



# Safety Management System



**VERSION 2.1**

March, 2010



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### What is the Partners in Injury and Disability Prevention Program?

The Partners in Injury and Disability Prevention Program is a WorkSafeBC strategic initiative that encourages employers to voluntarily develop health, safety, and injury management systems. The initiative is based on the proven concept that employers who take a strategic approach to mitigation of risk and continuous improvement have greater success in reducing the human and financial costs of workplace injuries. WorkSafeBC is entering into partnership with industry associations that have extensive understanding of issues within that industry. The BC Maritime Employers Association (BCMEA) has been selected by WorkSafeBC as the certifying partner for British Columbia waterfront industries.

### What is a certifying partner?

A certifying partner is an association recognized by WorkSafeBC as having in-depth industry knowledge and the ability to promote workplace health and safety initiatives in their industry. Certifying partners assist employers through a safety management certification process and deliver the appropriate related programs while coordinating communication with WorkSafeBC. The BCMEA has contracted with WorkSafeBC to provide the Partners in Injury and Disability Prevention Program to the following classification units (CU):

- |                             |           |                    |           |
|-----------------------------|-----------|--------------------|-----------|
| • General Wharf Operations  | CU 732020 | • Ship Maintenance | CU 712025 |
| • Marine Bulk Terminal      | CU 732025 | • Barge & Tugs     | CU 732008 |
| • Marine Container Terminal | CU 732026 | • Log Towing       | CU 732024 |
| • Stevedoring               | CU 732036 |                    |           |

### Why is the BCMEA your certifying partner?

The BC Maritime Employers Association (BCMEA) represents 69 companies involved in waterfront operations on the West Coast of Canada and is recognized as one of the oldest safety organizations in the province. The BCMEA works with waterfront employers and employees to significantly improve their joint performance in the areas of safety, quality and productivity. Through the partnership with WorkSafeBC, the BCMEA aims to improve effectiveness, and to intensify the commitment of the waterfront employers to the goals of reducing injuries, preventing disability, and promoting healthy and safe work environments. To participate in this program, you must be categorized within one of the classification units above or in a naturally aligned company. You do not need to be a member of the BCMEA to participate in this program.

### What is the BCMEA COR Program?

The COR Program is an initiative that recognizes and rewards employers who go beyond the legal requirements of the applicable regulations by taking a systematic approach to continuous improvement of health, safety, and injury management. The program equally recognizes the concepts of managing health and safety and the other components necessary for a successful business, such as profitability and productivity.

The COR program provides an opportunity for you to voluntarily take a proactive role to improve your health and safety performance. Waterfront employers who implement health and safety management systems as well as injury management systems are rewarded through a balanced and transparent WorkSafeBC employer incentive program. The BCMEA is responsible for overseeing the program and quality assurance to assist with the continuous improvement of safety on the waterfront.



## Goals of the BC Maritime Employers Association COR Program

The BC Maritime Employers Association COR Program has six major goals:

- Improve workplace safety
- Reduce injury rate
- Minimize injury duration
- Encourage employer implementation of health and safety and injury management systems
- Develop partnerships with industry associations
- Reward effective injury management practices

## Acknowledgements

The BCMEA would like to thank the Construction Safety Network and the BC Forest Safety Council for their assistance in the development of this audit tool. Their assistance and ongoing support have been invaluable and appreciated by the BCMEA.

## Instructions for Completing the Audit

The BCMEA COR Program has developed this audit tool to assist our members in measuring the effectiveness of their health and safety management systems. Specific training is required on the use of this audit tool. Industry specific and auditing knowledge are essential to conducting successful audits. Training on the use of this tool for the purpose of COR certification is required. Please contact the BCMEA for assistance with training requirements. The following pages contain background information and general guidelines for auditors.

Audits are a management tool used to measure performance at a specific time. These measurements are used to develop recommendations to improve the system. Audits measure system performance and form the basis for future management strategies. Auditors must remain objective and follow the BCMEA COR Program code of ethics. A biased recommendation provides little value and can be counter productive.

## The Audit Process

There are three phases to the audit process. Each phase has several activities.

### I Audit Preparation

1. Inform participants
2. Locate background material
3. Gather tools
4. Familiarization tour
5. Pre audit meeting



## II Performing the Audit

1. Step 1 SMS Document Review
2. Step 2 Detailed Audit (Observation and Interviews)
3. Step 3 Summarizing Results

## III Summarizing the Audit

1. Close out meeting
2. Auditor Report

## I AUDIT PREPARATION

Planning in advance saves time and energy. Advance planning maximizes your efforts. Before the audit begins, follow the steps below:

### 1. Create a Company Profile

Obtain as much background material as possible about the organization to be audited. Look for and compile things such as:

- a) A written description of the organization
- b) An organizational chart
- c) WorkSafeBC account number and Classification Unit(s)
- d) Type of business
- e) Size of company (number of employees and how they are distributed)
- f) List of key contacts
- g) Normal operating capacity
- h) Geographic dispersion
- i) Current level of in-house safety knowledge
- j) Legislation and regulatory requirements
- k) Client requirements
- l) Any previous health and safety audit
- m) Any previous action plan

### 2. Audit Confirmation Letter

The auditor should contact the company to verify the following points:

- a) The date, time and location of the pre-audit meeting



- b) The names of the people that should be in attendance at the pre-audit meeting
- c) The availability of the audit document
- d) The date, time and location of the audit
- e) The number of management, regular workforce and, where applicable, daily dispatch workers in order to determine the sample size
- f) The personnel designated as the key contact for the company
- g) The availability of quiet, comfortable areas for interviews
- h) Any personal protective equipment required
- i) The availability of Safety Management System documentation

### 3. Gather Tools

Gather the tools you will need to perform the audit:

- a) Note paper and pens
- b) Appropriate personal protective equipment
- c) Copies of the most current applicable regulations
- d) The COR SMS audit document and interview questions

### 4. Familiarization Tour

Arrange for a tour of the site(s). Ensure you have a knowledgeable company employee to escort you.

### 5. Pre-Audit Meeting

The auditor should arrange to meet the company representatives prior to the audit to address the following items:

- a) The confidentiality requirements of the auditor and the audit results
- b) The scope and purpose of the audit
- c) The minimum performance standard
- d) To address any questions or concerns

## II PERFORMING THE AUDIT

Before proceeding with the audit, complete the audit information page. Fill in all the blanks. There are three verification techniques used in completing the actual audit: (1) document review; (2) observations; and (3) interviews. These techniques are listed for each audit question:

D = Documentation      O = Observation      I = Interview



## Step 1 Documentation Review

### *Health and Safety Manual Verification*

This is the initial setup in the document review. Every organization must have a safety manual. There may be considerable differences in safety manuals from employer to employer. The manual must be appropriate to the size and complexity of the organization. The audit measures the performance of the safety management system based on ten elements. Many of these elements should be documented in the safety manual. If the auditor does not find clear documentation which supports these elements, they may wish to discuss the validity of continuing the audit with the employer. The employer has the option of stopping the audit and reassessing the organization's safety manual.

### *Documentation Review*

Document review is the process of reviewing the health and safety manual as well as safety records. The auditor is looking for written proof of historical records describing the activities in place at the time of the audit. Health and safety records are typically checked for completeness such as dates, frequency, agenda items, signatures and senior management involvement.

Documents that need to be reviewed may include:

- |                                      |  |                                |
|--------------------------------------|--|--------------------------------|
| 1. Company health and safety manual  | 7. Company rules                           | 13. Completed investigations   |
| 2. Hazard/risk analysis tool         | 8. Disciplinary measures                   | 14. Emergency response plans   |
| 3. Completed hazard assessment forms | 9. Personal protective equipment protocols | 15. Statistics                 |
| 4. Quality assurance program         | 10. Preventative maintenance program       | 16. Medical monitoring reports |
| 5. Safe work practices               | 11. Training and communication             | 17. Action plans               |
| 6. Written safe work procedures      | 12. Completed inspection reports           |                                |

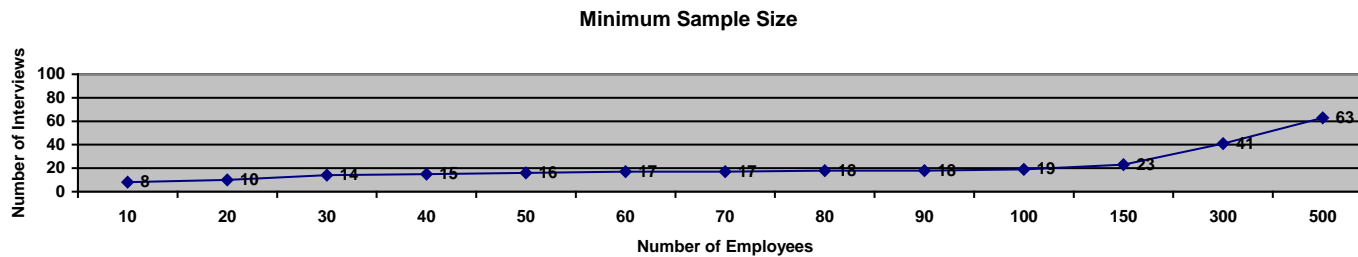
Working through the audit tool will require access and review of these documents. If a document cannot be produced or if it does not meet the criteria, points may not be awarded.

## Step 2 Observational Tour

The purpose of the observational tour is to confirm the information gathered during the document review. Also, additional information may be required for confirmation during the interviews. Auditors should observe that employees are meeting the requirements of the health and safety program and the regulatory requirements. The auditor should note the site conditions. The observational tour is not intended to be an exhaustive site inspection.

## Step 3 Interviews

It is essential to have a good representative sample of all company personnel when conducting interviews. The auditor must strive to ensure the data collected in interviews is representative of the actual conditions. Care should be taken to ensure that cross-sections of all types of workers employed by the organization are involved in the interview process. Management staff, regular workforce, dispatched workforce and contractors must be included in the interview process. Interviews must be conducted on a one-on-one basis. Group interviews are not acceptable. Please refer to the following chart for sample sizes.



For example a company with 150 employees would require a minimum of 23 interviews. The auditor would ensure that cross sections of interviews are conducted this might look like the following:

- 150 employees → 5 Managers                      3 Managers
- 10 Office Staff                      2 Office Staff
- 10 Foremen                              5 Foreman
- 50 Regular Workforce                      6 Regular Workforce
- 50 Daily Dispatch                      4 Daily Dispatch
- 20 MTE Regular Workforce                      3 MTE Regular Workforce
- 5 MTE Daily Dispatch                      1 MTE Daily Dispatch

The auditor has the authority to conduct as many interviews as deemed necessary to establish the safety management system proficiency. Deviation from the recommended sample size is permitted however the auditor must provide justification to the BCMEA as to the reasons for the deviation.

A representative sample of the organization is required. Interviewees should be chosen to ensure that all levels as well as all functional areas of the organization are adequately represented. The auditor shall determine the sampling pool.

When you are conducting interviews use the interview sheets provided. Specific sheets are provided for management, supervisors, regular workforce, daily dispatch and contractors. Careful time management is essential. It is important to develop a good rapport with the interviewee stressing the fact that all interviews will be confidential.



#### Step 4 Audit Document Points Awarding

The audit tool requires points to be awarded for each question. Every question has clear direction for how and what points are to be awarded. Questions will require points to be awarded if the organization meets the criteria outlined in the question. Points will be awarded either on an “all or nothing” basis or on a proportional basis. Please read the question carefully to ensure that the points are awarded correctly.

Questions may be deemed “not applicable” if they do not apply to a company. In this case, if this is the case, mark N/A in the appropriate points box. Points for the question must be removed from that section as well as the total audit score. Justification must be provided in the comments box.

Comments are required for each question. Note what actions were taken to reach the conclusion for each question. For example, note what documentation 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. An incomplete comment section may result in a rejected audit.

Recommendations are required for each section where the organization does not receive full marks. The auditor shall develop recommendations which address the specific area(s) where points were not awarded. The notes and recommendations will form the basis for the 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 SMARTER principle:

- S — Specific
- M — Measurable
- A — Accountable
- R — Reasonable
- T — Timely
- E — Effective
- R — Reviewed

#### Audit Document Submission Checklist

Prior to submitting the audit document to the BCMEA for review, ensure that the Audit document checklist has been completed and signed. This will help to ensure that the documentation is complete and assist in the review process.

### III SUMMARIZING THE AUDIT

#### Close-Out Meeting

Once the audit is complete, the close-out meeting should take place, usually involving the same personnel that attended the pre-audit meeting. At this time the audit process is reviewed. Credit should be provided where the safety program performed well. Recommendations for improvement should be identified as needed. The auditor should also recommend that the company develop an action plan based on the results of the audit. Once the meeting is concluded, allow for questions and have the company's senior executive sign off on the audit summary sheet on behalf of the company.



## Auditor Report

The auditor report is an important part of the audit. This report should address the positive and negative aspects of each element and the overall recommendations of the audit. The executive summary should contain enough information to be useful to the company so they can develop an action plan based on the findings of the audit. The audit report shall include the following;

1. Title page
2. Table of contents
3. Executive summary
4. Company profile
5. Organization chart
6. Explanation of sample size and strategy
7. Documents reviewed list
8. Audit notes
9. Audit recommendations
10. Completed COR SMS Audit document
11. Scoring summary
12. Certifying Partner cover letter
13. Client cover letter
14. Pre-audit confirmation letter
15. Pre-audit meeting agenda and minutes
16. Post-audit meeting agenda and minutes



**A. MANAGEMENT LEADERSHIP**

This section of the Audit examines:

- A.1 Health and Safety Policy
- A.2 Health and Safety Responsibilities
- A.3 Communications of Issues
- A.4 Planning, Objectives and Goals
- A.5 Performance Measurement
- A.6 Management Review

A.1 Health and Safety Policy		Validation Score			
Question	Guidelines	O	D	I	Total
1.1	<p>Is there a written Health and Safety Policy for the organization?</p> <p><b>DOCUMENT REVIEW (Score 0 or 10 points)</b> Review the Policy. If the written Policy is produced, award 10 points. If there is no Policy in place or if it cannot be produced during the time of the audit, award 0 points.</p>				10
Comments					
Recommendations					
1.2	<p>Is the Policy signed by the senior officer of the organization?</p> <p><b>DOCUMENT REVIEW (Score 0 or 10 points)</b> Ensure the Policy has been signed by the current senior officer within the past two years. If yes, award 10 points.</p>				10
Comments					



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A.1 Health and Safety Policy						
Question		Guidelines			Validation Score	
Recommendations						
1.3	Is the Policy readily available and communicated to all employees?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points)</p> <p>Review new hire documentation, meeting minutes, employee handbooks and safety manual. Award full points if the references are adequate to ensure the Policy is readily available to all employees.</p> <p><b>INTERVIEW</b> (Score 0 to 3 points)</p> <p>Interview employees to determine if the Policy has been communicated. Award points based on the percentage of positive responses.</p>	O	D	I	Total
						8
Comments						
Recommendations						
1.4	Is the current Policy posted at the worksites?	<p><b>OBSERVATION</b> (Score 0 to 30 points)</p> <p>Review worksites to determine if the Policy is posted in areas accessible to workers., For example: lunchrooms, coffee rooms or bulletin boards. Award full points if the Policy is posted and accessible to workers.</p>	O	D	I	Total
						30
Comments						



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A.1 Health and Safety Policy						
Question	Guidelines	Validation Score				
Recommendations						
1.5	Have specific responsibilities been written for senior management, based on regulatory requirements?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) If the Policy specifies senior management's responsibility for health and safety, award 10 points.	O	D	I	Total <hr/> 10
Comments						
Recommendations						
1.6	Have specific responsibilities been written for managers and supervisors, based on regulatory requirements?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) If the Policy specifies managers' and supervisors' responsibility for health and safety, award 10 points.	O	D	I	Total <hr/> 10
Comments						
Recommendations						



A.1 Health and Safety Policy								
Question		Guidelines			Validation Score			
1.7	Have specific responsibilities been written for the workers, based on regulatory requirements?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) If the Policy specifies the workers' responsibility for health and safety, award 10 points.			O	D	I	Total
								10
Comments								
Recommendations								
1.8	Does the Policy reference the requirement for compliance to the applicable regulations?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) If the Policy references the requirement for regulatory compliance, award 10 points.			O	D	I	Total
								10
Comments								
Recommendations								



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A.1 Health and Safety Policy					
Question	Guidelines	Validation Score			
1.9 Do managers and supervisors discuss the contents of the Policy with workers?	<p><b>DOCUMENT REVIEW (Score 0 or 5 points)</b> Review documentation (i.e. site orientation checklist safety meetings minutes, staff meeting minutes and performance reviews) to confirm discussions. Award 5 points if the Policy has been discussed at least once in the past calendar year.</p> <p><b>INTERVIEW (Score 0 to 2 points)</b> Interview workers to confirm that managers and supervisors discussed the Policy. Award points based on the percentage of positive findings and responses.</p>	O	D	I	Total
					7
Comments					
Recommendations					



A.2 Health and Safety Responsibilities						
Question	Guidelines	Points Awarded				Total
2.1	Is there a senior executive accountable for the responsibility of health and safety?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review health and safety program documentation to determine if the roles and responsibilities of the senior executive accountable include safety. If yes, award 5 points.	0	D	I	Total
		<b>INTERVIEW</b> (Score 0 or 5 points) Interview managers and supervisors to determine the commitment of senior executives to health and safety. 100% positive responses are required to award 3 points.				
Comments						10
Recommendations						
2.2	Is a "qualified individual" (i.e. health and safety manager) responsible for the health and safety program?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review organizational chart to determine if there is a high level position within the organization dedicated to health and safety? If yes, award 5 points.	0	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 3 points) Interview supervisors to determine if the "qualified individual" is meeting the needs of the company's safety program. Award points based on the percentage of positive responses.				
Comments	Both questions on this page require a clear definition or possible rewording of what the meaning of the term "qualified individual" is					8

Comment [t1]: Needs clear definition



A.2 Health and Safety Responsibilities						
Question	Guidelines	Points Awarded				
Recommendations						
2.3	Do supervisors have a clear understanding of their roles and responsibilities in managing health and safety issues at the workplace?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points)</p> <p>Review documentation, such as policies, procedures and training materials, to determine if there is clear documentation which establishes the roles and responsibilities for health and safety for supervisors. Award points if responsibilities are clearly outlined and documented.</p> <p><b>INTERVIEW</b> (Score 0 to 3 points)</p> <p>Interview supervisors to confirm if they have received training in their roles and responsibilities. Award points based on the percentage of positive responses.</p>	O	D	I	Total
						8
Comments						
Recommendations						
2.4	Does management have a clear understanding of their roles and responsibilities in managing health and safety issues at the workplace?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points)</p> <p>Review documentation, such as policies, procedures and training materials, to determine if there is clear documentation that establishes the roles and responsibilities for health and safety for managers. Award 5 points if responsibilities are clearly outlined and documented.</p> <p><b>INTERVIEW</b> (Score 0 to 3 points)</p> <p>Interview managers &amp; supervisors to confirm they are aware and understand their health and safety responsibilities. Award points based on the percentage of positive responses.</p>	O	D	I	Total
						8



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A.2 Health and Safety Responsibilities						
Question	Guidelines				Points Awarded	
Comments						
Recommendations						
2.5	Do managers and supervisors lead by example (wearing of personal protective equipment, following procedures, etc.) and follow the health and safety program?	<p><b>OBSERVATION</b> (Score 0 or 25 points)</p> <p>Observe the operating conditions in the workplace to see if managers and supervisors follow policies and procedures within the health and safety program. 90% positive observations required to award 25 points.</p> <p><b>INTERVIEW</b> (Score 0 or 2 points)</p> <p>Interview all employees for their opinion on whether managers and supervisors follow the health and safety program and lead by example. 70% positive responses are required to award 2 points.</p>	O	D	I	Total
						27
Comments						
Recommendations						



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A.2 Health and Safety Responsibilities					
Question	Guidelines	Points Awarded			
2.6	<p>Have managers ensured that the current health and safety Acts and regulations as required by legislation are readily available to all employees?</p> <p><b>OBSERVATION</b> (Score 0 or 10 points)            Observe the worksite to determine if current health and safety regulations and legislative requirements are available.            If yes, award 10 points.</p> <p><b>INTERVIEW</b> (Score 0 or 10 points)            Interview managers and supervisors to determine if and how safety regulations and legislative requirements are made available.            70% positive responses are required to award 10 points.</p>	0	D	I	Total
					20
Comments					
Recommendations					



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A.3 Communication of Issues					
Question	Guidelines	Points Awarded			
3.1 Does senior management communicate to all employees, at least annually, the organization's commitment to health and safety?	<b>DOCUMENT REVIEW (Score 0 or 5 points)</b> Review documentation to ensure senior management has communicated to the employees its commitment to health and safety at least once a year. If yes, award 5 points.	0	D	I	Total
	<b>INTERVIEW (Score or 3 points)</b> Interview managers, supervisors, foremen and regular workforce to ensure senior management has, within the last year, communicated the organizations commitment to health and safety. 70% positive responses are required to award 3 points.				
Comments					
Recommendations					
3.2 Do managers and supervisors regularly communicate site-specific health and safety information with the workers?	<b>DOCUMENT REVIEW (Score 0 to 5 points)</b> Review documentation such as toolbox talks, meeting minutes, bulletin boards and newsletters to see if this is occurring. Look for workplace inspection results, reports, hazard/safety alerts, incident investigations, safety committee reports and operational statistics being shared. Award 1 point for each type of documentation shared with workers.	0	D	I	Total
	<b>INTERVIEW (Score 0 or 3 points)</b> Interview managers and supervisors to conclude if this information is being shared on a regular basis with the workers. 70% positive responses are required to award 3 points.				
Comments					



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A.3 Communication of Issues						
Question	Guidelines	Points Awarded				
Recommendations						
3.3	Is there a process in place for two-way communication regarding health and safety?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review communication documentation to see if two-way feedback is occurring. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 or 2 points) Interview employees to determine if communication is occurring and if there is an opportunity for feedback. 70% positive responses are required to award 2 points.</p>	O	D	I	Total
					7	
Comments						
Recommendations						



A.4 Safety Planning, Objectives and Goals						
Question	Guidelines	Points Awarded				
4.1	Is there a formal process in place to develop measurable safety goals necessary to achieve overall safety objectives?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review meeting documentation to determine if this process is in place. If yes, award 5 points.	0	D	I	Total
		<b>INTERVIEW</b> (Score 0 or 3 points) Interview management & supervisors to determine their commitment and involvement with this process. 70% positive responses are required to award 3 points.				
Comments						
Recommendations						
4.2	Are safety objectives and goals documented and regularly distributed within the organization?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to determine if this is occurring at least 4 times per year. Award 5 points based on positive findings.	0	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 10 points) Interview managers and supervisors to determine if this is occurring. Award points based on the percentage of positive responses.				
Comments						
Recommendations						



A.4 Safety Planning, Objectives and Goals					
Question	Guidelines	Points Awarded			
4.3 When establishing and reviewing health and safety objectives and goals, does the organization consider the following: <ul style="list-style-type: none"> <li>• hazards and risks;</li> <li>• financial, operational and business requirements;</li> <li>• Interests of all stakeholders.</li> </ul>	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review documentation to determine if the three criteria as listed are included in the development and review of objectives and goals. Award points based on positive findings.	0	D	I	Total
	<b>INTERVIEW</b> (Score 0 or 3 points) Interview managers and supervisors to determine if the health and safety objectives and goals are reviewed and measured. 70% positive responses are required to award 3 points.				
Comments					8
Recommendations					



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A.5 Performance Measurement						
Question	Guidelines	Points Awarded				
5.1	Is there a formal process in place to develop and maintain a set of health and safety performance parameters?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points)	0	D	I	Total
		Review safety management system documentation to determine if this process is in place. Look for evidence of incident trend analysis, frequency and severity rates as well as positive trend analysis. If yes, award 5 points.				
		<b>INTERVIEW</b> (Score 0 or 3 points)				
		Interview managers and supervisors to determine their involvement in the development and maintenance of health and safety performance parameters. 70% positive responses are required to award 3 points.				8
Comments						
Recommendations						
5.2	Are managers, supervisors and workers aware of the critical safety performance measures within their specific areas of responsibility?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points)	0	D	I	Total
		Review documentation to ensure that these benchmarks are being set and evaluate whether these were adequately communicated to the employees. Award points based on the percentage of positive findings.				
		<b>INTERVIEW</b> (Score 0 to 3 points)				
		Interview employees to determine their awareness of the critical safety performance measures that are applicable to them. Award points based on the percentage of positive responses.				8
Comments						



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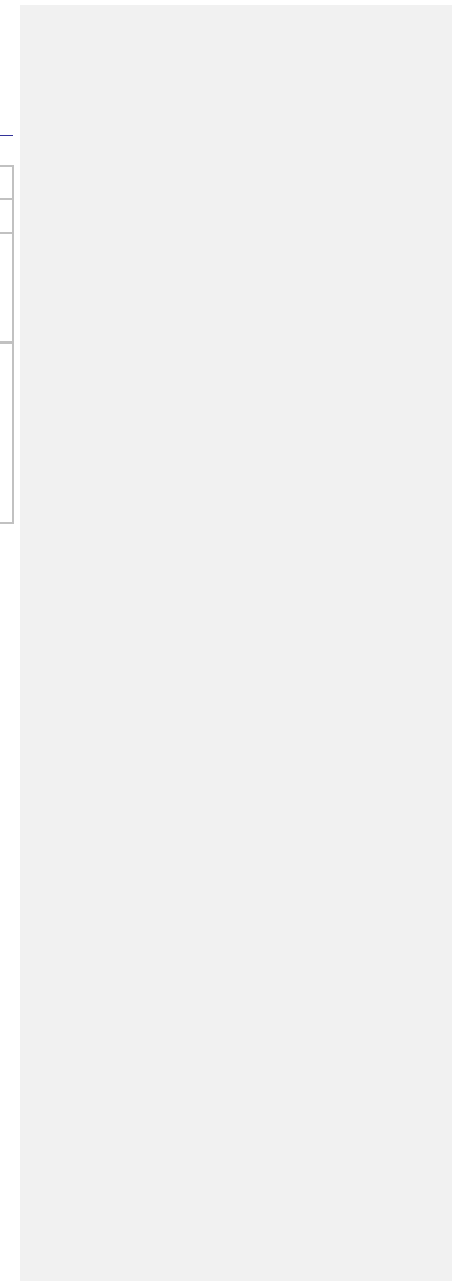
A.5 Performance Measurement						
Question	Guidelines	Points Awarded				
Recommendations						
5.3	Are resources being allocated based on health and safety performance measurement?	<p><b>DOCUMENT REVIEW</b> (Score 0 to 5 points)</p> <p>Review documentation to determine if the employer is utilizing a process to allocate resources based on performance measurement. Award points based on positive and appropriate findings.</p> <p><b>INTERVIEW</b> (Score 0 or 3 points)</p> <p>Interview managers and supervisors to determine if adequate resources are being allocated. 70% positive responses are required to award 3 points.</p>	0	D	I	Total
						8
Comments						
Recommendations						
5.4	Are managers and supervisors showing their support for safety with a visible presence in the workplace?	<p><b>INTERVIEW</b> (Score 0 to 10 points)</p> <p>Discuss with managers and supervisors how they demonstrate support for safety. Clear objectives with specific tactics required for positive response.</p> <p>Award points based on % of positive response</p>	0	D	I	Total
						10



Certificate of Recognition Program (COR)



A.5 Performance Measurement		
Question	Guidelines	Points Awarded
Comments		
Recommendations		





Certificate of Recognition Program (COR)



A.6 Management Review						
Question	Guidelines	Points Awarded				
6.1	<p>Is there a method to formally review the safety management system at the appropriate management level suitable to the size of the organization?</p>	<p><b>DOCUMENT REVIEW</b> (Score 0 or 10 points)</p> <p>Review documentation to determine if a process is in place and being utilized that formally reviews the Safety Management system. If yes, award 10 points.</p>	0	D	I	Total
		<p><b>INTERVIEW</b> (Score 0 to 10 points)</p> <p>Interview managers and supervisors to determine if the review program is effective. Award points based on the percentage of positive responses.</p>				
Comments						20
Recommendations						
6.2	<p>Is there a process to evaluate the effectiveness of corrective actions?</p>	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points)</p> <p>Review documentation to determine if there is a process in place to evaluate the effectiveness of corrective actions. If yes, award 5 points.</p>	0	D	I	Total
		<p><b>INTERVIEW</b> (Score 0 to 3 points)</p> <p>Interview managers, supervisors and workers to determine their involvement with corrective actions. Award points based on the percentage of positive responses.</p>				
Comments						8



A.6 Management Review		
Question	Guidelines	Points Awarded
Recommendations		
		Section A Total
		302



**B. SAFE WORK PROCEDURES**

This section of the Audit examines:

- B.1 General Safe Work Procedures
- B.2 High Risk and Unique Work Procedures

B.1 General Safe Work Procedures						
Question	Guidelines	Points Awarded				
		O	D	I	Total	
1.1	<p>Are health and safety rules and procedures effectively communicated to managers, supervisors and workers?</p> <p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to confirm health and safety rules and procedures are regularly communicated to managers, supervisors and workers. If documentation exists to support 90% of all workers receive regular and effective communication on health and safety rules and procedures, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 or 5 points) Interview employees to determine if health and safety rules are discussed on a regular basis. 70% positive response required to award 5 points.</p>					10
Comments						
Recommendations						
1.2	<p>Is there an adequate process to determine when written safe work procedures are required?</p> <p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation for evidence of a written assessment process. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 or 2 points) Interview supervisors, foremen and regular workforce to determine knowledge and understanding of the process. 50% positive response required to award 2 points.</p>					7
Comments						



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B.1 General Safe Work Procedures						
Question		Guidelines			Points Awarded	
Recommendations						
1.3	Is personal protective equipment (PPE) made available to employees in accordance with the applicable regulations?	<b>OBSERVATION</b> (Score 0 to 25 points) If workers appear to be using the correct personal protective equipment award 25 points. <b>INTERVIEW</b> (Score 0 or 2 points) Interview employees to determine if there is appropriate access to personal protective equipment. 70% positive response required to award 2 points.	O	D	I	Total
						27
Comments						
Recommendations						
1.4	Are managers and supervisors leading by example (wearing of Personal Protective Equipment, seatbelts, etc.) and following the health and safety program?	<b>OBSERVATION</b> (Score 0 to 25 points) If managers and supervisors appear to be leading by example and following the health and safety program, award 25 points.	O	D	I	Total
						25
Comments						



Certificate of Recognition Program (COR)



B.1 General Safe Work Procedures						
Question	Guidelines	Points Awarded				
Recommendations						
1.5	Is there a method for managers and supervisors to ensure compliance with safe work procedures?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation (i.e. corrective action procedures, disciplinary procedures) to confirm managers and supervisors have a method to ensure compliance. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 to 3 points) Interview workers to validate their understanding of the compliance processes. Interview managers &amp; supervisors to determine if adequate levels of supervision are maintained for the job or site. Award points based on the percentage of positive responses.</p>	O	D	I	Total
						8
Comments						
Recommendations						
1.6	Is there a method of ensuring that hazardous conditions and acts are reported to senior management?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review the health and safety program to determine if employees have a system to report hazardous conditions and acts to supervisors or managers. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 to 2 points) Interview workers to evaluate if they understand and follow the reporting process. Award points based on the percentage of positive responses.</p>	O	D	I	Total
						7



Certificate of Recognition Program (COR)



B.1 General Safe Work Procedures						
Question	Guidelines	Points Awarded				
Comments						
Recommendations						
1.7	Are there written standards or rules with respect to alcohol and drug use/abuse?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation regarding drug and alcohol issues. Award 5 points if rules or standards are included in the health and safety program.	O	D	I	Total <hr/> 5
Comments						
Recommendations						
1.8	Do the observed worksite conditions comply with the regulatory requirements and or the site specific rules and procedures?	<b>OBSERVATION</b> (Score 0 to 20 points) Observe the worksite to determine if the rules are being followed with respect to jurisdictional requirements. This includes but is not limited to Canada Labour Code Part II, Marine Occupational Safety and Health Regulations, Canada Occupational Safety and Health Regulations, Transportation of Dangerous Goods, <i>Shipping Act</i> , etc. Award points based on the percentage of positive observations. <b>INTERVIEW</b> (Score 0 to 5 points) Interview employees to determine if the standards are being followed. Award points based on the percentage of positive responses.	O	D	I	Total <hr/> 25



Certificate of Recognition Program (COR)



B.1 General Safe Work Procedures						
Question		Guidelines			Points Awarded	
Comments						
Recommendations						
1.9	Do employees comply with regulatory, corporate and site-specific rules?	<b>OBSERVATION</b> (Score 0 to 20 points) Observe worker performance and determine compliance. Award points based on the percentage of positive observations.	O	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 5 points) Interview workers to determine their understanding of the rules and regulations. Award points based on the percentage of positive responses.				25
Comments						
Recommendations						



Certificate of Recognition Program (COR)



B.1 General Safe Work Procedures						
Question	Guidelines	Points Awarded				
1.10	If required, do workers have access to and are able to review safe work procedures for their specific task or job?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review program documentation to determine if safe work procedures are available to workers. If 100% of workers have access to safe work procedures, award 5 points.	O	D	I	Total
						5
Comments						
Recommendations						
1.11	Is there a qualified individual designated to ensure that safe work procedures are updated and continuously accessible?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to determine if this responsibility been assigned to a qualified individual? If yes, award 5 points.	O	D	I	Total
						5
Comments						
Recommendations						



Certificate of Recognition Program (COR)



B.1 General Safe Work Procedures						
Question		Guidelines	Points Awarded			
1.12	Have specific procedures been developed for first aid?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to determine if specific first aid procedures have been developed. If yes, award 5 points.	O	D	I	Total
						5
Comments						
Recommendations						



Certificate of Recognition Program (COR)



B.2 High Risk and Unique Work Procedures						
Question	Guidelines	Points Awarded				
2.1	Are there written safe work procedures for all high risk tasks performed on the jobsite?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review documentation to ensure there are safe work procedures written for every high risk task performed on the jobsite. Award points based on the percentage of positive results.	O	D	I	Total
						5
Comments						
Recommendations						
2.2	Are safe work procedures for high risk tasks created and updated by workers, supervisors and management in a combined effort?	<b>INTERVIEW</b> (Score 0 to 10 points) Interview managers, supervisors, foremen & regular workforce to determine if they are involved in the process.	O	D	I	Total
						10
Comments						
Recommendations						



B.2 High Risk and Unique Work Procedures						
Question	Guidelines	Points Awarded				
2.3	Does the joint health and safety committee review safe work procedures on a regular basis?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review committee minutes or other documentation to determine if this is occurring. If yes, award 5 points.	0	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 3 points) Interview joint health and safety committee members to determine if the safe work procedures are being reviewed. Award points based on the percentage of positive responses.				
Comments						
Recommendations						
2.4	Are workers knowledgeable about the safe work procedures that apply to their work site?	<b>INTERVIEW</b> (Score 0 to 5 points) Interview regular workforce, foremen & dispatched workforce to determine if they are able to knowledgeably discuss details of their safe work procedures that apply to their work site. Award points based on the percentage of positive responses.	0	D	I	Total
Comments						
Recommendations						



Certificate of Recognition Program (COR)



B.2 High Risk and Unique Work Procedures								
Question	Guidelines			Points Awarded				
2.5	Do workers use safe work procedures?	<b>OBSERVATION</b> (Score 0 to 20 points) Tour the site and observe if safe work procedures are used by the workers. Award points based on the percentage of positive observations.			O	D	I	Total
							20	
Comments								
Recommendations								
2.6	Do workers wear personal protective equipment as required?	<b>OBSERVATION</b> (Score 0 to 25 points) Observe workers to determine if they are wearing their personal protective equipment as required by company rules and regulatory requirements. Award points based on the percentage of positive observations.			O	D	I	Total
							25	
Comments								
Recommendations								



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B.2 High Risk and Unique Work Procedures						
Question	Guidelines	Points Awarded				
2.7	Do all tools meet the required standard for guarding and other appropriate regulations?	<b>OBSERVATION</b> (Score 0 to 30 points) Inspect tools to ensure that guarding is in place and being used. Award points based on the percentage of positive observations.	O	D	I	Total 30
Comments						
Recommendations						
2.8	Is large equipment (i.e. cranes, welding equipment, forklifts, etc.) in compliance with all appropriate regulations?	<b>OBSERVATION</b> (Score 0 to 30 points) Observe large equipment and ensure compliance with the regulations. Award points based on the percentage of positive observations.	O	D	I	Total 30
Comments	Reword to be less directed towards regulatory compliance					
Recommendations						
2.9	Are workers using tools and equipment in a manner consistent with good practices? ie SWP or manufacturer's recommendations	<b>OBSERVATION</b> (Score 0 to 30 points) Observe if tools and equipment are being used by workers in accordance with good practices Award points based on the percentage of positive observations.	O	D	I	Total 30



Certificate of Recognition Program (COR)



B.2 High Risk and Unique Work Procedures						
Question	Guidelines	Points Awarded				
Comments						
Recommendations						
2.10	Are the tools and equipment used by workers in good working condition?	<b>OBSERVATION</b> (Score 0 to 30 points) Observe whether equipment and tools are in good working condition. Award points based on % of positive observations.	O	D	I	Total
						30
Comments						
Recommendations						
2.11	Is regular maintenance being conducted on specialized personal protective equipment?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review program documentation to see which personal protective equipment requires maintenance, (i.e. SCBA - self contained breathing apparatus) and others (i.e. personal respirators) to determine if the maintenance is being conducted in accordance with the manufacturers' requirements. If yes, award 5 points.	O	D	I	Total
						5
Comments						



B.2 High Risk and Unique Work Procedures		
Question	Guidelines	Points Awarded
Recommendations		
		Section B Total
		352



**C. TRAINING AND INSTRUCTION**

This section of the Audit examines:

- C.1 Orientation
- C.2 Training Awareness and Competency

C.1 Orientation						
Question	Guidelines	Points Awarded				
		O	D	I	Total	
1.1	<p>Are new employees provided with an orientation on the first day of employment, prior to the commencement of work?</p> <p><b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review documentation to determine if orientations are provided to all new employees on their first day of employment. If 90% of new employees have participated in orientation on the first day of employment, award 10 points.</p> <p><b>INTERVIEW</b> (Score 0 to 5 points) Interview employees to confirm they have had a formal orientation on their first day of employment. Award points based on the percentage of positive responses.</p>					
Comments						
Recommendations						
1.2	<p>Does the orientation include the health and safety policy and procedures, safe work procedures, job-specific hazards and the right to refuse unsafe work?</p> <p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review the health and safety policy and procedures, orientation checklist, new hire handouts and supervisor records to determine what information is consistently provided to new hires. Award points if appropriate and timely information has been provided to 90% of new employees.</p> <p><b>INTERVIEW</b> (Score 0 or 2 points) Interview workers to determine their understanding of these issues. 70% positive response required to award 2 points.</p>					
Comments						



Certificate of Recognition Program (COR)



C.1 Orientation						
Question	Guidelines	Points Awarded				
Recommendations						
1.3	Are visitors (i.e. contractors) provided with a worksite orientation?	<b>OBSERVATION</b> (Score 0 or 25 points) Prior to proceeding to the worksite, observe if visitors are provided with a complete orientation. If yes, award 25 points. <b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to determine if an orientation is being conducted. If yes, award 5 points.	O	D	I	Total
						30
Comments						
Recommendations						
1.4	Are employees reoriented when returning to the jobsite after an extended period of time?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to determine if employees returning after a significant absence (greater than 6 months) are receiving an orientation, this could include a pre-job safety instruction, toolbox talk or other appropriate method before returning to work. This also includes employees who are changing job duties. If yes, award 5 points. <b>INTERVIEW</b> (Score 0 or 2 points) Interview employees to determine if this is occurring as required. 70% positive response required to award 2 points.	O	D	I	Total
						7



Certificate of Recognition Program (COR)



C.1 Orientation							
Question		Guidelines			Points Awarded		
Comments							
Recommendations							
1.5	Do supervisors clearly understand who conducts orientations and when they are necessary?	<b>INTERVIEW</b> Interview managers and supervisors to determine their understanding of the orientation process. Award points based on the percentage of positive interviews.	(Score 0 to 10 points)	O	D	I	Total
							10
Comments							
Recommendations							



C.1 Orientation						
Question	Guidelines	Points Awarded				
1.6	<p>Is the site orientation complete and thorough enough that it leaves the auditor confident that the worker is aware of all known hazards and able to navigate the site without difficulty?</p>	<p><b>OBSERVATION</b> (Score 0 to 30 points)</p> <p>Observe the site orientation. For example can the auditor find the First Aid room with ease, does the auditor feel they could evacuate the site in a timely manner, does the auditor know who to report to does the auditor understand the major risks associated with the work being conducted, does the auditor understand the types of PPE to be used on site.</p> <p>Award points based on % of positive observations.</p>	O	D	I	Total
						30
Comments						
Recommendations						



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C.2 Training Awareness and Competence								
Question		Guidelines			Points Awarded			
2.1	Is there a formal training program?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points)			O	D	I	Total
		Review documentation to ensure that a training program exists. If yes, award 5 points.						
		<b>INTERVIEW</b> (Score 0 to 2 points)						
		Interview supervisors and workers to discover their knowledge and understanding of the training program. Award points based on the percentage of positive responses.						7
Comments								
Recommendations								
2.2	Is the organization meeting it's obligation for training of workers to continuously improve and upgrade their skills?	<b>DOCUMENT REVIEW</b> (Score 0 to 10 points)			O	D	I	Total
		Review documentation to ensure training needs for workers are identified and if training is being conducted as required.						
								10
Comments								
Recommendations								



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C.2 Training Awareness and Competence					
Question	Guidelines	Points Awarded			
2.3	<p>Is there an effective method to track training and other education?</p> <p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to determine if training is being monitored and expiration dates tracked. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 or 2 points) Interview managers &amp; supervisors to determine if there is an effective method of tracking training levels which includes qualification and expiry dates. 90% positive responses required to award 2 points.</p>	O	D	I	Total
Comments					7
Recommendations					
2.4	<p>Is there a process to ensure that workers are competent in the skills required to complete assigned tasks?</p> <p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to determine if there is a process to ensure worker competence after training. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 or 2 points) Interview managers &amp; supervisors to determine if workers' skills are checked to ensure competency. 90% positive responses required to award 2 points.</p>	O	D	I	Total
Comments					7



C.2 Training Awareness and Competence		
Question	Guidelines	Points Awarded
Recommendations		
		Section C Total
		130



**D. HAZARD AND RISK ASSESSMENT**

This section of the Audit examines:

- D.1 Reactive Process
- D.2 Proactive Process
- D.3 Hazard Controls and Risk Management
- D.4 Inspection Protocol

D.1 Reactive Process					
Question	Guidelines	Points Awarded			
1.1	<p>Is there a procedure to report all incidents and accidents? Is there a process to ensure this is occurring?</p> <p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to ensure there is a defined requirement to report incidents and accidents. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 or 3 points) Interview workers to determine if the requirements for reporting are understood. 70% positive response is required to award 3 points.</p>	O	D	I	Total
Comments					
Recommendations					
1.2	<p>Are there written procedures for reporting incidents?</p> <p><b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review documentation to confirm the existence of written procedures, including the immediate reporting of all incidents. If yes, award 10 points.</p>	O	D	I	Total
					10
Comments					



Certificate of Recognition Program (COR)



D.1 Reactive Process							
Question		Guidelines				Points Awarded	
Recommendations							
1.3	After an incident, is the hazard reassessed through an evaluation to mitigate future risk?	<b>DOCUMENT REVIEW</b> (Score 0 to 10 points) Review hazard assessments if this is occurring. Award points based on the percentage of positive hazard results.	O	D	I	Total	
		<b>INTERVIEW</b> (Score 0 to 5 points) Interview employees to see if the employer mitigates the risk following an incident. Award points based on the percentage of positive responses.					15
Comments							
Recommendations							
1.4	Is an accident/incident report form utilized to determine the root cause?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) If there is an accident/incident report form, does it require root cause determination? If yes, award 10 points.	O	D	I	Total	
							10
Comments							



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D.1 Reactive Process									
Question		Guidelines				Points Awarded			
Recommendations									
1.5	Does senior management review investigation results?	<b>DOCUMENT REVIEW (Score 0 or 10 points)</b> Review documentation for evidence of senior management review of investigations. If yes, award 10 points.				O	D	I	Total <hr/> 10
Comments									
Recommendations									
1.6	Is there adequate training provided for personnel investigating incidents and accidents?	<b>DOCUMENT REVIEW (Score 0 or 5 points)</b> Review investigator training records to determine if adequate training has been provided. If yes, award 5 points.				O	D	I	Total <hr/> 7
		<b>INTERVIEW (Score 0 to 2 points)</b> Interview managers, supervisors, foremen & regular workforce to determine if investigators have adequate training. 70% positive response required to award 2 points.							
Comments									



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D.1 Reactive Process									
Question		Guidelines				Points Awarded			
Recommendations									
1.7	Is there a procedure for documenting and implementing investigator recommendations? Are the recommendations implemented?	<p><b>OBSERVATION (Score 0 to 25 points)</b> During inspections, is there evidence that follow-up actions have occurred. If yes, award 25 points.</p> <p><b>DOCUMENT REVIEW (Score 0 to 5 points)</b> Review investigation reports for evidence of recommendations and follow-up action. 100% positive response required to award 5 points.</p> <p><b>INTERVIEW (Score 0 to 5 points)</b> Interview managers &amp; supervisors to determine if investigations have produced recommendations and follow-up action. 70% positive response required to award 5 points.</p>				O	D	I	Total
							35		
Comments									
Recommendations									
1.8	Is there a process to collect and analyze data in order to assess and identify trends?	<p><b>DOCUMENT REVIEW (Score 0 or 10 points)</b> Is there a statistical process to assess and identify trends? If yes, award 10 points.</p>				O	D	I	Total
							10		
Comments									



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D.1 Reactive Process									
Question		Guidelines				Points Awarded			
Recommendations									
1.9	Does the investigation program clearly direct what types of incidents are to be reported to the appropriate regulatory bodies?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review the investigation program and determine if there is clear guidance on what should be reported to regulatory bodies. If yes, award 10 points.				O	D	I	Total
									10
Comments									
Recommendations									
1.10	Are all appropriately identified incidents investigated by the organization?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Examine documentation to ensure this is occurring. 90% of incidents must have been investigated to award 5 points.				O	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 3 points) Interview employees to determine if all incidents are investigated. Award points based on the percentage of positive responses.							8
Comments									



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D.1 Reactive Process						
Question		Guidelines	Points Awarded			
Recommendations						
1.11	Does the investigation focus on root cause analysis through the collection of evidence?	<b>DOCUMENT REVIEW</b> (Score 0 to 10 points) Review incident reports to determine if evidence is collected to enable root cause analysis. Award points based on the percentage of positive findings.	O	D	I	Total <hr/> 10
Comments						
Recommendations						
1.12	Is there a written procedure determining distribution of the investigation and follow-up reports?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review documentation of the program to evaluate if there is clear guidance on who is to receive copies of the investigation and follow-up reports. If this occurs, award 10 points.	O	D	I	Total <hr/> 10
Comments						



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D.1 Reactive Process								
Question		Guidelines			Points Awarded			
Recommendations								
1.13	Are corrective measures posted and communicated to workers?	<b>OBSERVATION</b> (Score 0 to 20 points) Are corrective measures from incident investigations posted? Award points based on % of positive observations.			O	D	I	Total
								20
Comments								
Recommendations								
1.14	Does management review all reported incidents that occur within the organization?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to confirm management's review of all reported incidents. If yes, award 5 points.			O	D	I	Total
								8



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D.1 Reactive Process						
Question		Guidelines			Points Awarded	
Comments						
Recommendations						
1.15	Is there a method of implementing the recommendations of each investigation?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Examine documentation to determine if recommendations resulting from investigations are implemented. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 or 5 points) Interview supervisors and managers to determine the method for implementing recommendations from investigations. 90% positive responses required to award 5 points.</p>	O	D	I	Total
						10
Comments						
Recommendations						
1.16	Is there a manager who is ultimately responsible for the investigation process?	<p><b>INTERVIEW</b> (Score 0 or 10 points) Interview managers, supervisors, foremen &amp; regular workforce to identify the person ultimately responsible for the investigation process. 50% positive responses required to award 10 points.</p>	O	D	I	Total
						10



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D.1 Reactive Process								
Question		Guidelines			Points Awarded			
Comments								
Recommendations								
1.17	Is the organization collecting, correlating and acting upon statistical results?	<b>DOCUMENT REVIEW (Score 0 or 10 points)</b> Review statistical documentation such as incident reports, action plans, spreadsheets, charts and other appropriate documents, to confirm that statistical results are recorded, sorted, reviewed and acted upon. If yes, award 10 points.			O	D	I	Total
							10	
Comments								
Recommendations								
1.18	Upon completion of investigations, are safety alerts written and communicated?	<b>DOCUMENT REVIEW (Score 0 to 10 points)</b> Examine documentation to determine if safety alerts are developed following incidents. Determine if this information is being shared with the workers. Award points based on the percentage of positive findings.			O	D	I	Total
							10	
Comments								



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D.1 Reactive Process									
Question		Guidelines				Points Awarded			
Recommendations									
1.19	Are safe work procedures reviewed to ensure effectiveness after an incident occurs?	<b>INTERVIEW (Score 0 or 3 points)</b> Interview managers, supervisors, foremen & regular workforce to determine if a review of safe work procedures occurs after an incident. 70% positive responses required to award 3 points.				O	D	I	Total
									3
Comments									
Recommendations									
1.20	Has the organization defined the type and severity of incidents that will be reported to senior management?	<b>DOCUMENT REVIEW (Score 0 or 10 points)</b> Review documentation to determine if criteria have been set for defining the type and severity of incidents that will be reported to senior management. If yes, award 10 points.				O	D	I	Total
									10
Comments									



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D.1 Reactive Process						
Question	Guidelines	Points Awarded				
Recommendations						
1.21	Where appropriate, does the employer provide training in transportation of dangerous goods certification to employees involved with the shipping and handling of dangerous goods?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review transportation of dangerous goods training records and employee certifications. Award point based on the percentage of positive results.	O	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 3 points) Interview foremen & regular workforce to verify that training and certification requirements are being met. Award points based on the percentage of positive responses.				8
Comments						
Recommendations						
1.22	Is the employer complying with all international maritime dangerous goods regulations?	<b>OBSERVATION</b> (Score 0 to 25 points) Observe the worksite to determine if the regulations are being followed. Award points based on the percentage of positive observations.	O	D	I	Total
		<b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review documentation for: Classes, divisions, packing groups Marine pollutants and wastes				



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D.1 Reactive Process						
Question		Guidelines	Points Awarded			
		International maritime dangerous goods Code Classes Award points based on the percentage of positive results. <b>INTERVIEW</b> (Score 0 to 2 points) Interview managers & supervisors to determine if the regulations are being followed. Award points based on the percentage of responses.				32
Comments						
Recommendations						
1.23	Is the employer compliant with WHMIS regulations?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review documentation to determine WHMIS compliance. Review WHMIS training records. Award 10 points if 100% of workers have received WHMIS training.	O	D	I	Total 10
Comments						
Recommendations						



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D.1 Reactive Process						
Question	Guidelines	Points Awarded				
1.24	Is there an individual responsible for the WHMIS program?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review documentation to confirm an individual is responsible for the WHMIS program. If yes, award 10 points.	O	D	I	Total 10
Comments						
Recommendations						
1.25	Is WHMIS being reviewed periodically to ensure that employees are aware of controlled products?	<b>DOCUMENT REVIEW</b> (Score 0 to 10 points) Review documentation to determine if WHMIS is reviewed periodically. Review employee training records. Award points based on the percentage of positive results.	O	D	I	Total 10
Comments						
Recommendations						



D.2 Proactive Process						
Question	Guidelines	Points Awarded				Total
2.1	Does the employer have an effective process to identify, quantify and prioritize hazards and risks?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to ensure hazards and risks are identified, quantified and prioritized. If an effective process is in place award 5 points.	0	D	I	Total
		<b>INTERVIEW</b> (Score 0 or 3 points) Interview managers, supervisors, foremen & regular workforce to determine if hazards and risks have been identified, quantified and prioritized. 70% positive response required to award 3 points.				
Comments						8
Recommendations						
2.2	Are hazards documented and communicated to all workers?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review documentation to determine if this is occurring. Award points based on the percentage of positive results.	0	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 5 points) Interview workers to see if identified hazards are discussed. Award points based on the percentage of positive responses.				
Comments	Review points for interview question					10



Certificate of Recognition Program (COR)



D.2 Proactive Process						
Question	Guidelines	Points Awarded				
Recommendations						
2.3	Do the findings of the risk assessment process result in recommendations? Are these recommendations followed up in a timely manner?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to determine the effectiveness of risk mitigation and if recommendations are completed in a timely manner. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 to 2 points) Interview managers and supervisors to determine if recommendations are addressed in a timely manner and follow-up has occurred. Award points based on the percentage of positive responses.</p>	O	D	I	Total
						7
Comments						
Recommendations						
2.4	Are hazards identified before the start of each job? Is this process on-going?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to verify that hazards have been identified and communicated before the job starts, on a regular and on-going basis. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 to 5 points) Interview workers to confirm this is occurring. Award points based on the percentage of positive responses.</p>	O	D	I	Total
						10



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D.2 Proactive Process								
Question		Guidelines			Points Awarded			
Comments	Review Points							
Recommendations								
2.5	Is training in hazard identification and control conducted for all appropriate employees?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review training records to confirm this is occurring. Award points based on the percentage of appropriate employees trained.			O	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 5 points) Interview workers to confirm they have had training in hazard identification and control. Award points based on the percentage of positive responses.						
Comments								
Recommendations								



D.2 Proactive Process					
Question	Guidelines	Points Awarded			
2.6	<p>Is there a transportation of dangerous goods (TDG) policy and corresponding procedures?</p> <p><b>OBSERVATION</b> (Score 0 to 25 points)            Observe the worksite to determine if the transportation of dangerous goods policy and procedures regarding transportation of dangerous goods are being followed with respect to regulatory requirements.            Award points based on the percentage of positive observations.</p> <p><b>DOCUMENT REVIEW</b> (Score 0 to 5 points)            Review transportation of dangerous goods documents for the following:            Safety marks on a small means of containment            Large means of containment            Options for placards and UN numbers            Shipping documents            Receiving dangerous goods            Administration and contacts            Classifications            Safety marks requirements            Consignor and carrier responsibilities            Emergency response assistance            Award points based on the percentage of positive results.</p> <p><b>INTERVIEW</b> (Score 0 to 3 points)            Interview managers, supervisors, foremen &amp; regular workforce to determine if the transportation of dangerous goods regulations are being followed.            Award points based on the percentage of positive responses.</p>	O	D	I	Total
					33
Comments					
Recommendations					



Certificate of Recognition Program (COR)



D.2 Proactive Process						
Question	Guidelines	Points Awarded				
2.7	Is there a process in place to identify the risks associated with the transportation of new products?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review documentation to ensure a risk analysis is being conducted on any new products. If yes, award 10 points.	O	D	I	Total
						10
Comments						
Recommendations						

D.3 Hazard Controls and Risk Management						
Question	Guidelines	Points Awarded				
3.1	Is there a maintenance program?	<b>DOCUMENT REVIEW</b> (Score 0 to 7 points) Review maintenance records, log books, etc. to determine frequency and completion of a regular maintenance program. Award points based on the percentage of the maintenance program that is being followed compared to what the program specifies.	O	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 2 points) Interview managers and supervisors to confirm the maintenance program meets requirements. Award points based on the percentage of positive responses.				9
Comments						



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D.3 Hazard Controls and Risk Management						
Question	Guidelines	Points Awarded				
Recommendations						
3.2	Is there an adequate equipment maintenance program in place?	<p><b>OBSERVATION</b> (Score 0 to 25 points) Observe whether equipment and tools are in good working condition.</p> <p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review the equipment maintenance program to ensure that manufacturer and jurisdictional requirements are met. 70% of the equipment maintenance program needs to meet all requirements to award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 to 2 points) Interview employees to confirm that the equipment maintenance program is being followed. Award points based on the percentage of positive responses.</p>	O	D	I	Total
						32
Comments						
Recommendations						
3.3	Do workers operate within limits set by engineering, administrative and operational controls?	<p><b>OBSERVATION</b> (Score 0 to 30 points) Observe worker practices with personal protective equipment, fall protection, seatbelts, work instructions, manufacturer equipment tolerances, safe work procedures and other controls to determine if they are being followed. Award points based on the percentage of positive observations.</p>	O	D	I	Total
						30



Certificate of Recognition Program (COR)



D.3 Hazard Controls and Risk Management							
Question	Guidelines	Points Awarded					
Comments							
Recommendations							
3.4	Do supervisors ensure that workers are operating within existing controls?	<b>OBSERVATION</b> Observe supervisory enforcement of worker practices within existing controls.	(Score 0 to 20 points)	O	D	I	Total
							20
Comments							
Recommendations							
3.5	Have the controls been evaluated and updated on a regular basis?	<b>DOCUMENT REVIEW</b> Review documentation to ensure employer is reviewing and updating control measures on a regular basis. Award points based on the percentage of positive results.	(Score 0 to 10 points)	O	D	I	Total
							10
Comments							



D.3 Hazard Controls and Risk Management						
Question	Guidelines	Points Awarded				
Recommendations						
3.6	Is the JOSH Committee involved in the development, evaluation and revisions to the controls?	<b>INTERVIEW</b> (Score 0 or 5 points) Interview employees to determine the scope of involvement for the Joint Occupational Health and Safety Committee in the process of change. 70% positive response required to award 5 points.	O	D	I	<b>Total</b> <hr/> 5
Comments						
Recommendations						
3.7	Is there a corrective action process for non-compliance issues with respect to hazard controls?	<b>INTERVIEW</b> (Score 0 to 2 points) Interview managers and supervisors to determine that non-compliance issues are dealt with appropriately, consistently and progressively. Interview workers to determine if corrective actions have been taken for non-compliance to hazard controls. Award points based on the percentage of positive responses.	O	D	I	<b>Total</b> <hr/> 2
Comments						



D.3 Hazard Controls and Risk Management						
Question	Guidelines	Points Awarded				
Recommendations						
3.8	Is there an on-site risk assessment process for new and modified operations?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points)</p> <p>Review documentation to ensure this process is in place. This may be in the form of a formal process, such as a job safety analysis, or informal, such as within the joint health and safety committee discussions. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 to 2 points)</p> <p>Interview managers, supervisors, foremen &amp; regular workforce to evaluate participation in the risk assessment process. Award points based on the percentage of positive responses.</p>	O	D	I	Total
						7
Comments	Same as D2.1 – is this for QA check or can one of them be removed					
Recommendations						
3.9	Does the employer follow international maritime dangerous goods protocol?	<p><b>OBSERVATION</b> (Score 0 to 25 points)</p> <p>Observe the worksite to determine if the protocol is being followed with respect to regulatory requirements. Award points based on the percentage of positive observations.</p> <p><b>DOCUMENT REVIEW</b> (Score 0 to 5 points)</p> <p>Review documentation for the following:            Safety marks on a small means of containment            Large means of containment            Options for placards and UN numbers            Shipping documents</p>	O	D	I	Total



D.3 Hazard Controls and Risk Management						
Question	Guidelines	Points Awarded				
	Receiving dangerous goods Administration and contacts Classifications Safety marks requirements Consignor and carrier responsibilities Emergency response assistance  Award points based on the percentage of positive results. <b>INTERVIEW (Score 0 to 3 points)</b> Interview managers, supervisors, foremen & regular workforce to determine if the protocol is being followed. Award points based on the percentage of positive responses.					33
Comments						
Recommendations						
3.10	Are workers knowledgeable about their job-specific requirements in reference to the Workplace Hazardous Material Information System (WHMIS) regulations?  <b>INTERVIEW (Score 0 to 5 points)</b> Interview workers to determine if they understand the WHMIS regulations with respect to their job requirements (i.e. what chemicals, what precautions, what procedures, where to get additional information). Award points based on the percentage of positive responses.	O	D	I	Total	5
Comments						



D.3 Hazard Controls and Risk Management		
Question	Guidelines	Points Awarded
Recommendations		



Certificate of Recognition Program (COR)



D.4 Inspection Protocol						
Question	Guidelines	Points Awarded				
4.1	Is there a comprehensive site inspection program?	<b>DOCUMENT REVIEW (Score 0 or 10 points)</b> Review documentation to ensure that a site inspection program exists and includes specific written instructions stating the intent of the inspection. If yes, award 10 points.	O	D	I	Total <hr/> 10
Comments						
Recommendations						
4.2	Does the inspection program identify what is to be inspected?	<b>DOCUMENT REVIEW (Score 0 or 10 points)</b> Review the inspection program to determine if employees are directed to complete inspections on specified equipment, facilities and sites. Award 10 points if at least 70% of the equipment on the worksite is included in the inspection program.	O	D	I	Total <hr/> 10
Comments						
Recommendations						



D.4 Inspection Protocol						
Question	Guidelines	Points Awarded				
4.3	Are the inspections being conducted on a regular basis, as required, by individuals trained in inspection protocol procedures?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review inspection documentation to verify frequency and completion by individuals trained in inspection protocol procedures . Award 10 points if documentation is consistent with both conditions.	O	D	I	Total
						10
Comments						
Recommendations						
4.4	Are site inspection checklists being used?	<b>DOCUMENT REVIEW</b> (Score 0 to 10 points) Review inspection documentation to confirm the use of checklists. Award points based on the percentage of equipment that have checklists.	O	D	I	Total
						10
Comments						
Recommendations						



D.4 Inspection Protocol						
Question	Guidelines	Points Awarded				
4.5	Is there a system to ensure that any identified deficiencies are reported for corrective action?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points)	0	D	I	Total
		Review inspection sheets to determine if deficiencies are being reported. Award points based on the effectiveness of the reporting system.				
		<b>INTERVIEW</b> (Score 0 to 2 points)				
		Interview workers to determine if deficiencies are being reported. Award points based on the percentage of positive responses.				7
Comments						
Recommendations						
4.6	Is there a system to ensure that any identified deficiencies are corrected in a timely manner?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points)	0	D	I	Total
		Review inspection sheets to determine if deficiencies are being corrected. Identify reoccurring deficiencies. Compare target dates with actual completion dates to measure timeliness. Award points based on evidence that the deficiencies are corrected in a timely manner.				
		<b>INTERVIEW</b> (Score 0 to 5 points)				
		Interview workers to determine if deficiencies are being corrected in a timely manner. Award points based on the percentage of positive responses.				10
Comments						



D.4 Inspection Protocol							
Question	Guidelines	Points Awarded					
Recommendations							
4.7	Are "at risk" and/or "unsafe" behaviours identified in the inspection reports?	<b>DOCUMENT REVIEW</b> Review inspection reports to ensure "at risk" and/or "unsafe" behaviours are being documented. If yes, award 5 points.	(Score 0 or 5 points)	O	D	I	Total
							5
Comments							
Recommendations							
						<b>Section D Total</b>	
						<b>597</b>	



**E. PROGRAM ADMINISTRATION**

This section of the Audit examines:

- E.1 Identification and maintenance of Applicable Regulations
- E.2 Health and Safety Program Documentation
- E.3 Records Management

E.1 Identification and Maintenance of Applicable Regulations						
Question	Guidelines	Points Awarded				
1.1	Are all applicable acts and regulations identified in the health and safety program?	<p><b>DOCUMENT REVIEW</b> (Score 0 to 10 points)</p> <p>Review the safety program manual and other documentation that identifies the legal requirements with respect to applicable regulations.</p> <p>Regulatory requirements may include, but are not limited to the following:</p> <ul style="list-style-type: none"> <li>Canadian Occupational Safety and Health Regulations</li> <li>Canada Labour Code Part II</li> <li><i>Workers Compensation Act</i></li> <li>Marine Occupational Safety and Health Regulations</li> <li><i>Shipping Act</i>: Ship Fumigation Regulations and Tackle Regulations</li> </ul> <p>Award points based on the percentage of applicable regulations.</p>	O	D	I	Total
						10
Comments						
Recommendations						
1.2	Are copies of the applicable acts and regulations available for review by management, supervisors and workers?	<p><b>OBSERVATION</b> (Score 0 or 20 points)</p> <p>Ensure copies of the applicable acts and regulations on-site and available to all employees.</p> <p>If yes, award 20 points.</p>	O	D	I	Total
						20



Certificate of Recognition Program (COR)



E.1 Identification and Maintenance of Applicable Regulations						
Question		Guidelines			Points Awarded	
Comments						
Recommendations						
1.3	Is there a process to identify and correct regulatory deficiencies?	<b>DOCUMENT REVIEW (Score 0 or 5 points)</b> Review documentation to ensure that regulatory deficiencies have been identified and corrected. Check for reoccurring issues or deficiencies. Award 5 points if process has been identified..	O	D	I	Total
		<b>INTERVIEW (Score 0 or 3 points)</b> Interview managers, supervisors, foremen & regular workforce to determine if this is occurring. 70% positive responses required to award 3 points.				8
Comments	Add a question based on corrective action being taken regarding deficiencies in the process. – Did you still want to do this??					
Recommendations						



E.1 Identification and Maintenance of Applicable Regulations					
Question	Guidelines	Points Awarded			
1.4	<p>Is there a process to ensure the most current and applicable regulations have been identified and reviewed?</p> <p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to ensure this is occurring. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 to 3 points) Interview managers and supervisors to determine if there is a process to ensure regulations are identified, reviewed and updated. Award points based on the percentage of positive responses.</p>	0	D	I	Total
Comments					
Recommendations					



Certificate of Recognition Program (COR)



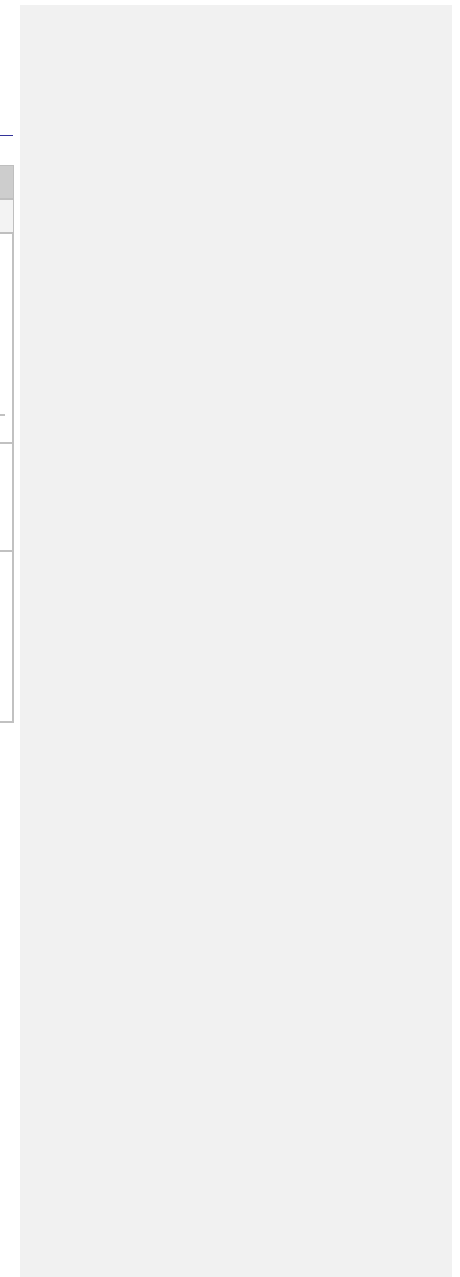
E.2 Health and Safety Program Documentation						
Question	Guidelines	Points Awarded				
2.1	Is health and safety documentation posted?	<b>OBSERVATION</b> (Score 0 to 30 points) Observe the worksite to confirm current health and safety information is posted (i.e. safe work procedures, hazard alerts, regulations, etc.). If documentation is posted in accessible areas award 30 points.	O	D	I	Total
						30
Comments						
Recommendations						
2.2	Are health and safety documents standardized?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review health and safety documents to confirm the use of standardized forms. If yes, award 10 points.	O	D	I	Total
						10
Comments						
Recommendations						



E.2 Health and Safety Program Documentation						
Question	Guidelines	Points Awarded				
2.3	Does documentation of the health and safety program demonstrate a coordinated approach?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) If there is clear evidence that the health and safety program functions as a whole, award 10 points.	O	D	I	Total <hr/> 10
Comments						
Recommendations						
2.4	Is the documentation used for the health and safety program appropriate and adequate for the size and complexity of the organization?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) If this is true, award 10 points.	O	D	I	Total <hr/> 10
Comments						
Recommendations						



E.2 Health and Safety Program Documentation								
Question	Guidelines				Points Awarded			
2.5	Is the company's health and safety documentation available for workers to access and reference?	<b>OBSERVATION</b> (Score 0 to 15 points) If the health and safety documentation is accessible to the workers, award 15 points.			0	D	I	Total
							15	
Comments	This question is the same as E2.1							
Recommendations								





Certificate of Recognition Program (COR)



E.3 Records Management						
Question	Guidelines	Points Awarded				
3.1	Is there a method for managing health and safety records?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Determine the methodology of retaining and retrieving relevant safety records within the company, including confidentiality, storage, access, etc. Award 10 points if safety records are maintained in a manner appropriate for the size and complexity of the organization.	O	D	I	Total
						10
Comments						
Recommendations						
3.2	Are health and safety records maintained for an appropriate period?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review safety records and first aid reports to ensure records are kept in order to maintain statically valid data and meet regulatory requirements. Award 10 points if the records are maintained in an appropriate manner.	O	D	I	Total
						10
Comments						
Recommendations						
					<b>Section E Total</b>	
					141	



**F. JOINT HEALTH AND SAFETY COMMITTEE**

This section of the Audit examines:

F.1 Joint Health and Safety Committee Protocol

F.1 Joint Health and Safety Committee Protocol						
Question	Guidelines	Points Awarded				Total
1.1	Is there a joint health and safety committee with clearly defined terms of reference?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review roles and responsibilities of the joint health and safety committee, including terms of reference. Award 10 points if the terms of reference are clearly defined.	O	D	I	Total <hr/> 10
Comments						
Recommendations						
1.2	Are the members of the joint health and safety committee actively involved in the program?	<b>INTERVIEW</b> (Score 0 or 10 points) Interview employees to determine their knowledge of the level of involvement of the joint health and safety committee members. Employees should be able to speak knowledgeably about the program. 50% positive responses required to award 10 points.	O	D	I	Total <hr/> 10
Comments						
Recommendations						



Certificate of Recognition Program (COR)



F.1 Joint Health and Safety Committee Protocol						
Question	Guidelines	Points Awarded				Total
1.3	Are the joint health and safety committee minutes and applicable documentation communicated appropriately and in a timely manner?	<b>OBSERVATION</b> (Score 0 to 15 points) Observe if joint health and safety committee minutes and reports are posted at the workplace. Award points based on the percentage of positive observations.	0	D	I	Total
		<b>DOCUMENT REVIEW</b> (Score 0 to 20 points) Review documentation to confirm that joint health and safety committee meeting minutes have been created, posted, maintained and reviewed when necessary. Award points based on the percentage of positive results.				
		<b>INTERVIEW</b> (Score 0 to 10 points) Interview employees to evaluate the effectiveness of joint health and safety committee communication. Award points based on the percentage of positive responses.				
						45
Comments						
Recommendations						
1.4	Is safety information posted?	<b>OBSERVATION</b> (Score 0 to 30 points) Observe the worksite for the presence of safety information, such as hazard alerts, regulations, etc. This should be done in a centralized area. If documentation is posted in a centralized area, award 30 points.	0	D	I	Total
						30
Comments						



Certificate of Recognition Program (COR)



F.1 Joint Health and Safety Committee Protocol								
Question		Guidelines			Points Awarded			
Recommendations								
1.5	Do the members of the joint health and safety committee participate in workplace inspections and incident investigations?	<b>INTERVIEW</b> (Score 0 to 10 points) Interview employees to evaluate the participation of the joint health and safety committee in workplace inspections and incident investigation. Award points based on the percentage of positive responses.			O	D	I	Total
								10
Comments								
Recommendations								
1.6	Is the joint health and safety committee trained in the following: <ul style="list-style-type: none"> <li>• Committee functions</li> <li>• Conducting inspections and incident investigations?</li> </ul>	<b>Documentation</b> (Score 0 or 5 points) Review training records to determine if the JOSH Committee has received the appropriate training. Award points based on 100% compliance with training requirements.			O	D	I	Total
								5
Comments								



Certificate of Recognition Program (COR)



F.1 Joint Health and Safety Committee Protocol							
Question		Guidelines			Points Awarded		
Recommendations							
1.7	Are the recommendations of the joint health and safety committee supported by management?	<b>INTERVIEW</b> Interview committee members to confirm management support and commitment for the joint health and safety committee. Award points based on the percentage of positive responses.	(Score 0 to 10 points)	O	D	I	Total
							10
Comments							
Recommendations							
					<b>Section F Total</b>		
					120		



**G. INJURY MANAGEMENT**

This section of the Audit examines:

- G.1 Management and Leadership
- G.2 Resources, Education and Training
- G.3 Early Intervention and First Aid
- G.4 Reporting, Documentation and Follow-up
- G.5 Return to Work Planning
- G.6 Communication
- G.7 Legislation
- G.8 Coordinated Return to Work
- G.9 Outcomes

G.1 Management and Leadership						
Question	Guidelines	Points Awarded				
1.1	Is there an injury management program?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review the safety manual for a formalized injury management program. Award 10 points if a formalized program is documented.	O	D	I	Total 10
Comments						
Recommendations						
1.2	Is there a specific policy for the injury management program?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review the policy. If the written policy is produced, award 5 points. If there is no policy in place or if it cannot be produced during the time of the audit, award 0 points. <b>INTERVIEW</b> (Score 0 to 3 points) Interview employees to determine if they are familiar with the policy for the injury management program. Award points based on the percentage of positive responses.	O	D	I	Total 8



Certificate of Recognition Program (COR)



G.1 Management and Leadership						
Question	Guidelines	Points Awarded				
Comments						
Recommendations						
1.3	Are there clear goals and objectives for the injury management program?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review documentation to determine if the injury management program has specific and measurable goals and objectives. If yes, award 10 points.	O	D	I	Total
						10
Comments						
Recommendations						
1.4	Is an individual or contract company assigned responsibility to guide the process of injury management program?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review the injury management program and determine if such an individual or group exists. If yes, award 5 points. <b>INTERVIEW</b> (Score 0 or 2 points) Interview employees to determine if they are familiar with the individual or contract company's activities. 50% positive responses required to award 2 points.	O	D	I	Total
						7



Certificate of Recognition Program (COR)



G.1 Management and Leadership						
Question	Guidelines	Points Awarded				
Comments						
Recommendations						
1.5	Are there standard policies and processes regarding the handling of injury management program cases?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 10 points)</p> <p>Review injury management program policies and processes regarding how an injured worker is managed from the onset of injury to a full return to work, or to a medical plateau and subsequent disability award. These policies and processes should be clear to all persons reading them.</p> <p>If yes, award 10 points.</p>	O	D	I	Total
						10
Comments						
Recommendations						



Certificate of Recognition Program (COR)



G.2 Resources, Education and Training						
Question	Guidelines	Points Awarded				
2.1	Are adequate resources available for the program based on performance management?	<b>INTERVIEW</b> (Score 0 or 2 points) Interview management & supervisors to determine if adequate resources are available for the injury management program based on performance management. 70% positive responses required to award 2 points.	O	D	I	Total 2
Comments						
Recommendations						
2.2	Is education provided for the individual responsible for the injury management program?	<b>DOCUMENT REVIEW</b> (Score 0 to 10 points) Review documentation to ensure training has been provided. If yes, award 10 points.	O	D	I	Total 10
Comments						
Recommendations						
2.3	Are site-specific procedures and training on the injury management program provided to first aid attendants?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review training records. Award 5 points if there is written confirmation of training.	O	D	I	Total 5



Certificate of Recognition Program (COR)



G.2 Resources, Education and Training								
Question		Guidelines			Points Awarded			
Comments								
Recommendations								
2.4	Are copies of the injury management program available in the first aid facilities?	<b>OBSERVATION</b> (Score 0 to 10 points) If the auditor observes that documentation is available, award 10 points.			O	D	I	Total
							10	
Comments								
Recommendations								



Certificate of Recognition Program (COR)



G.3 Early Intervention and First Aid						
Question	Guidelines	Points Awarded				
3.1	Does the employer have an early intervention procedure?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review the injury management program for a formalized early intervention procedure. This may include an information package for employees regarding light or alternate duties. Award 10 points if a procedure is found.	O	D	I	Total 10
Comments						
Recommendations						
3.2	Is instruction on early intervention techniques and procedures provided for supervisors and first aid attendants?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to determine if instruction for supervisors and first aid attendants has taken place. If yes, award 5 points.	O	D	I	Total
		<b>INTERVIEW</b> (Score 0 or 5 points) Interview management & supervisors to confirm if they have received an early intervention instruction. 50% positive responses required to award 5 points.				Total 10
Comments						
Recommendations						



Certificate of Recognition Program (COR)



G.3 Early Intervention and First Aid						
Question	Guidelines	Points Awarded				
3.3	Is there a list of modified and/or alternate duties available?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review the list of modified and alternate duties and evaluate their effectiveness in managing injuries. Award 10 points if duties are available.	O	D	I	Total 10
Comments						
Recommendations						
3.4	Does the employer monitor employees who are or may be exposed to hazardous materials?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review the injury management program to determine if the employees who are or may be exposed to hazardous materials are monitored. If yes, award 5 points. <b>INTERVIEW</b> (Score 0 or 2 points) Interview managers & supervisors to determine if the employer monitors hazardous materials exposure within the injury management program. 50% positive responses required to award 2 points.	O	D	I	Total 7
Comments						
Recommendations						



Certificate of Recognition Program (COR)



G.3 Early Intervention and First Aid							
Question		Guidelines	Points Awarded				
3.5	Does the injury management program include a requirement for injury reporting, assessment, treatment and follow-up?	<b>DOCUMENT REVIEW</b> Review the company program to determine if this is a written requirement. If yes, award 10 points.	(Score 0 or 10 points)	O	D	I	Total
							10
Comments							
Recommendations							



Certificate of Recognition Program (COR)



G.4 Reporting, Documentation and Follow-up						
Question	Guidelines	Points Awarded				
4.1	Does a qualified individual ensure all work related injuries are reported and that appropriate documentation is completed?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review all documentation to ensure this has occurred. If yes, award 5 points.	O	D	I	Total 5
Comments						
Recommendations						
4.2	Does a qualified individual or contract company manage injured employees' claims?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review all documentation to ensure this is occurring. If yes, award 5 points. <b>INTERVIEW</b> (Score 0 or 2 points) Interview supervisors, managers, foremen & regular workforce to confirm familiarization with the individual or contract company's activities regarding the management of injured employees. 50% positive responses required to award 2 points.	O	D	I	Total 7
Comments						
Recommendations						



Certificate of Recognition Program (COR)



G.4 Reporting, Documentation and Follow-up								
Question	Guidelines			Points Awarded				
4.3	Is there a process to collect data and analyze trends within the injury management program?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review documentation that supports the collection of data and analysis of trends. Award 10 points if documentation is produced that supports this process.			O	D	I	Total
							10	
Comments								
Recommendations								



Certificate of Recognition Program (COR)



G.5 Return to Work Planning						
Question	Guidelines	Points Awarded				
5.1	Do the practices of Return to Work (RTW) and/or Stay at Work (SAW) program use physical demands analysis?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review the Return to Work and/or Stay at Work activities to confirm that physical demands analysis has been conducted to validate the duties are commensurate with the abilities of the employee and the healing process. Award 10 points if the practices are found.	O	D	I	Total
						10
Comments						
Recommendations						
5.2	Are there adequate resources available to support the Return to Work (RTW) program?	<b>OBSERVATION</b> (Score 0 to 25 points) Observe employees who are participating in the graduated Return to Work (RTW) program to ensure adequate resources are made available. Award points based on the percentage of positive observations.	O	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 2 points) Interview managers & supervisors to determine if the injury management program is adequately supported. Award points based on the percentage of positive responses.				27
Comments						
Recommendations						



G.5 Return to Work Planning						
Question	Guidelines	Points Awarded				
5.3	Is there a process to monitor the progress of workers who are on a Return to Work (RTW) plan?	<p><b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to determine if the organization has a process to monitor the progress of workers on a Return to Work (RTW) plan. If yes, award 5 points.</p> <p><b>INTERVIEW</b> (Score 0 to 3 points) Interview managers &amp; supervisors to determine their level of understanding of the program to monitor the progress of workers on a Return to Work (RTW) plan. Award points based on the percentage of positive responses.</p>	0	D	I	Total
						8
Comments						
Recommendations						



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G.6 Communication						
Question	Guidelines	Points Awarded				
6.1	Is the injury management program and its benefits communicated to managers, supervisors and workers?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review documentation to determine if communication is occurring.	0	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 5 points) Interview managers, supervisors and workers to ensure they understand the value of the injury management program. Award points based on the percentage of positive responses.				
						10
Comments						
Recommendations						
6.2	Is there a process to ensure the individual or contractor in charge of the injury management program is informed when an injury or illness may require activation of this program?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review the injury management documentation to ensure there is a notification process in place. If yes, award 5 points.	0	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 2 points) Interview managers and supervisors to determine if they are aware of this process. Award points based on the percentage of positive responses.				
						7
Comments						



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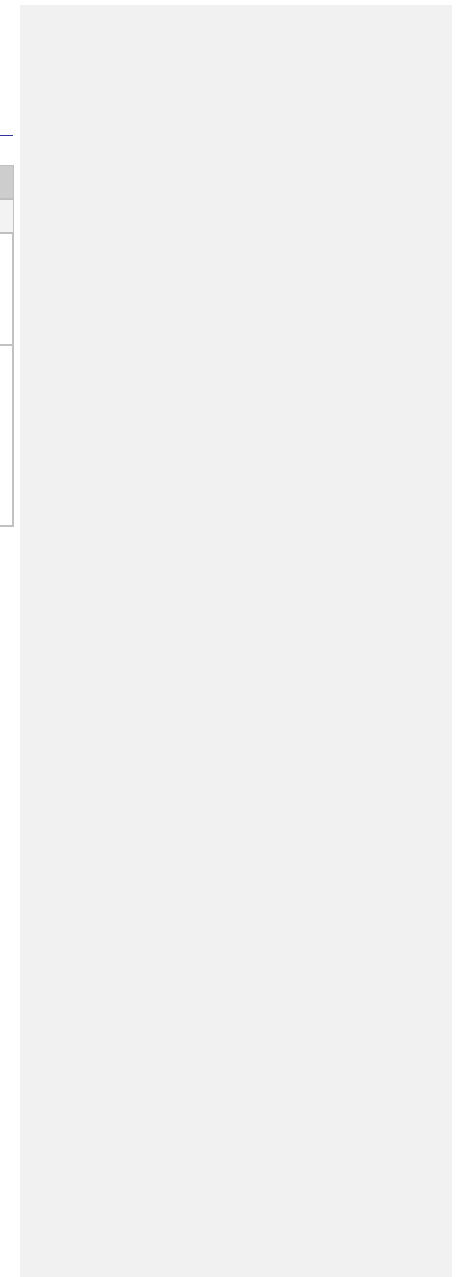
G.6 Communication						
Question	Guidelines	Points Awarded				
Recommendations						
6.3	Is there a process to ensure contact with injured workers?	<b>DOCUMENT REVIEW</b> (Score 0 or 5 points) Review documentation to determine if such a process exists. If yes, award 5 points.	O	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 3 points) Interview employees to determine if this process is occurring. Award points based on the percentage of positive responses.				8
Comments						
Recommendations						
6.4	Does the organization have a process to ensure that contact is maintained with injured or disabled workers?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review documentation to find evidence of ongoing contact with injured workers. This should be consistent, regular contact. Award points based on percentage of positive responses	O	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 2 points) Interview managers, supervisors, foremen & regular workforce to determine if communication between the organization and injured or disabled workers is occurring. Award points based on percentage of positive responses.				7



Certificate of Recognition Program (COR)



G.6 Communication		
Question	Guidelines	Points Awarded
Comments		
Recommendations		





Certificate of Recognition Program (COR)



G.7 Legislation						
Question	Guidelines	Points Awarded				
7.1	Is there a process within the injury management program to ensure identification and compliance with all applicable legislation?	<b>DOCUMENT REVIEW (Score 0 or 10 points)</b> Review documentation to determine if there is a process to ensure compliance with regulatory legislation. (i.e. <i>Workers Compensation Act, Employment Standards Act, Privacy Legislation</i> ) If yes, award 10 points.	O	D	I	Total
						10
Comments						
Recommendations						
7.2	Has specific training been provided to the person accountable for the injury management program with regards to the applicable regulations for injury and disability management?	<b>DOCUMENT REVIEW (Score 0 to 10 points)</b> Review documentation to determine if this training has been conducted; either in Emergency Response or in Work Procedures. Award points based on percentage of positive results.	O	D	I	Total
						10
Comments						
Recommendations						



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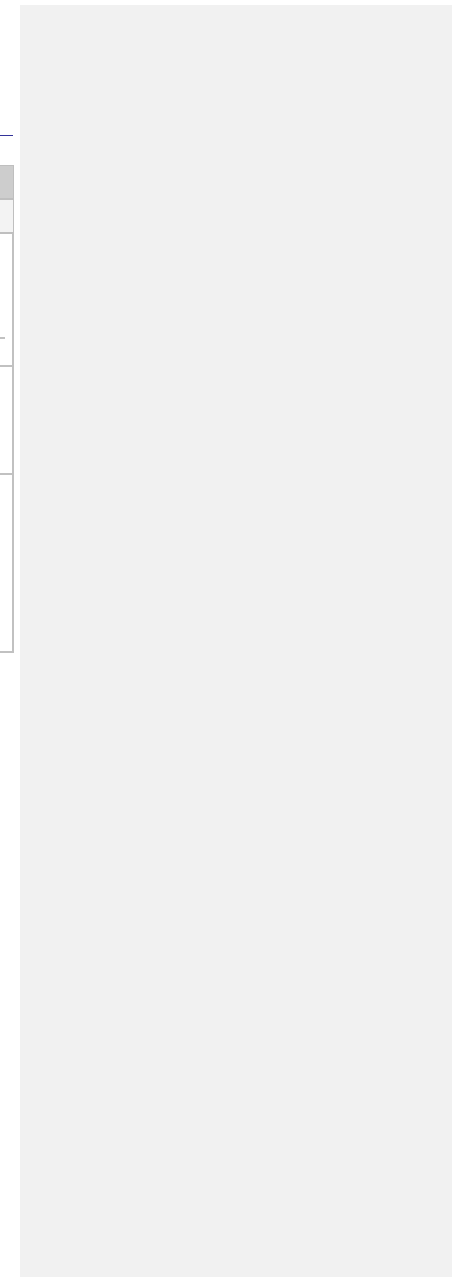
G.8 Coordinated Return to Work						
Question	Guidelines	Points Awarded				
8.1	Is the Return to Work (RTW) plan coordinated with all stakeholders in injury management?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review the injury management program for evidence that the Return to Work plan is coordinated with the employee's union, British Columbia Maritime Employers Association, WorkSafeBC, etc. If yes, award 10 points.	O	D	I	Total 10
Comments						
Recommendations						
8.2	Does the individual responsible for coordinating the Return to Work program effectively communicate with the injured employee and the supervisor?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review the injury management program and determine if the Return to Work plan is effectively communicated. If yes, award 10 points. <b>INTERVIEW</b> (Score 0 or 2 points) Interview employees that have participated in the Return to Work program to confirm if the communication of the plan was effective. If yes, award 2 points.	O	D	I	Total 12
Comments						
Recommendations						



Certificate of Recognition Program (COR)



G.8 Coordinated Return to Work						
Question	Guidelines	Points Awarded				
8.3	Are early Return to Work jobs available?	<b>DOCUMENTATION</b> (Score 0 or 5 points) Review the Injury Management program to determine that jobs and tasks are available as part of the early Return to Work program.	0	D	I	Total
						5
Comments						
Recommendations						





Certificate of Recognition Program (COR)



G.9 Outcomes							
Question	Guidelines	Points Awarded				Total	
9.1	Are the results of the injury management program tracked and analyzed?	<b>DOCUMENT REVIEW</b> Review documentation history for successful results. Award 10 points if one successful case is documented.	(Score 0 or 10 points)	O	D	I	Total <hr/> 10
Comments							
Recommendations							
9.2	Is there a process to address risks and opportunities identified by the tracking and analysis of the injury program management data?	<b>INTERVIEW</b> Interview management & supervisors to determine if data is reviewed and taken into consideration when planning and budgeting for the injury management program. Award points based on the percentage positive responses.	(Score 0 to 2 points)	O	D	I	Total <hr/> 2
Comments							
Recommendations							
				<b>Section G Total</b>			
				<hr/> <b>287</b>			



## H. EMERGENCY PREPAREDNESS

This section of the Audit examines:

H.1 Emergency Preparedness

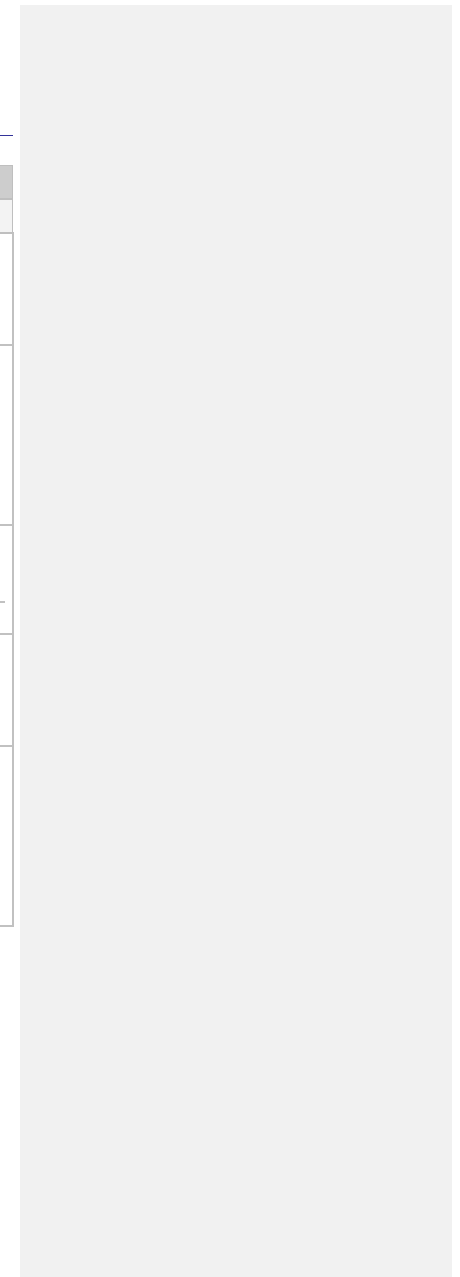
H.1 Emergency Preparedness						
Question	Guidelines	Points Awarded				Total
1.1	Are there emergency preparedness procedures appropriate to the size and complexity of the organization?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review the procedures to determine if they are appropriate. If yes, award 10 points.	O	D	I	10
Comments						
Recommendations						
1.2	Is a qualified individual designated to manage emergency preparedness procedures?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Does documentation exist that identifies a qualified individual? If yes, award 10 points.	O	D	I	10
Comments						
Recommendations						



H.1 Emergency Preparedness						
Question	Guidelines	Points Awarded				
1.3	Are the emergency preparedness procedures periodically tested for adequacy and effectiveness?	<p><b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review documentation to confirm periodic testing for adequacy and effectiveness. Look for evidence to verify on-going improvement of procedures. Award points based on the percentage of positive results.</p> <p><b>INTERVIEW</b> (Score 0 to 3 points) Interview employees to determine if the emergency preparedness procedures have been tested.</p>	O	D	I	Total
						8
Comments						
Recommendations						
1.4	Are the emergency preparedness procedures effectively distributed and communicated to all employees?	<p><b>OBSERVATION</b> (Score 0 or 25 points) Are the emergency response plans posted on the site? Award 25 points if the procedures are posted on site.</p> <p><b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review documentation to ensure the procedures are communicated to managers, supervisors and workers. Award points based on the percentage of positive observations.</p> <p><b>INTERVIEW</b> (Score 0 to 3 points) Interview managers, supervisors and workers to determine if the procedures have been communicated effectively. Award points based on the percentage positive responses.</p>	O	D	I	Total
						33



H.1 Emergency Preparedness								
Question		Guidelines			Points Awarded			
Comments								
Recommendations								
1.5	Is the first aid equipment adequate for the site?	<b>OBSERVATION</b> (Score 0 to 30 points) Examine first aid equipment to ensure it meets required standards. Award points based on the percentage of positive observations.			O	D	I	Total
								30
Comments								
Recommendations								





Certificate of Recognition Program (COR)



H.1 Emergency Preparedness						
Question	Guidelines	Points Awarded				
1.6	<p>Are there written emergency preparedness procedures for all identified risks (i.e. injuries, fires, environmental incidents and natural disasters)?</p>	<p><b>DOCUMENT REVIEW</b> (Score 0 to 10 points)</p> <p>Review documentation to identify clear, direct and simple instructions during an emergency. This includes correct contact information, phone numbers for emergency personnel and regulatory bodies and an unmistakable plan for "who does what, when". There should be a clear understanding of what is involved when injuries, fires, environmental incidents and natural disasters occur.</p> <p>Award points based on quality and completeness of the procedures.</p>	O	D	I	Total
Comments						
Recommendations						
1.7	<p>Are there available communication tools to contact emergency response assistance in a timely manner?</p>	<p><b>OBSERVATION</b> (Score 0 to 30 points)</p> <p>Do regular workers have access to radios or phones on the worksite, in vehicles or other applicable areas to contact assistance if required?</p> <p>Award points based on accessibility of radios and phones and number of locations available</p>	O	D	I	Total
Comments						
Recommendations						



Certificate of Recognition Program (COR)



H.1 Emergency Preparedness						
Question	Guidelines	Points Awarded				
1.8	Are there written instructions explaining which injuries and incidences are to be reported to the appropriate regulatory authorities?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review the safety program or incident reporting policies for written procedures that clearly indicate what types of injuries are to be reported to the appropriate authority. If yes, award 10 points.	O	D	I	Total
						10
Comments						
Recommendations						
1.9	Are drills and exercises conducted with all key personnel at intervals defined in the emergency preparedness procedures?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review documentation to determine if management has conducted drills and exercises in emergency preparedness. If yes, award 10 points.	O	D	I	Total
						10
Comments						
Recommendations						



Certificate of Recognition Program (COR)



H.1 Emergency Preparedness						
Question	Guidelines	Points Awarded				
1.10	Is there a process in place to contact Emergency services in case of emergency?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review documentation to determine if a process is in place to contact emergency services. If yes, award 10 points.	O	D	I	Total
						10
Comments						
Recommendations						
1.11	Is there a designated command post for the overall coordination and general direction of the response (i.e. emergency operations centre)?	<b>DOCUMENT REVIEW</b> (Score 0 or 10 points) Review 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
Comments						
Recommendations						



Certificate of Recognition Program (COR)



H.1 Emergency Preparedness					
Question	Guidelines	Points Awarded			
1.12 Is there a procedure for recording activities during an emergency response?	<b>DOCUMENT REVIEW</b> (Score 0 to 10 points) Review documentation to determine if there is a procedure for recording activities during an emergency response. If yes, award 10 points.	O	D	I	Total
					10
Comments					
Recommendations					
		<b>Section H Total</b>			
					181



**I. SYSTEM REVIEW AND IMPROVEMENT**

This section of the Audit examines:

- I.1 Reviews and Audits
- I.2 On Going Monitoring (Continual Improvement)

I.1 Reviews and Audits						
Question	Guidelines	Points Awarded				
		O	D	I	Total	
1.1	<p>Is quality assurance integrated into the Safety Management System?</p> <p><b>DOCUMENT REVIEW (Score 0 to 5 points)</b> Review documentation to confirm a quality assurance program is included within the Safety Management System with a qualified individual responsible for the program. Award points based on the percentage of positive results.</p> <p><b>INTERVIEW (Score 0 to 5 points)</b> Interview managers and supervisors to determine if the quality assurance program is continually maintained and improved. Award points based on the percentage of positive responses.</p>					
					10	
Comments						
Recommendations						
1.2	<p>Are internal and external review/audit and inspection reports available to the joint health and safety committee?</p> <p><b>DOCUMENT REVIEW (Score 0 or 5 points)</b> Review documentation to confirm internal/external inspection and audit reports are made available to the joint health and safety committee. If yes, award 5 points.</p>					
					5	



Certificate of Recognition Program (COR)



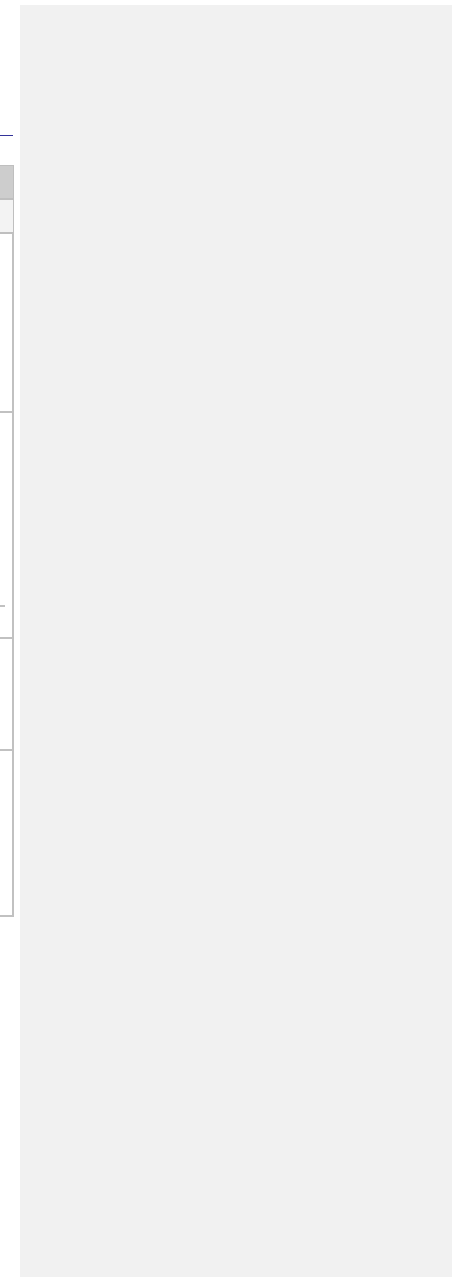
1.1 Reviews and Audits						
Question		Guidelines			Points Awarded	
Comments						
Recommendations						
1.3	Are reviews/audits of processes, procedures, analysis, inspections and training conducted?	<b>DOCUMENT REVIEW</b> (Score 0 to 10 points) Review documentation to determine if reviews/audits are conducted. Award points based on the percentage of positive results.	O	D	I	Total <hr/> 10
Comments						
Recommendations						
1.4	Does the review/audit process have a defined scope, criteria, frequency and method?	<b>DOCUMENT REVIEW</b> (Score 0 to 10 points) Review documentation to ensure that the review/audit process has all components. Award points based on the percentage of positive results.	O	D	I	Total <hr/> 10
Comments						



Certificate of Recognition Program (COR)



I.1 Reviews and Audits							
Question		Guidelines			Points Awarded		
Recommendations							
1.5	Is there a documented procedure for planning and conducting internal reviews/audits? Are responsibilities and requirements clearly defined (i.e. management policies, controls and procedures, implementation and maintenance of the health and safety program)?	<b>DOCUMENT REVIEW</b> Review documentation for planning and conducting internal reviews/audits, including responsibilities and requirements. Award points based on the percentage of positive results.	(Score 0 to 10 points)	O	D	I	Total
							10
Comments							
Recommendations							





Certificate of Recognition Program (COR)



I.2 On Going Monitoring (Continual Improvement)						
Question	Guidelines	Points Awarded				
2.1	Is there a process within the organization to reinforce and recognize positive behaviours?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review previous review/audit reports and determine if management effectively recognized good practices and safe behaviours. Award points based on the percentage of positive results.	0	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 2 points) Interview employees to determine if good practices and safe behaviours are recognized and encouraged. Award points based on the percentage of positive responses.				
						7
Comments						
Recommendations						
2.2	Is a self-assessment evaluation system used to benchmark performance against external organizations and world-class performance?	<b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review documentation of health and safety vision, mission, objectives, goals and performance criteria. Award points based on the percentage of positive results.	0	D	I	Total
		<b>INTERVIEW</b> (Score 0 to 2 points) Interview managers and supervisors to review their understanding of the organization's health and safety program performance. Award points based on the percentage of positive responses.				
						7
Comments						



Certificate of Recognition Program (COR)



I.2 On Going Monitoring (Continual Improvement)						
Question	Guidelines	Points Awarded				
Recommendations						
2.3	Does management discuss review/audit findings and implement recommendations for continual improvement?	<p><b>DOCUMENT REVIEW</b> (Score 0 to 5 points) Review documentation to determine if review/audit findings are discussed and recommendations are implemented. Award points based on the percentage of positive results.</p> <p><b>INTERVIEW</b> (Score 0 to 2 points) Interview managers and supervisors to confirm that audit recommendations are implemented and continual improvement is practiced. Award points based on the percentage of positive responses.</p>	0	D	I	Total
					7	
Comments						
Recommendations						
					<b>Section I Total</b>	
					66	



**J. INTERVIEW QUESTIONS**

This section of the Audit examines:

- J.1 Dispatched Worker Interview Questions
- J.2 Manager and Supervisor Interview Questions
- J.3 Regular Work Force & Foremen Interview Questions
- J.4 Site Safety Committee Interview Questions

J.1 Dispatched Worker Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
<b>M A N A G E M E N T   L E A D E R S H I P</b>					
1.	What can you tell me about this company's Health and Safety Policy? How is it communicated?	A1.3			
2.	Has your manager or supervisor discussed the Health and Safety Policy with you? If so, what do you remember?	A1.9			
3.	Do the managers and supervisors lead by example (i.e. wearing of personal protective equipment, following procedures, etc.) and follow the health and safety requirements? If so, how?	A2.5			
4.	How do supervisors and managers talk to you regarding health and safety and how do you talk to them?	A3.3			
5.	What are some of the things that you do to keep yourself safe where you are working?	A5.2			
<b>S A F E   W O R K   P R O C E D U R E S</b>					
6.	What kind of health and safety rules and procedures are discussed with you by the supervisors/foremen?	B1.1			
7.	Where do workers get their personal protective equipment (PPE) from?	B1.3			
8.	What can you expect from your supervisor if safe work procedures are not being followed?	B1.5			
9.	To whom do you report an unsafe act or condition?	B1.6			
10.	Do the conditions on this worksite meet regulatory requirements?	B1.8			
11.	Are site safety rules being followed by all employees?	B1.10			
12.	What are the safe work procedures that apply to your task(s)?	B2.4			



J.1 Dispatched Worker Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
<b>TRAINING AND INSTRUCTION</b>					
13.	When you arrived on site, what was discussed with you regarding safety? When did this discussion take place?	C1.1			
14.	What do you know about the health and safety policy and procedures, safe work procedures, job-specific hazards and the right to refuse unsafe work?	C1.2			
15.	When you are returning to the jobsite after being absent for an extended period of time, what is done to make sure that your knowledge is up to date and following the proper standards?	C1.4			
16.	What is the formal training program for your workplace?	C2.1			
<b>HAZARD AND RISK ASSESSMENT</b>					
17.	What is the process to report all incidents and accidents?	D1.1			
18.	What kind of follow up is done after an incident to lower the possibility of future risk?	D1.3			
19.	How does the organization go about investigating all reported incidents?	D1.10			
20.	How are hazards communicated to you?	D2.2			
21.	How do you know if there are any hazards before the start of each job? Is this process on-going?	D2.4			
22.	What do you do if you see a hazardous act or condition?	D2.5			
23.	Are you aware of the risks associated with any of the products that you use during the course of your work day?	D2.6			
24.	Are the tools you use in good repair?	D3.2			
25.	Does the employer have a consistent & effective process to deal with non-compliance of the safety requirements? Describe the process.	D3.7			
26.	What is the process to make sure that any identified deficiencies are reported?	D4.5			
27.	How are you made aware that any identified deficiencies have been corrected?	D4.6			
<b>JOINT HEALTH AND SAFETY COMMITTEE</b>					
28.	Does this employer have a functioning Joint Health & Safety committee?	F1.2			
29.	Where would you find copies of the Joint Health & Safety committee meeting minutes?	F1.3			



J.1 Dispatched Worker Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
<b>I N J U R Y   M A N A G E M E N T</b>					
30.	Does this employer have a policy concerning injury management?	G1.2			
31.	Who at this company would you contact regarding injury management?	G1.4			
32.	Has the employer discussed the injury management program with you?	G6.1			
33.	Have you or anyone you know been on an injury management program & been contacted by this employer?	G6.3			
34.	Have you previously participated in the Return to Work (RTW) program? If so, was the communication of the plan effective?	G8.2			
<b>E M E R G E N C Y   P R E P A R E D N E S S</b>					
35.	How does the employer check to assure their emergency preparedness program is working?	H1.3			
36.	What are you supposed to do in the event of an emergency on site?	H1.4			
<b>S Y S T E M   R E V I E W   A N D   I M P R O V E M E N T</b>					
37.	Have you received positive feedback from this employer in regards to recognizing good practices and safe behaviours?	I2.1			



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J.2 Manager and Supervisor Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
<b>M A N A G E M E N T L E A D E R S H I P</b>					
1.	How are employees made aware of the organization's Health and Safety Policy? How is it communicated?	A1.3			
2.	What is senior managements' commitment to health and safety within the organization? Who is the senior executive responsible for health and safety?	A2.1			
3.	How do you know that the person who is managing the health and safety program is meeting the needs of the organization?	A2.2			
4.	As a manager or supervisor, have you received specific training regarding your roles and responsibilities as they pertain to safety? If yes, what training?	A2.3			
5.	As a manager or supervisor, what are your specific health and safety responsibilities?	A2.4			
6.	As a manager or supervisor, do you lead by example? If so, how?	A2.5			
7.	How are safety regulations and legislative requirements made available to employees?	A2.6			
8.	Explain how senior management has communicated the organization's commitment to health and safety in the past year.	A3.1			
9.	How do you communicate site-specific health and safety information to your employees? How often?	A3.2			
10.	What is the process for receiving health & safety information from employees?	A3.3			
11.	What is the process to develop measurable safety goals necessary to achieve overall safety objectives? How are you included in the process?	A4.1			
12.	What is the process to ensure that safety objectives and goals are documented and regularly distributed within the organization?	A4.2			
13.	When establishing health and safety objectives, what action is taken to ensure that specific hazards and risks; financial, operational, business requirements; and the interests of all stakeholders are considered?	A4.3			
14.	What is your involvement in the development and maintenance of health and safety performance parameters?	A5.1			
15.	Are you aware of the critical safety performance measures within your specific areas of responsibility?	A5.2			
16.	How are adequate resources being allocated based on health and safety performance measurement?	A5.3			



J.2 Manager and Supervisor Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
17.	What are some of your specific strategies & objectives with regards to safety? How are you achieving these? Be specific.	A5.4			
18.	Is the safety management system review program effective? If so, are there ongoing reviews of the SMS being conducted?	A6.1			
19.	How are deficiencies being addressed during the review process? Is this an effective process?	A6.2			
<b>SAFE WORK PROCEDURES</b>					
20.	How are health and safety rules and procedures effectively communicated to managers, supervisors and workers?	B1.1			
21.	As a supervisor, what is the process to determine when a written safe work procedure is required?	B1.2			
22.	Is adequate PPE available to all employees?	B1.3			
23.	Are appropriate levels of supervision maintained for the job or site?	B1.5			
24.	Are hazardous conditions or acts being reported to you?	B1.6			
25.	To the best of your knowledge do the conditions on the worksite meet the regulatory standards?	B1.8			
26.	Are site safety rules being followed by the employees?	B1.9			
27.	Is there a combined effort by managers, supervisors and workers to create and update safe work procedures for high risk tasks?	B2.2			
<b>TRAINING AND INSTRUCTION</b>					
28.	Did you receive a formal orientation before starting work at this site?	C1.1			
29.	What is the process for reorienting employees to the worksite that have been absent for an extended period of time?	C1.4			
30.	Explain who conducts orientations, what is involved and when they are necessary?	C1.5			
31.	What is the formal training program for your workplace?	C2.1			
32.	How are education and other training tracked? Is this tracking method current, accurate and effective?	C2.3			
33.	What is the process to ensure that workers are competent in the necessary skills to successfully complete tasks assigned to them?	C2.4			



J.2 Manager and Supervisor Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
<b>HAZARD AND RISK ASSESSMENT</b>					
34.	What kind of follow up is done after an incident occurs to help lower the possibility of future incidents?	D1.3			
35.	What and how much training is provided for personnel investigating incidents and accidents?	D1.6			
36.	What is the procedure for documenting and implementing investigator recommendations? How do you know that the recommendations have been implemented?	D1.7			
37.	How does the organization go about investigating all reported incidents?	D1.10			
38.	Are all reported incidents investigated?	D1.14			
39.	How are recommendations from investigations implemented?	D1.15			
40.	Who is the manager who is ultimately responsible for the effectiveness of the incident investigation process?	D1.16			
41.	After an incident are the safe work procedures reviewed?	D1.19			
42.	What is the process to identify, quantify and prioritize hazards and risks?	D2.1			
43.	What is the process for addressing the findings of risk assessments in a timely manner?	D2.3			
44.	What are the procedures for the transportation of dangerous goods (TDG) policy and how do you know that the policy is being followed?	D2.6			
45.	How does the maintenance program work (i.e. equipment, tools, etc.)?	D3.1			
46.	Is the maintenance program effective? If so, what makes it effective?	D3.2			
47.	What is the process to ensure corrective action for non-compliance issues with respect to hazard controls?	D3.7			
48.	What is the on-site risk assessment process for new and modified operations?	D3.8			
49.	What does your employer do to ensure that they are following international maritime dangerous goods protocol?	D3.9			
50.	How does your employer comply with all international maritime dangerous goods regulations?	D3.10			
<b>PROGRAM ADMINISTRATION</b>					
51.	What is the process to identify and correct regulatory deficiencies?	E1.3			



J.2 Manager and Supervisor Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
52.	What is the process to ensure the most current and applicable regulations have been identified and reviewed?	E1.4			
<b>JOINT HEALTH AND SAFETY COMMITTEE</b>					
53.	What do the members of the joint health and safety committee do to show that they are actively involved in the health and safety program?	F1.2			
54.	How and how often are the joint health and safety committee minutes and applicable documentation communicated to all employees?	F1.3			
<b>INJURY MANAGEMENT</b>					
55.	Is there an injury management policy statement for your employer? If so, generally what does it say?	G1.2			
56.	Who is the individual or contract company assigned responsibility to guide the process of the injury management program? What are their activities?	G1.4			
57.	What are the resources available for the injury management program? Are they adequate?	G2.1			
58.	How are supervisors and first aid attendants instructed on early intervention techniques and procedures?	G3.2			
59.	How does the employer monitor employees who are or may be exposed to hazardous materials?	G3.4			
60.	What does the qualified individual or contract company do to manage injured employee claims?	G4.2			
61.	What are the resources available to support the injury management program (RTW) and are they adequate?	G5.2			
62.	What is the process to monitor the progress of workers who are on a Return to Work (RTW) plan?	G5.3			
63.	How are the benefits of the injury management program communicated to managers, supervisors and workers?	G6.1			
64.	What is the process that activates the injury management program?	G6.2			
65.	What is the process to ensure contact with injured workers?	G6.3			
66.	What is the process of the organization, to ensure that contact is maintained with injured or disabled workers?	G6.4			
67.	How does the Return to Work (RTW) plan coordinator effectively communicate with the injured employee and the supervisor?	G8.2			



J.2 Manager and Supervisor Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
68.	What is the process to address risks and opportunities identified by the tracking and analysis of the injury program management data?	G9.2			
<b>EMERGENCY PREPAREDNESS</b>					
69.	What is done to ensure that the emergency preparedness procedures are adequate, effective and do they allow for continuous improvement?	H1.3			
70.	How are the emergency preparedness procedures distributed and communicated to all employees?	H1.4			
<b>SYSTEM REVIEW AND IMPROVEMENT</b>					
71.	Who is the qualified person responsible for the quality assurance program with the Safety Management system? How is the program maintained and improved?	I1.1			
72.	What is the process to reinforce and recognize good practices and safe behaviours?	I2.1			
73.	How is the self-assessment evaluation system used to benchmark performance?	I2.2			
74.	How does management discuss review/audit findings and implement recommendations for continual improvement?	I2.3			



J.3 Regular Worker & Foreman Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
<b>M A N A G E M E N T   L E A D E R S H I P</b>					
1.	What have you been taught regarding the organization's Health and Safety Policy? How is it communicated?	A1.3			
2.	Has your manager or supervisor discussed the Health and Safety Policy with you? If so, what do you remember?	A1.9			
3.	How do the managers and supervisors lead by example (i.e. wearing of personal protective equipment, following procedures, etc.) and show that they follow the health and safety requirements? If so, how?	A2.5			
4.	What has senior management discussed with you about the organization's commitment to health and safety in the past year?	A3.1			
5.	How do supervisors and managers talk to you regarding health and safety and how do you talk to them?	A3.3			
6.	What are some of the safety measures that apply to your specific work area?	A5.2			
<b>S A F E   W O R K   P R O C E D U R E S</b>					
7.	What kind of health and safety rules and procedures are discussed with you by the supervisors/foreman?	B1.1			
8.	What is the process to find out when written safe work procedures are required?	B1.2			
9.	Where do workers get their personal protective equipment (PPE) from? Is it adequate for the work being done?	B1.3			
10.	What can you expect from your supervisors/foremen if safe work procedures are not being followed?	B1.5			
11.	How would you report unsafe acts or conditions?	B1.6			
12.	Do the conditions on this site meet the regulatory requirements?	B1.8			
13.	Are site safety rules being followed by all employees?	B1.9			
14.	After an incident are the safe work procedures reviewed?	B1.10			
15.	Is there a combined effort by workers, supervisors and management regarding the creating and updating of safe work procedures for high risk tasks	B2.2			
16.	What are the safe work procedures that apply to your work site?	B2.4			



J.3 Regular Worker & Foreman Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
<b>TRAINING AND INSTRUCTION</b>					
17.	When you were hired, what was discussed with you about safety? When did this discussion take place?	C1.1			
18.	What do you know about the health and safety policy and procedures, safe work procedures, job-specific hazards and the right to refuse unsafe work?	C1.2			
19.	When you are returning to the jobsite after being absent for an extended period of time, what is done to make sure that your knowledge is up to current standards?	C1.4			
20.	What is the formal training program for your workplace?	C2.1			
<b>HAZARD AND RISK ASSESSMENT</b>					
21.	What is the process to report incidents and accidents?	D1.1			
22.	What kind of follow up is done after an incident to lower the possibility of future risk?	D1.3			
23.	What and how much training is provided for personnel investigating incidents and accidents?	D1.6			
24.	How does the organization go about investigating all reported incidents?	D1.10			
25.	Does the employer provide training and certification in the transportation of dangerous goods for employees involved with the shipping of dangerous goods?	D1.21			
26.	What are your job-specific requirements in reference to the Workplace Hazardous Material Information System (WHMIS) regulations?	D1.22			
27.	What is the process to identify, quantify and prioritize hazards and risks?	D2.1			
28.	How are hazards documented and communicated to all workers?	D2.2			
29.	How do you know if there are any hazards before the start of each job? Is this process on-going?	D2.4			
30.	What kind of training is there on hazard identification and control?	D2.5			
31.	What are the procedures for the transportation of dangerous goods (TDG) and how do you know that they are being followed?	D2.6			
32.	Are the tools you use during the course of your work day in good repair?	D3.2			
33.	Does the employer have a consistent and effective process for dealing with non-compliance of safety requirements? Describe the process.	D3.7			
34.	How do you participate in the on-site risk assessment process for new and modified operations?	D3.8			



Certificate of Recognition Program (COR)



J.3 Regular Worker & Foreman Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
35.	If required for a workers job, is IMDG training provided by the company?	D3.9			
36.	What is the process to make sure that any identified deficiencies are reported?	D4.5			
37.	How do you know that any identified deficiencies are corrected and done so right away?	D4.6			
<b>PROGRAM ADMINISTRATION</b>					
38.	What is the process to identify and correct regulatory deficiencies?	E1.3			
<b>JOINT HEALTH AND SAFETY COMMITTEE</b>					
39.	What do the members of the joint health and safety committee do to show that they are actively involved in the health and safety program?	F1.2			
40.	How and how often are the joint health and safety committee minutes and other related documentation communicated to all employees?	F1.3			
<b>INJURY MANAGEMENT</b>					
41.	Are you aware of a specific policy for the injury management program?	G1.2			
42.	Is an individual or contract company assigned responsibility to guide the process of the injury management program? Are you familiar with their activities?	G1.4			
43.	What does the person/contract company do to manage injured employees claims?	G4.2			
44.	What are the benefits of the injury management program and how are they communicated to workers?	G6.1			
45.	Have you or anyone you know been contacted by this employer concerning injury management?	G6.3			
46.	Are you aware of a specific process to ensure contact is maintained with injured or disabled workers on a Return to Work (RTW) plan?	G6.4			
47.	Have you previously participated in the Return to Work (RTW) program? Was the communication of the plan effective?	G8.2			
<b>EMERGENCY PREPAREDNESS</b>					
48.	How is the emergency preparedness procedures tested?	H1.3			
49.	Do you have adequate knowledge of what to do in the event of an emergency? If so, how was this communicated to you?	H1.4			



J.3 Regular Worker & Foreman Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
<b>S Y S T E M R E V I E W A N D I M P R O V E M E N T</b>					
50.	How are positive safety behaviours recognized?	I2.1			

J.4 Site Safety Committee Interview Questions					
No.	Audit Topic	Audit Reference Line	Positive	Negative	N/A
<b>S A F E W O R K P R O C E D U R E S</b>					
1.	Does the committee review safe work procedures on a regular basis?	B2.3			
<b>H A Z A R D A N D R I S K A S S E S S M E N T</b>					
2.	If changes are required safety controls or processes who would be involved?	D3.6			
<b>J O I N T H E A L T H A N D S A F E T Y C O M M I T T E E</b>					
3.	As a member of the health and safety committee do you participate in incident investigations and inspections?	F1.5			
4.	Have you reviewed applicable training in the role and function of the committee and in conducting inspection and incident investigations?	F1.6			
5.	Are recommendations from the health and safety committee put forward to management? How are recommendations implemented?	F1.7			



**K. DOCUMENT REVIEW CHECKLIST**

Documents Reviewed	Dept. Responsible	Have it? Y/N/NA	Docs Dated?	Location
<b>D O C U M E N T</b>				
• Health and safety manual				
• Health and safety commitment				
• Roles and responsibilities				
• A written procedure for refusing unsafe work				
• Health and safety education materials				
• New employee safety orientation materials				
• Employee health and safety handbook				
• Emergency preparedness plans				
• Evacuation plan				
• Injury management policies and procedures				
<b>H E A L T H   A N D   S A F E T Y   R E C O R D S</b>				
• Employee orientation records				
• Training records with the date, attendance and general content				
• Records of meetings where safety issues were discussed				
• Joint Occupational Health and Safety Committee minutes/agendas				
• Inspection reports				
• Contractor pre-qualification documents				
• Equipment maintenance records				
• Equipment log books				
• Monitoring records of exposures to harmful substances				
• Statistics on the frequency and severity of accidents				
• Forms and checklists such as confined space entry				



Certificate of Recognition Program (COR)



Documents Reviewed		Dept. Responsible	Have it? Y/N/NA	Docs Dated?	Location
•	Calibration records for instrumentation				
•	Fire drills/emergency exercises				
•	Risk assessments				
•	Incident investigation reports and records of corrective actions				
•	Supervisors' notes and logs of safety contacts with workers				
•	Records showing progressive discipline to enforce safety rules				
•	Medical certificates including pre-employment medicals				
•	Hearing tests				
•	First aid records				
•	Respirator fit test records				