOS), and
* sprain and strain.

In this section the auditor will review and evaluate the implementation of the industry specific elements.

| **2.1 Musculoskeletal Disorder(MSD) Prevention INDUSTRY SPECIFIC ELEMENTS** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the company have a MSD Prevention Policy?  **(0, 5 points)** | **D (0, 5)** Review the safety program manual to verify that there is a documented MSD Prevention policy. | **O** | **D** | **I** | **Total**  **/5** |
|  | | | |
| 2. Does the company have a MSD Prevention Program in place measuring and analyzing MSD duties with risk factors?  **(0-20 points)** | **D (0-10)** Review documentation to evaluate if the proper MSD Risk Prevention procedures have been established to analysis job tasks with respect to:   * Risk factors, such as: * contact stress * repetition * grip force * lift/lower force * awkward posture * vibration * temperature extremes * Ergonomics of the workstation(s) or work environment * Characteristics of material handling requirements   Award a maximum of 10 points based on completeness of MSD program and MSD analysis Completed.  **I (0-10)** Interview a representative sample of workers who are required to use safe work procedures and supervisors whom would participate in hazard analysis to confirm their knowledge of the hazard recognition process and safe work procedures developed; their training thereafter and their involvement in the process  Award points based on % of positive response.  (1-20% = 2 points, 21-40% = 4 points..81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |

| **2.2 Material Handling INDUSTRY SPECIFIC ELEMENTS** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the company have a material handling policy?  **(0, 5 points)** | **D (0, 5)** Review the safety program manual to verify that there is a documented material handling policy present.  If yes award 5 points. | **O** | **D** | **I** | **Total**  **/5** |
|  | | | |
| 2. Does the material handling policy outline safe work procedures and best practices for material handling?  **(0-20 points)** | **D (0, 5)** Review the material handling policy, hire orientation practices, safety meetings minutes, safety logs, MSD prevention records to determine if they include:   * Safe lifting practices * Safe work procedures * Preventive measures to address material handling risks * Responsibilities of each party * Communication & training of safe material handling procedures   If yes award 5 points.  **I (0-10)** Interview a representative sample of workers with material handling duties to determine if they are aware of material handling safe work practices.  Award points based on % of positive responses.  (1-20% = 2 points, 21-40% = 4 points.. 81-100% = 10 points)  **O (0, 5)** Observe a representative samples of workers at the worksite to verify that they are following the required safe work practices addressed in the policy. If yes award 5 points. | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |

**4. Industry Specific Elements / 4.2**

| **2.3 Driver Safety INDUSTRY SPECIFIC ELEMENTS** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the organization have a policy to identify risk factors and safe work practices with regard to driver safety?  **(0-20 points)** | **D (0, 10)** Review documentation to determine if the program identifies risk factors and safe work practices to address the risk factors, such as:   * Vehicle entry and exit * Securing loads * Tarping * Vehicle backing   If yes award 10 points  **I (0-10)** Interview supervisors and workers to determine their knowledge and understanding of the driver safety hazards and safe work practices.  Award points based on % of positive response.  (1-21% 2 points, 21-40% = 4 points,41-60%=6 points,61-80% = 8 points, 81-100% =10 points) | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 2. Does the driver safety policy outline procedures for evaluating driver competency and ongoing driver improvement?  **(0, 15 points)** | **D (0, 5)** Review documentation to determine if the organization has a formal process to ensure driver competency and ongoing improvement initiatives. If yes award 5 points.  **I (0, 10**)Interview supervisors to determine if there is an effective method of tracking training including qualifications, experience and ongoing improvement of abilities in place.  80% positive responses to receive 10 points. | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |

| **2.4 Mobile Equipment INDUSTRY SPECIFIC ELEMENTS** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Has the organization developed safe work procedures for each type of mobile equipment in the workplace?  **(0-30 points)** | **D (0, 10)** Review the mobile equipment safety program to determine if safe work procedures are present for each type of mobile equipment in use. If yes award 10 points.  **O (0, 10)** Observe the operation of mobile equipment to determine if they are operated according to identified safe work practices, e.g. pre-inspection log completed, use of seatbelts, properly positioned forks while driving. If yes award 10 points.  **I (0-10)** Interview a representative sample of supervisors and workers to verify their awareness of mobile equipment safe work procedures?  Award points based on % of positive response.  (1-20% = 2 points, 21-40% = 4 points.. 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/30** |
|  | | | |
| 2. Does the organization have a process to ensure operators are qualified and competent per regulatory requirements?  **(0-25 points)** | **D (0, 10)** Review orientation and training documentation to determine if training has been provided to all employees required to operate mobile equipment such as lift trucks. If yes award 10 points.  **D (0, 5)** Review the mobile equipment safety training program to determine if it includes:   * Theory classroom training and testing * Practical skills training and testing * Equipment specific procedures and training * Safety around pedestrians * Safety around swampers * Requirement for uncertified employees to be prohibited from operation of mobile equipment * Requirement for yearly verification of competencies   If all of the above are present award 5 points  **I (0-10)** Interview a representative sample of operators to determine if they have received training and went through competency verification specific to equipment prior to commencing job duties.    Award points based on positive responses (1-20% = 2 points, 21-40 = 4 points, 81-100 = 10 points). | **O** | **D** | **I** | **Total**  **/25** |
|  | | | |
| 3. Does the organization have a maintenance program in place to ensure an equipment maintenance program is established meeting manufacturer and regulatory standards?  **(0, 10 points)** | **D (0, 5)** Review mobile equipment inspection and maintenance logs for mobile equipment to verify if a maintenance program is established tracking all mobile equipment used and maintenance records are maintained up to date. If yes award 5 points.  **O (0, 5)** Observe mobile equipment on site to confirm if the mobile equipment is maintained in safe operating conditions**.** If yes, award 5 points. (80% positive results required) | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 4. Does the organization have safe work procedures in place for pedestrians working around mobile equipment?  **(0-30 points)** | **D (0, 10)** Review documentation to determine if the mobile equipment program documents pedestrian safety and training around mobile equipment. If yes award 10 points.  **O (0-10)** Observe the workers at the worksite to determine if the safe work pedestrian / mobile equipment procedures are in compliance.  Award points based on % of positive findings  (1-20% = 2 points, 21-40% = 4 points, 81-100% = 10 points)  **I (0-10)** Interview supervisors and workers to confirm knowledge of mobile equipment pedestrian safety procedures.  Award points based on positive responses.  (1-20% = 2 points, 61 – 80% = 8 points,.. 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/30** |
|  | | | |

| **2.5 Fall Protection INDUSTRY SPECIFIC ELEMENTS** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the company have a fall protection program to control fall hazards in the workplace?  **(0-15 points)** | **D (0, 5)** Review documentation to determine if the program includes:   * Identification of risk factors such as those associated with the equipment, facilities and environment * Safe work practices * Provision of personal protective equipment * Employee training   If fall protection program is established, award 5 points  **I (0-10)** Interview supervisors and workers to verify their understanding of the fall protection program, identified hazards and the safe work practices in place.  Award points based on % of positive responses  (1-20% = 2 points, 21-40% = 4 points, …81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |

**3. Hazard Recognition and 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. An effective health and safety program ensures that hazards are identified for each task within the workplace. A job hazard analysis should be performed for each role and then controls developed to mitigate the potential risk associated with the identified hazard.

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

| **3.1 Hazard Recognition HAZARD RECOGNITION AND CONTROL** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the organization have a formal process to recognize hazards and does the process include input from various managers, supervisors, and workers?  **(0-35 points)** | **D (0-15)** Verify if a written hazard recognition process is established. The process is designed to identify all the possible situations where people may be exposed to injury, illness or disease. The types of hazards include chemical, physical, ergonomic, and biological and every workplace consist of four components the people, the environment, the materials, and the equipment they use.  If the hazard recognition process includes the involvement of knowledgeable workers, award 5 points.  If the hazard recognition process includes the input of the health & safety coordinator/representative, award 5 points.  If the hazard recognition process includes review and inclusion of manufacturer specifications for new processes and equipment, award 5 points.  **I (0-20)** Interview workers to establish if they are involved in the process of identifying hazards. Award a maximum of 10 points based on % of positive responses.  (1-20% = 2 points, 21-40% = 4 points… 81-100% = 10 points)  Interview a representative sample of supervisors and managers to verify their level of involvement in the hazard process.  Award points based on % of positive responses.  (1-20% = 2 points, 21-40% = 4 points… 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/35** |
|  | | | |

| **3.1 Hazard Recognition HAZARD RECOGNITION AND CONTROL** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 2. Has the organization compiled an occupation/task/hazard inventory list showing all occupations, all tasks carried out by people in each occupation and all hazards associated with carrying out those tasks?  **(0-20 points)** | **D (0-20)** Obtain a list of all employees showing their occupation or position assignment. Compare it to organization’s organizational chart to verify that all positions on the employee list are shown on the organization chart. Verify that every occupation is included in the occupation/task/hazard inventory.  Award a maximum of 20 points based on the percentage of occupations that are included in the occupation/task/hazard inventory.  (1-20% = 4 points, 21-40% = 8 points…81-100% = 20 points) | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 3. Are hazard identification and risk assessments being conducted prior to the commencement of a job task or when there is a change in process impacting on safety?  **(0-10 points)** | **D (0-5**) Review hazard identification and risk assessment records to identify if assessments are conducted for job tasks including routine, modified and non-routine activities for both field and maintenance operations.  Award a maximum of 5 points based on the completeness and timeliness of assessment conducted.  **I (0, 5)** Interview workers, supervisors, managers and Joint Health and Safety Committee (JHSC) members with assigned hazard identification and risk assessment responsibility to verify that hazard identification and risk assessments are conducted prior to work commencement.    80% positive response required to award points. | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 4. Are documented hazards, risks and controls communicated to all workers before a new work process is implemented or when there are is a change in the work process and as they become identified during day to day operations?  **(0-15 points)** | **D (0-5)**  Review hazard communication documents such as pre-shift meetings, safety logs and site safety meeting records, JHSC minutes, bulletins or other communication documents to see if hazards, risks and necessary controls have been communicated to all workers including contractors and visitors.  Award points based on evidence of positive hazard communications.  **I (0-10**) Interview workers to see if communication has occurred and if they are aware of hazards, risks and necessary controls associated with their work activities.  Award points based on % of positive responses.  (1-20% = 2points, 21-40% = 4 points, .. 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 5. Is training provided to employees responsible for carrying out and reviewing the results of hazard identification and risk assessment?  (**0-15 points)** | **D (0, 5)** Review training records to confirm training of those individuals responsible for hazard recognition such as members of the JHSC, supervisors, safety officer and knowledgeable workers. If training is provided, award 5 points.  **I (0-10**) Interview employees responsible for conducting hazard identification and risk assessment activities to confirm they have had training in hazard identification and risk assessment.  Award points based on % of positive responses.  (1-20% = 2points, 21-40% = 4 points, .. 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |

| **3.2 Risk Assessment HAZARD RECOGNITION AND CONTROL** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the organization have a process to evaluate risk for the hazards recognized?  **(0-30 points)** | **D (0, 10)** Review documentation to verify if there is a process to rank the level of risk based on assessment of frequency, likelihood and severity.  The ranking of risk could be categorized as “High, Medium, Low” or quantified with numeric numbers (1, 2, 3). If a risk assessment process is established, award 10 points.  **D (0, 20)** Review job descriptions/task and hazard recognition/risk assessment reports to determine if all of the hazards were evaluated and ranked according to established risk assessment methodology.  (80% of positive of all recognized hazard must be evaluated to award 20 points.) | **O** | **D** | **I** | **Total**  **/30** |
|  | | | |
| 2. Is there a policy on managing the identified risks according to risk ranking?  **(0-15 points)** | **D (0, 15)** Review documentation to verify that there is a policy established to manage risks based on risk ranking such as reducing the risk level of high risk hazards to an acceptable level prior to work commencement. If yes, award 15 points. | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 3. Does the organization have a process for the development of control measures?  Are employees involved in the process?  **(0-15 points)** | **D (0, 10)** Review the hazard recognition and control program to verify if it includes a process to develop control measures.  Look for inclusion and identification of all the controls based on the following hierarchy;   * + 1. Elimination     2. Substitution     3. Engineering controls     4. Administrative controls     5. Personal Protective Equipment   If this process is evident in the hazard recognition and control program award 10 points.  **I (0-5)** Interview a representative sample of managers, supervisors and workers to determine if their input is required during the establishment of hazard control measures.  Award points based evidence of % of positive responses.   1. 20% = 1 point, 21-40% = 2 points..81-100% = 5 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 4. Have the various control measures been identified for the health & safety hazards listed in the job inventory and have engineering and administrative controls been implemented?  **(0-25 points)** | **D (0, 10**) Review documentation to verify if control measures have been identified for the hazards recognized in the assessment. If yes award 10 points.  **O (0-15)** Verify that engineering controls from the above process are implemented (i.e. machine guarding, lockout/tag out).  Award points based on % of positive findings.  (1-20% = 2 points, 21-40% = 4 points… 81-100% = 10 points)    Also verify implementation of administrative controls. Look for measures such as housekeeping, hiring training, and job rotation practices. If yes award 5 points. | **O** | **D** | **I** | **Total**  **/25** |
|  | | | |

| **3.3 SAFE WORK PRACTICES HAZARD RECOGNITION AND CONTROL** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Have workers received communication and training onthe safe workpractices and safe work procedures? **(0-10 points)** | **I (0-10)** Interview a representative sample of workers required to follow safe work practices and procedures to determine if they are aware of the procedures and practices.  Award points based on % of positive response.  (1-20% = 2 points, 21-40 = 4 points, …. 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 2. Are workers involved in the development, evaluation and revision of the safe work procedures and risk control measures?  **(0-10 points)** | **I (0-10**) Interview supervisors, managers and workers to determine the means and scope of worker involvement and to confirm if workers are participating in the process.  Award points based on % of positive response.  (1-20% = 2 points, 21-40 = 4 points, …. 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 3. If required do workers have access to and are able to review safe work procedures for their specific task or job? If so are they in a conspicuous location easily accessible for all parties?  **(0-20 points)** | **I (0, 10)** Interview a representative sample of workers to determine if they are aware of the location, how to access the safe work procedures and what the procedures are related to their job.  Award points if 80% of positive response.  **0 (0, 10)** During site visit look for posting of safe work procedures posted and accessible to workers. If yes award 10 points. | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 4. Have procedures been developed for the provision of first aid in the workplace?  **(0, 15 points)** | **D (0, 10)** Review documentation such as safety manuals, accident reports and orientation documents to verify that there are documented first aid procedures developed. If documentation exists, award 10 points.  **0 (0, 5)** Observe site premises to determine if first aid procedures are posted, first aid station is clearly identified, and first aid attendants are identified and posted. If yes award 5 points. | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 5. Have safe work practices and safe work procedures been developed for the job tasks identified as required in the hazard process?  **(0-20 points)** | **D (0, 10)** Review the job descriptions, job hazard analysis and hazard documentation to determine if safe work practices and procedures have been identified.    If evidence indicates that safe work practices have been clearly identified, award 10 points.  **O (0-10)** Select a sample of safe work practices and procedures and observe the workplace to determine if current practices reflect the practices developed.  Award points based on % of positive response.  (1-20% = 2 points, 21-40% = 4 points.. 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |

| **3.4 Personal Protective Equipment HAZARD RECOGNITION AND CONTROL** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the company have a written PPE policy? Does the PPE policy make reference to applicable regulations?  **(0-6 points)** | **D (0, 3)** If a written PPE policy is established including responsibilities on provision and use of PPE, award 3 points.  **D (0, 3)** If the PPE made reference to applicable OH&S Regulations, award 3 points. | **O** | **D** | **I** | **Total**  **/6** |
|  | | | |
| 2. Is there a system in place to regularly inspect and maintain basic/specialized PPE?  **(0, 5 points)** | **D (0, 5)** Review inspections and policy to confirm that PPE is being inspected and maintained. If yes, award 5 points | **O** | **D** | **I** | **Total**  **/5** |
|  | | | |
| 3. PPE policy implementation:  a) Are workers trained in the appropriate use, care and maintenance of PPE? b) Is PPE made available to workers when required?  **(0-10 points)** | **D (0, 2)** Review training and orientation documentation to verify that workers have been trained in the use, care and maintenance of PPE. If yes, award 2 points.  **O (0, 3**) Observe the worksite to verify that required PPE is readily available. . If yes, award 3 points.  **I (0-5) Interview** a representative sample of workers to determine their level of knowledge on PPE requirements.  Award points based on % positive response.  (1-20% = 1 point, 41-60% = 3 points, 81-100% = 5 points) | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 4. Are PPE controls identified and implemented for the hazards cited in the hazard recognition and risk assessment reports?  **(0, 15 points)** | **D (0, 10)** Review documentation to determine if PPE control measures have been identified for the health & safety hazards based on the hazard recognition and control process. If yes, award 10 points.  **O (0, 5)** Observe the workers at the worksite to determine if they are wearing the appropriate PPE. | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |

**4. Training and Instruction**

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 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.

In addition, to help keep health & safety awareness a priority and become a part of the workplace culture, it is important to have an ongoing improvement training program that continually educates the workforce on matters of health and safety in place.

Auditors must be clear that 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) required in a safe, reliable, reproducible manner. These differences must be recognized by the auditor and by the company.

| **4.1 Orientation TRAINING AND INSTRUCTION** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Are all new hires provided a detailed orientation on their first day or prior to commencing their job duties?  **(0, 15 points)** | **D (0, 10) Review** orientation records or training records to verify if orientations are being given to all workers as required and that this occurs on first day prior to commencing their job.  **I (0, 5)** Interview a representative sample of workers (new hires, young workers, return to work and reassigned workers, owner operators) to confirm they have had a formal orientation on their first day prior to commencing work activities.  80% positive response required to award points. | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 2. Does the orientation include a general overview of the organization’s health & safety policies, procedures, job specific hazards and rights and responsibilities?  **(0-15 points)** | **D (0, 5)** Review the safety manual, the orientation checklist, new hire handouts, interview notes and supervisor records.  Award points if documentation supports that all new workers receive an orientation on their first day of employment/before work commences. The orientation topics should include:   * Health and safety policy and procedures * Access to legislation and related OH&S materials * Employee rights and responsibilities (i.e. three core rights, right to refuse) * Incident reporting/investigation * Contact information for supervisors and JHSC * Emergency response procedures * Job specific hazards   **I (0-10)** Interview a representative sample of employees and owner operators to determine their understanding of the contents of the orientation.  Award points based on % of positive response.  (1-20% = 2 points, 21-40% = 4 points.. 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 3. Is there a list of training required for each identified occupation?  Does the organization identify that employees are trained for job specific tasks as required?  **(0-40 points)** | **D (0, 6)** Review documentation, such as the list of job tasks/occupations, and training manuals to verify that there is a list of identified occupations and identified training requirements. If yes award 6 points.  **D(0-24)** Review documentation to determine if employees receive required training with respect to their assigned job tasks, such as:   * Safe work procedures * Personal Protective Equipment use, care and maintenance * Inspection process and their role * Emergency preparedness procedures * Return to work process * Mobile equipment * Fall protection procedures * Driver safety * MSD prevention process * Transportation of Dangerous Goods * Lockout * WHMIS   Award points based on % of positive findings.  **I** **(0, 10)** Interview a representative sample of workers to ensure that they have received job specific training as documented.  80% positive response to award 10 points. | **O** | **D** | **I** | **Total**  **/40** |
|  | | | |
| 4. Do employees and owner operators receive re-orientation when they are returning to the worksite after an extended period of time, when they are transferred to a new job, assigned new tasks or when there is a change in process?  **(0-15 points)** | **D (0, 5)** Review documentation to determine if employees and owner operators are receiving re-orientations during the indicated times this could include a pre-job safety orientation, toolbox safety talks or other appropriate documented methods before returning or commencing new job duties. If yes award 5 points.  **I (0-10)** Interview a representative sample of employees and owner operators to verify if this is occurring as required.  Award points based on positive responses.  (1-20% = 2 points, 21-40% = 4 points, …81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |

| **4.2 Ongoing Training TRAINING AND INSTRUCTION** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the organization have a process to identify refresher and ongoing training needs for continual improvement and upgrade of employee’s knowledge and skills?  **(0-20 points)** | **D (0-10)** Review documentation to verify if there is a process established to identify refresher and ongoing training needs such as:   * Joint Health & Safety Committee * First aid * Mobile Lift Equipment * PPE * Driver Training * MSD Prevention * Safe Material Handling * Hazard Recognition * Return to work   If process established, award 5 points.  If required training is scheduled and provide, award 5 points. Points to be awarded based on % of employees who have received the required training.  (1-20%,= 1 point, 21-40% = 2 points,….81-100% = 5 points)  **I (0-10)** Interview a representative sample of employees and owner operators to verify that ongoing training is provided as documented.  Award points based on % positive responses  (1-20% = 2points, 21-40% = 4 points, 41-60% = 6 points, 81 -100% = 10 points) | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 2. Does the organization have a process to ensure that workers are competent after receipt of training?  **(0,10 points)** | **D (0, 5)** Review documentation such as training records, certificates of qualifications, and supervisors’ records to determine if on-the-job competence assessment of workers and owner operators has been conducted prior to permitting the workers to perform their assigned tasks. If yes, award 5 points.  **I (0, 5)** Interview supervisors to determine if they are aware of the evaluation process and to verify that competency is verified.  80% positive responses required to award 5 points. | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 3. Do supervisors clearly understand who is responsible to conduct orientations and training and when it is required?  **(0-10 points)** | **I (0-10)** Interview supervisors to determine their understanding of the orientation and training process.  Award points based on % of positive response.  (1-20% = 2 points, 21-40% = 4 points, 61-80%=8 points. up to the maximum of 10 points) | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 4. Are members of the JHSC provided with appropriate training to be competent in carrying out their duties and responsibilities?  **(0-20 points)** | **D (0-10)** Review safety program documents to verify that JHSC member training needs have been outlined and necessary training is being scheduled or provided such as safety inspection and incident investigation skills.  Award points based on % of positive findings.  (1-20% = 2 points, 41-60% = 6 points.. 81-100% = 10 points)  **I (0-10)** Interview members of the JHSC to confirm their training needs have been assessed and training is being provided.  Award points based on % of positive responses. (1-20% = 2 points, 21-40% = 4 points, 61-80% = 8 points.. up to the maximum of 10 points) | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |

**5. Workplace Inspection**

Workplace inspections are an important part of the safety management process as they assist in assessing hazards in the workplace and the development of safe work procedures.

The responsibilities of each party in the workplace are dependent upon the type of job performed and will different for:

* the worker
* the manager
* the supervisor
* the JHSC

The basic Inspection Process is comprised of the following:

* Analysis of inspection area to identify hazards
* Review information to develop and implement correction action
* Communication of inspection and corrective actions to affected personnel
* Training and implementation
* Follow up

In this section the auditor measures workplace inspection policies and procedures to ensure that they are compliant with applicable regulations, communicated, implemented and evaluated on an ongoing basis to facilitate continual improvement of health & safety in the workplace.

| **5. Workplace Inspection** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the organization have a formal policy and procedure for conducting workplace inspections?  Are managers, supervisors and workers involved in the inspection process?  **(0-30 points)** | **D (0-20)** Review documentation to ensure that the policy and procedures for workplace inspections include the following as applicable at a minimum:   * Worksite inspections (e.g. office, warehouse & shop) * Vehicle inspections * Mobile equipment inspections * JHSC involvement in inspections * Defined frequency for inspections   If yes award 5 points.  Review to ensure that the documentation outlines the responsibilities for the worker (5 points) managers (5 points) and supervisors (5 points).  **I (0-10)** Interview a representative sample of workers and supervisors to confirm worker involvement in the inspection process (i.e. JHSC members’ involvement and performing inspections).    Award points based on % of positive responses.  (1-20% = 2 points, 21-40% = 4 points, …81-100% = 10 points) |  | **D** | **I** | **Total**  **/30** |
|  | | | |
| 2. Are all inspections documented using standardized forms?  **(0-20 points)** | **D (0-10)** Review documentation to confirm the existence of standardized forms for the inspections carried out in theworkplace as required**.**  Award points based on the following criteria:   * Worksite inspection (4 points) * Vehicle inspections (3 points) * Mobile equipment inspections (3 points)   **0 (0, 10**) Review inspection schedule and observe posting of completed inspection forms. If required inspections are completed and report posted, award 10 points. | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 3. Does the Inspection Policy indicate a requirement for identified hazards to be ranked based on potential risk exposure and follow up through applicable control measures?  **(0-15 points)** | **D (0, 5)** Review Inspection policy and procedures to verify if there is a standard for identification of hazards and ranking of hazards by severity of potential risk. If yes award 5 points.  **D (0-10)** Review a representative sample of inspections to verify the use of this standard and follow up documentation, including corrective action plans.  Do inspection reports show use of hazard identification and ranking?  Award points based on % of positive findings.  (1-20% = 1 point, 21-40% = 2 points, ….81-100% = 5 points)  Review the inspection reports to confirm proof of follow up on the identified hazards with the development and implementation of action plans.  Award points based on % of positive findings.  (1-20% = 1 point, 21-40% = 2 points,… 81-100% = 5 points) |  | **D** | **I** | **Total**  **/15** |
|  | | | |
| 4. Is there a system in the workplace inspection program to ensure that deficiencies are reported?  **(0-15 points)** | **D (0, 5)** Review inspection sheets to determine if deficiencies are being reported. If yes award five points.  **I (0-10)** Interview a sample of workers to determine if deficiencies are reported.  Award points based on % of positive response.  (1-20% = 2 points, 21-40% = 4 points.. 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 5. Does the system ensure that any deficiencies identified are corrected in a timely manner? **(0-15 points)** | **D (0-5)** Review inspection sheets to determine if deficiencies are corrected look for re-occurringdeficiencies. Review corrective action data and look for identification of time frame for completion, person responsible and actual completion dates to confirm timeliness of action taken.  Award points based on % of deficiencies that are corrected in a timely manner.  (1-20% = 1point, 41-60 = 3 points, 81-100% = 5 points)  **I (0-10)** Interview a representative sample of workers, and supervisors to confirm that deficiencies are being corrected in a timely manner.  Award points based on the % of positive responses.  (1-20% = 2 points, 21-40% = 4 points...81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 6. Does the Inspection program identify a training process for parties responsible for completing workplace inspections?  **(0-20 points)** | **D (0-10)** Review the organization’s training records to confirm presence of completed training for the various types of inspections.   * Worksite inspection * Vehicle inspections * Mobile equipment inspections * JHSC inspections * Management safety inspections   Award 2 points for each of the above. If the type of inspection is not relevant to the operation remove it from the score and make a note.    **I (0-10)** Interview a representative number of workers, supervisor, managers and JHSC members who are involved with the inspection process to confirm that they have been trained.  Award points based on % of positive responses.  (1-20% = 2 points, 41-60% = 6 points … 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 7. Does the organization have a system in place for workers to report hazards in the workplace?  **(0-15 points)** | **D (0, 5)** Review documentation to confirm the presence of a process for workers to report hazards. If yes award 5 points  **I (0-10**) Interview a representative sample of workers to confirm that they are aware of a hazard reporting procedure to report unsafe conditions.  Award points based on % of positive responses.  (1-20% = 2 points, 41-60% = 6 points, 81-100% = 10 points | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |

| **5. Workplace Inspection** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 8. Does the organization have a system in place for management to ensure that the inspection process is being effectively followed?  **(0-15 points)** | **D (0, 5)** Review documentation including inspection reports, inspection summaries, JHSC minutes to confirm management review of inspection process. If yes award 5 points.  **I (0-10)** Interview management to confirm their involvement in review of inspection process.  Award points based on % of positive responses  (1-20% = 2 points, 21-40% = 4 points, 41-60% = 6 points 61-80% = 8 points up to a maximum of 10 points) |  | **D** | **I** | **Total**  **/15** |
|  | | | |
| 9: Does the organization Inspection schedule comply with the applicable regulations; (e.g. Canada Labour Code, OH&S Regulations) regarding frequency of inspections?  **(0, 5 points)** | **D (0, 5)** Review documentation of the inspection policy and review inspection reports to verify frequency of inspections in compliance with applicable regulation. If yes award 5 points. |  | **D** | **I** | **Total**  **/5** |
|  | | | |

**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 through effective safety management practices. The goal of a safety program is zero incidents, yet even while working towards this goal incidents can occur. You therefore need to know what action to take to manage incident situations.

The Incident Investigation is a valuable tool to understand deficiencies and mistakes that occur and can provide the information necessary to make continual improvements in the health and safety system.

| **6. Incident Investigations** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the organization have a documented written process requiring the investigation of all types of incidents  **(0-24 points)** | **D (0-24)** Review policies and program instructions for written procedures regarding how incidents are reported and investigated. These procedures must include specific requirements for the investigation of the following;   * Property Damage (2 points) * First Aid incidents (2 points) * Medical Aid (5 points) * Lost Time Incidents (5 points) * Serious incidents and fatalities (5 points) * Near Miss incidents (5 points) |  | **D** | **I** | **Total**  **/24** |
|  | | | |
| 2. Does the company have specific forms developed that identify the steps in the incident investigation process?  **(0, 10 points)** | **D (0, 10)** Review the incident program to determine if it includes identification of forms for each type of incident and the applicable procedures for the investigation process including;   * Collect information * Analyze information to determine root causes * Determine and make corrective action * Report recommendations * Follow up to ensure corrective actions are implemented   If yes award 10 points. | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 3. Does the incident investigation policy outline the requirement for employees and owner operators to report all occupational incidents, near misses, accidents and illnesses?  **(0-15 points)** | **D (0, 5)** Review the incident investigation policy to determine if the policy direct what type of incidents must be reported. If yes award 5 points.  **I (0-10)** Interview a sample of workers and owner operators to determine if they are aware of the company policy with regard to their responsibility to report occupational incidents, near misses and illnesses immediately.  Award points based on % of positive responses.  (1-20% = 2 points, 41-60 = 6 points, 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 4. Are all reported incidents investigated by the company?  **(0, 10 points)** | **D (0, 5)** Review documentation including incident reports, property damage reports, and accident investigations to verify that they have been investigated.  80% of incidents reported need to have been investigated to some extent to award the points.  **I (0, 5)** Interview a representative sample of workers and supervisors to verify that all incidents/accidents are investigated.  80% positive response to award points (5 points). | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 5. When corrective action recommendations are made is the organization ensuring the corrective actions are implemented?  **(0-25 points)** | **D (0-5)** Review documentation to determine if the organization has implemented corrective action.  Award points based on % of positive findings.  (1-20 = 1 point, 41-60% = 3 points, 81-100% = 5 points)  **O (0-10)** Select a sample of completed Accident Investigations and verify that corrective actions have been implemented as indicated.  Award points based on % of positive findings.  (1-20% = 2 points, 21-40% = 4 points, 81-100% = 10 points)  **I (0-10)** Interview a representative sample of workers to confirm if they are aware of the recommendations and the implementation of corrective actions.  Award points based on % of positive findings.  (1-20% = 2 points, 21-40% = 4 points, 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/25** |
|  | | | |

| **6. Incident Investigations** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 6. Are the individuals responsible for accident investigations trained?  **(0, 10 points)** | **D (0, 10)** Review documentation such as training records to determine if training has been completed for individuals responsible for accident investigations this should include some workers, supervisors and JHSC members. If yes award 10 points. | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 7. Are investigations being conducted using a team approach with the involvement and input of relevant personnel?  **(0-10 points)** | **I (0-10)** Based on information of completed incident investigation reports, interview investigators, managers, supervisors and JHSC worker representatives to confirm their level of involvement in the investigation process.  Award points based on % of positive findings.  (1-20% = 2 points, 21-40% = 4 points, 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 8. Are supervisors and managers held responsible for the accident investigation process?  **(0-15 points)** | **D (0, 5)** Review the accident /incident investigation policy to determine if managers and supervisors are held accountable for compliance with the incident investigation procedures.  Review the accident investigation and incident reports to confirm if there is an area for manager/supervisors to sign confirming their review.    If both criteria are present award 5 points.  **I (0-10)** Interview managers, supervisors and JHSC representatives to confirm if managers/supervisors are held accountable for the accident investigation process.  Award points based on % of positive findings.  (1-20% = 2 points, 21-40% = 4 points, 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 9. Does the organization clearly communicate the root cause and/or results of the incident investigations to all affected personnel?  **(0-20 points)** | **D (0, 10)** Review documentation to verify evidence of communication on investigation findings (i.e. posting on safety bulletin board, shift start up meetings, safety meetings, JHSC minutes).If there is evidence award 10 points.  **I (0-10)** Interview a representative sample of workers to determine if they are aware of changes in procedures or operations after incident recommendations.  Award points based on number of positive responses.  (1-20% = 2 points, 21-40% = 4 points, 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |

**7. Emergency Preparedness**

Emergencies and disasters can occur any time without warning. The more prepared you are for them, the faster you will be able to act to minimize panic and confusion when an emergency occurs and be in a position to mitigate losses that can result. The Emergency Preparedness Plan should be based on the individual identified risks of the company. 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 organization needs.

| **7. Emergency Preparedness** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the organization have emergency preparedness procedures appropriate to the size, complexity of the organization and as legally required?  **(0-10 points)** | **D (0- 10)** Review the documentation and procedures to confirm that an emergency preparedness plan exists that is appropriate to the organization take into account identified risk which may include the following;   * Fire and explosions * Earthquakes * Environmental incidents (e.g. chemical spills) * Power Outage * Severe weather * Vehicle collisions * Workplace violence   If the procedures are appropriate, award up to 10 points. | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 2. Are there written emergency response plans for the identified risks?  **(0-20 points)** | **D (0-10)** Review documentation to determine if it provides clear, direct and simple instructions for workers in the event of an emergency. Review the documentation to ensure the following are present:   * Communication procedures * Emergency phone numbers * List of emergency response personnel * Evacuation plan & procedures * Specific assignment of responsibilities * Process for testing of emergency response equipment * Reporting to relevant regulatory bodies   Award up to 10 points based on the completeness of each plan. (1-20% = 2 points, 21-40%= 4 points,… 81-100% = 10 points)  **O (0, 10)** When observing the site look for postings of the emergency procedures, safety plans, evacuation plans, and emergency contact information. Award 10 points if procedures are posted in a conspicuous location. | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 3. Does the emergency preparedness policy identify the responsibilities and training of workers, managers and supervisors?  **(0-20 points)** | **D (0, 10)** Review the policy and training documentation for evidence of managers, supervisors and workers written responsibilities and evidence of training in those responsibilities for the workers, managers and supervisors and the emergency coordinator. If present award 10 points.  **I (0-10)** Interview managers, supervisors and workers to determine if the procedures have been communicated to them and they have the knowledge of the emergency preparedness procedures.  Award points based on the % of positive responses.  (1-20% = 2 points, 21-40%= 4 points,..81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |

| **7. Emergency Preparedness** | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | | **Award** | | | | | | |
| 4.Are the emergency preparedness procedures, equipment/supplies periodically tested and inspected for adequacy and effectiveness? Are the tests reviewed, evaluated to identify potential deficiencies and areas of improvement?  **(0-15 points)** | **D (0, 5)** Review documentation to confirm that at a minimum annual emergency response drills, testing and inspection of emergency equipment and supplies (e.g. fire protection systems and first aid supplies) are carried out and look for evidence of identified improvement measures.  If present award 5 points.  **I (0-10)** Interview a sample of managers, supervisors and workers to determine if the procedures are adequate and effective, that tests are being performed and they have knowledge of ongoing improvements.  Award points based on the % of positive responses.  (1-20% = 2 points, 21-40%= 4 points, 81-100% = 10 points) | | **O** | | **D** | | **I** | | **Total**  **/15** |
|  | | | | | | |
| 5. Does the site have adequate emergency response resources provided and maintained as required by legislation, or as identified in the hazard control process?  **(0-10 points)** | **O (0-10)** Examine the site to verify the implementation and maintenance of resources. Resources may include:   * Appropriate emergency exit signage * Firefighting equipment (maintained per requirements) * First aid personnel (should be posted) * First aid facilities and equipment per regulation * Eye wash stations   Award points based on % of positive observations.  (1-20% = 2 points, 21-40%= 4 points, 81-100% = 10 points) | | **O** | | **D** | | **I** | | **Total**  **/10** |
|  | | | | | | |
| 6. Are there communication tools available to contact emergency response assistance in a timely manner?  **(0-20 points)** | **O (0, 10)** Inspect the site and vehicles to determine if workers have access to radios/phones on the worksite, in vehicles or other applicable areas to contact assistance if required.  80% positive observation to award 10 points  **I (0-10)** Interview workers to determine their level of awareness with regard to availability of emergency contact tools.  Award points based on % of positive response.  (1-20% = 2 points, 21-40% = 4 points.. 81-100% = 10 points) | | **O** | | **D** | | **I** | | **Total**  **/20** |
|  | | | | | | |
| 7. Are there written instructions outlining which injuries and incidents must be reported to the applicable regulatory body? (i.e. HRSDC, WorkSafeBC)  **(0, 5 points)** | **D (0, 5)** Review the Accident/Incident Investigation policies for written procedures that clearly indicate what types of injuries must be reported to the regulatory body. If yes award 5 points. | **O** | | **D** | | **I** | | **Total**  **/5** | |
|  | | | | | | | |
| 8. Does the Emergency Response Plan identify a designated command post for the overall coordination and general direction of the response? (i.e. emergency response operation centre)  **(0,10 points)** | **D (0, 10)** Review the documentation to determine if there is a specific location designated as an emergency operations centre. If yes award 10 points. | | **O** | | **D** | | **I** | | **Total**  **/10** |
|  | | | | | | |

**8. Program Administration**

Often a health and safety program is developed and implemented yet safety performance is not improving or is stagnant. This can be as a result of deficiencies with program administration. Work environments and job practices change, legislation and equipment change requiring that the health and safety program also be constantly changed and improved. The objective of this section is to provide the company with the appropriate tools to maintain and effectively manage its health and safety program and address the ongoing evolution of standards in the workplace and in the regulations.

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

| **8. Program Administration** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the organization have a process to manage the health and safety program elements and to what extent is the process being utilized?  **(0-22 points)** | **D (0, 10)** Review documentation to determine if there is a procedure in place to review and measure the success of the elements in the safety program. If yes award 10 points.  **D (0-12)** Review documentation to determine if the standard for document review includes a document revision system with the following:   * Accessible H&S manual for workers; if yes award 2 points * Date and signature requirement for all elements and other documents. If yes award 2 points * Scheduled reviews for all health and safety elements; if yes award 3 points * Tracking documentation to identify changes and notification of changes to all relevant parties; if yes award 3 points * Process to acknowledge success of the current policies If yes award 2 points | **O** | **D** | **I** | **Total**  **/22** |
|  | | | |
| 2. Are all applicable acts and regulations identified in the health & safety program?  **(0-20 points)** | **D (0-10)** Review the safety program manual and other documents that identify the applicable regulations which may include;   * Canada Labour Code Part II * Workers Compensation Act * OHS Regulations   Award points based on the percentage of applicable regulations. (1-20%= 2 points, 21-40% = 4 points, 81-100% = 10 points)  **O (0, 10)** Inspect the workplace to determine if required documents such as the Canada Labour Code and the OHS Regulations are accessible to all employees. If yes award 10 points. | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |
| 3. Does the organization have a health & safety review plan to evaluate the effectiveness of the system and is senior management involved in the review?  How well is the process implemented?  **(0-40 points)** | **D (0-15)** Review documentation to determine if a plan exists; look for documented review of;   * Review of accidents, incidents and near misses * Statistical trend analysis * Work refusal reports * JHSC recommendations * Hazard recognition and controls reviewed at a minimum every three years or when there is a change in operations * Follow up actions identified and implemented   Award 5 points for each requirement up to a maximum of 15 points.  **D (0, 5)** Review above noted documentation to validate the involvement of senior management in the review process. For examples Joint Health and Safety Committee minutes, safety meeting documents, management meetings and safety program documentation.  If yes, award 5 points.  **I (0-10)** Interview the person responsible for health and safety to determine if the process has been implemented.  Professional judgment required, maximum of 10 points.  **I (0-10)** Interview management to determine their involvement in review of the health and safety management system?  Award points based on % of positive response.  (1-20% = 2 points, 21-40% = 4 points, 61-80%= 8 points, 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/40** |
|  | | | |

| **8. Program Administration** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 4. Does the organization have a health and safety continuous improvement plan?  **(0-20 points)** | **D (0, 10)** Review documentation such as annual strategic operational meetings for evidence of an indentified process for health and safety continual improvement plans. (i.e. Does management review the elements of the safety program and if necessary based on health & safety statistics, change in operations, or change in legislation make action plans to make improvements to the health and safety elements, look for a special project and or audit improvement action plan.)  Look for evidence of document review. If yes award 10 points.  **I (0-10)** Interview senior management to verify that health and safety goals and objectives are included in the operational business plan.  Award points based on % of positive responses.  (1-20% = 2points, 21-40 = 4 points, 41 -60% = 6 points, 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/20** |
|  | | | |

**9. Joint Health & Safety Committee**

In the evolution of workers compensation legislation, a more recent addition is the creation of Joint Health & Safety Committees. The existence of the JHSC grows out of the concept of an internal responsibility system – the suggestion that work and safety are inexorably linked and that all parties in the workplace have a responsibility to improve health and safety. The primary function of the JHSC is to provide a non-adversarial atmosphere in which labour and management can work together in their mutual goal of preventing injuries/illnesses and thereby providing a safer and healthier workplace for all employees.

Having a JHSC or (a health and safety representative) is also a legal requirement for every workplace in BC.

| **9. Joint Health & Safety Committee** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the organization have a JHSC with clearly defined terms of reference?  **(0-40 points)** | **D (0-30**) Review the documentation to determine if there is a clearly defined terms of reference for the JHSC  and individual members;   * Responsibility regarding attendance (2 points) * Conducting workplace inspections (5 points) * Conducting accident investigations (5 points) * Involvement with work refusal (3 points) * Formalized process for recommendations (5 points) * Committee members terms (5 points) * Meeting frequency (5 points)   If yes award applicable points (30 total).  **I (0, 10)** Interview JHSC members to determine their level of understanding of their roles and responsibilities under the terms of reference and the committee process.  80% of positive responses required to award 10 points. | **O** | **D** | **I** | **Total**  **/40** |
|  | | | |
| 2. Are the JHSC members actively involved in the health & safety program and activities?  **(0-26 points)** | **D (0-16)** Review JHSC meeting minutes are members actively involved in the development of recommendations in response to hazards identified, and with regard to health and safety policies. If yes award 4 points.  Review workplace inspections to determine if committee members were involved. If yes award 4 points.  Review Accident Investigations Reports to confirm involvement of JHSC members. If yes award 4 points.  Review JHSC Evaluation Tool (Provincial) or Annual Report on Workplace Committee Activity (Federal) to confirm involvement of JHSC members. If yes award 4 points.  **I (0-10)** Interview a representative sample of workers to confirm the involvement of JHSC members. Refer to   * Workplace inspections * Accident investigations * Job safe work procedure development * Safety awareness   Award points based on % of positive responses.  (1-20% = 2 points, 21-40% = 4 points, 81-100% = 10 points.) | **O** | **D** | **I** | **Total**  **/26** |
|  | | | |
| 3. Are the JHSC meeting minutes recorded, posted and communicated to employees?  **(0-15 points)** | **D (0, 5)** Review documentation to determine if the JHSC meeting minutes are recorded as required. If yes award 5 points  **O (0, 5)** Observe the health and safety board in the workplace to determine if the JHSC meeting minutes and documentation are posted. If yes award 5 points.  **I (0-5)** Interview a representative sample of managers, supervisors, and workers to determine if they are aware of the types of information communicated through the minutes of the JHSC.  Award points based on % of positive responses.  (1-20% = 1 points, 41-60= 3 points… 81 – 100% = 5 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 4. Do the JHSC committee members receive training as required?  **(0-18 points)** | **D (0-8)** Review the training records to verify if all committee members have received the appropriate training as required? Training should include the following;   * New member orientation (e.g. roles & responsibilities) * Workplace inspections * Incident investigation * Hazard identification * Safety specific programs relevant to industry * A process to deal with H & S concerns from employees   Award 2 points for each type of training provided up to a maximum of 8 points.  **I (0-10)** Interview the members of the JHSC to confirm if they have received the appropriate training as required?  Award points based on % of positive responses.  (1-20% = 2 points, 41-60= 6 points… 81 – 100% = 10 points) |  | **D** | **I** | **Total**  **/18** |
|  | | | |
| 5. Does management support the recommendations put forth by the JHSC?  **(0-15 points)** | **D (0, 5)** Review documentation of formal recommendations of the JHSC to determine if a formal process exists formanagers to review and follow up with recommendations. If yes award 5 points.  **I (0-10)** Interview the JHSC members and managers to confirm management support and commitment for the JHSC.  Award points based on % of positive responses.  (1-20% = 2 points, 41-60= 6 points… 81 – 100% = 10 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |

**10. 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 10 - Contractor Management applies to the company:**

* The company hires contractor(s) other than owner operators. Therefore, Element 10 is applicable and must be assessed.
* The company does not hire contractors other than owner operators. Therefore, Element 10 is not applicable and this element is to be scored "Not Applicable".

| **10. Contractor Management** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Question** | **Guidelines** | **Award** | | | |
| 1. Does the organization have a contractor safety management program?  **(0- 14 points)** | **D (0-14**) Review the documentation to determine if there is a contractor safety management program;  If yes award 5 points.  Verify if the contractor management program contains the following;   * Contractor selection and review to ensure that the contractor is compliant with regulations and adheres to specific safety criteria (2 points) * Contractor is registered in good standing with WorkSafeBC (1 point) * Contractor receives a safety orientation that includes the organization’s OHS requirements, work specific hazards and safe work practices ( 3 points) * Ongoing review of contractor safety compliance with OHS requirements (3 points) | **O** | **D** | **I** | **Total**  **/14** |
|  | | | |
| **2.**  Are contractors advised of all applicable worksite hazards and safe work procedures?  **(0-15 points)** | **D (0, 10)** Review the contractor orientation and training records to determine if site specific hazards and applicable safe work procedures are communicated to the contractors. If yes award 10 points.  **I (0-5)** Interview a representative sample of persons hiring contractors to determine their understanding of the contractor orientation/training program.  Award points based on positive responses.  (1-20 = 1 point, 21-40% = 2 points, 41-60% = 3 points, 61-80% = 4 points, 81-100% = 5 points) | **O** | **D** | **I** | **Total**  **/15** |
|  | | | |
| 3. Are contractors aware of the site specific hazards, safe work procedures and their responsibilities onsite as a contractor?  **(0-10 points)** | **I (0-10)** Interview a representative sample of contractors to confirm that their understanding of the known, foreseeable hazards of the workplace, and safe work practices.  Award points based on % of positive responses.  (1-20% = 2 points, 21-40% = 4 points, 41-60% = 6 points, 61-80% = 8 points, 81-100% = 10 points) | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |
| 4. Does the company include contractors in ongoing safety management ensuring that they are consistently aware of any changes in applicable procedures, hazards and/or other safety initiatives?  **(0-10 points)** | **D (0, 5)** Review documentation to determine if the company has periodic safety meetings involving contractors? If yes award 5 points.  **I (0-5)** Interview a representative sample of contractors to determine if they have been advised or have an awareness of ongoing safety communication from the prime contractor? Award points based on positive responses.  Award points based on % of positive responses.  (1-20 = 1 point, 21-40% = 2 points, 41-60% = 3 points, 61-80% = 4 points, 81-100% = 5 points) | **O** | **D** | **I** | **Total**  **/10** |
|  | | | |

**Scoring Summary: Occupational Health & Safety**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Element** | **Available**  **Points** | **Not**  **Applicable**  **Points** | **Adjusted Possible Points** | **Awarded Points** | **%** |
| 1. Management Leadership | 224 |  |  |  |  |
| 1. Industry Specific Programs | 195 |  |  |  |  |
| 1. Hazard Recognition & Control | 291 |  |  |  |  |
| 1. Training and Instruction | 145 |  |  |  |  |
| 1. Workplace Inspection | 150 |  |  |  |  |
| 1. Accident / Incident Investigation | 139 |  |  |  |  |
| 1. Emergency Preparedness | 110 |  |  |  |  |
| 1. Program Administration | 102 |  |  |  |  |
| 1. Joint Health & Safety Committee | 114 |  |  |  |  |
| 1. Contractor Management | 49 |  |  |  |  |
| Total | **1519** |  |  |  |  |

**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 is able to 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 of 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 SafetyDriven-TSCBC.

***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.

***JHA*** A Job Hazard Analysis is a process used to identify, analyze and record the steps involved in performing specific jobs, the existing or potential safety and health hazards associated with each step and the recommended action(s)/procedure(s) that will eliminate or reduce the hazards and risks of a workplace injury or 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.

***Middle Management*** Reports directly to Senior Management and takes the lead to execute the vision commitment, rules and procedures, safety program into the worksite. (i.e. Terminal Manager, Distribution Manager, Operations Manager)

***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. For example: Only lift to a specific height or up to a specific weight or additional equipment is provided, such as footstool or ladder, or only performs specific parts of the regular duties.

***MSD*** Musculoskeletal Disorders

***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.

***OHS*** Occupational Health and Safety.

***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.

***Pre-shift Inspection*** Documentation completed before a shift begins. Pre-shift inspections are used as part of hazard identification.

***Procedure*** An established and defined method of performing a work task.

***Qualified Individual*** An individual who is knowledgeable of the work, the hazards involved, and the means to control the hazards, by reason of education, training, experience or a combination of those three items.

***Risk*** A 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.

***Senior Management*** Senior management are the key stakeholders in the company who guide the program’s administration processes, set the attitude and commitment toward safety and define the authority and respective relationships required to accomplish the company’s goals and objectives. (I.e. Vice President of Operations, Vice President of Finance, CFO, CEO, President)

***Specialized PPE*** Personal Protective Equipment is gear that is not standard issue to all levels of workers. Examples are cartridge-style respirators, SCBA units, chemical sniffers and chemical resistant clothing. By definition, specialized PPE requires that the worker receive training in the equipment (such as fitting, testing, etc.).

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

***Supervisor*** An individual, who instructs, directs and controls workers in the performance of their duties.

**Swamper** An individual who assists, signals or guides the driver also referred to as a signaller, helper**.**

***Training*** A process by which a skill is developed.

***Worker*** A worker in this document specifically means an individual engaged as an employee by the company to conduct work on its behalf this does not include owner operators whom are analyzed separately.