



Partnerships in Injury Reduction

Small Employer Certificate of Recognition(SECOR) Audit

FOR SELF-ASSESSOR USE

submitted to

ALBERTA ASSOCIATION FOR SAFETY PARTNERSHIPS



Instructions for completing a SECOR Assessment

1. SECOR Assessors internal to the operation are not required to conduct worker interviews, but must fill out the Employee Breakdown and Sampling Details table, except for the sections highlighted in grey.
2. Read each question and the guidelines, and respond to the question in the Notes fields provided.
3. Questions marked with “(D)” indicate that documentation/records must be attached. Where attached documents/record samples are required by the guidelines, attach copies of the requested documentation. Records submitted must be sufficient to verify health and safety activities over the previous 12-month period. DO NOT ATTACH ORIGINAL DOCUMENTATION, as submissions will not be returned to the employer.
4. Ensure that documentation is submitted in a logical and orderly manner, and avoid submitting more documentation than required by the question guidelines. The CP may reject submissions that are difficult to assess.
5. Some questions will require both a written explanation and attached documentation (D).
6. While completing the audit document, you will likely identify deficiencies in your health and safety system. For each deficiency identified, consider what steps you could take to improve this area of your system, and enter an appropriate action item in the attached Action Plan.

Tips for completing the SECOR Assessment.

- ✓ Questions can only be marked as “not applicable” (n/a) if the guidelines allow it, and Assessor notes must fully justify why the question should be “n/a.”
- ✓ Assessors will not assess a score for each question, or fill out the Summary Score Sheet at the end of the audit. Scoring will be determined by the CP reviewer.
- ✓ Ensure the SECOR Audit Info Sheet is completed filled out, and signed off as required.
- ✓ Instructions for external auditors are included inside question guidelines. SECOR Assessors should ignore these instructions, as they will not be assigning question scores or conducting interviews.
- ✓ Unless this is your first SECOR Assessment, a completed action plan based on the results of your previous year’s audit must be included in the SECOR submission.

Instructions for completing a SECOR External Audit

ALL SECOR audits completed by an External Certified Auditor will be completed using the SECOR AuditSoft SECOR audit tool.

**PARTNERSHIPS SECOR
HEALTH AND SAFETY SYSTEM AUDIT SUMMARY SHEET**

Employer Legal Name (as registered with WCB):			
Employer Trade Name (if applicable):			
Address:			
WCB Account(s) in scope:		Industry Code(s) in scope:	
Regulatory Jurisdiction: (eg. Provincial - AB / Federal)			
Contact Person:		Phone Number:	
Fax Number:		Email:	
Assessor Name (if different than contact):		Assessor Certification:	
Assessor Company & Address:		Assessor Phone Number:	
Assessor Fax:		Assessor Email:	
Audit Start Date:		Audit End Date:	
Audit Purpose (certification or maintenance):			
Name of OHS Consultant /Company used to help build the OHS Management System (if applicable)			
Consultant Name:		Consultant Address	
Consultant Organization:		Consultant Address - City	
Consultant Email:		Consultant Phone Number:	

Employee Breakdown and Sampling Details

Levels	Total Numbers
Senior Manager	
Manager	
Supervisor	
Worker	
Total Employees	
Total Employees at Peak Times	

Department/shifts List departments, and (if applicable) shifts	Total Employees		
	Full-Time	Part-Time	Casual

1. Management Leadership and Organizational Commitment

For any health and safety management system to be effective, employers must demonstrate commitment and administer the program.

Audits need to measure the level of the employer’s commitment and employee (if applicable) involvement.

Questions		Guidelines	Auditor/ CP Assessed Score
1.1	Is there a written health and safety policy signed and dated by the employer? (D)	<p>Attach supporting documentation.</p> <p>The Health and Safety policy must be signed by the employer, dated, and must include:</p> <ul style="list-style-type: none"> – declaration of management commitment to health and safety that addresses physical, psychological, and social well-being – general health and safety responsibilities of managers, supervisors, workers and contractors – requirement to comply with organization’s own health and safety standards and OHS legislation <p>Owner/Operators are only required to have a signed and dated policy and not the sub-points noted in the above guideline.</p> <p>Auditors: Points are awarded based on percentage of positive indicators. Provide examples.</p>	/0-5
1.2	Are employees advised of the Health and Safety Policy content? (Self -Assessor: D, Auditor: I)	<p>Attach supporting documentation (e.g. meeting minutes, orientations, sign off) showing how employees are advised of the policy’s content.</p> <p>This question is not applicable (n/a) if it is an owner/operator. Provide justification.</p> <p>Auditors: Points are awarded based on percentage positive responses in interviews. Provide examples.</p>	/0-5

1. Management Leadership and Organizational Commitment

For any health and safety management system to be effective, employers must demonstrate commitment and administer the program. Audits need to measure the level of the employer’s commitment and employee (if applicable) involvement.

Questions		Guidelines	Auditor/ CP Assessed Score
1.3	Are specific health and safety roles and responsibilities written for: (D) a. Managers? b. Supervisors? c. Workers?	Attach supporting documentation (other than the health and safety policy). (e.g. contracts, job descriptions, and program manuals, etc.) Depending on size or nature of the organization, one or more of these categories may not be applicable (n/a). Provide justification. Where the organization has no employees, the owner/operator will be considered the <i>Manager</i> . Auditors: Points are awarded based on 100% positive indicators. Provide examples.	/5
			/5
			/5

	Questions	Guidelines	
1.4	<p>Are employees advised of their legislated health and safety roles, rights and responsibilities? (Self -Assessor: D, Auditor: I)</p> <ul style="list-style-type: none"> a. Managers? b. Supervisors? c. Workers? 	<p>Attach supporting documentation that verifies employees have been advised of their legislated health and safety rights (right to know, right to participate, and the right to refuse dangerous work) and responsibilities. This can include such items as orientations, meeting minutes, or other training records.</p> <p>Depending on the size and nature of organization, one or more of these employee types may not be applicable (n/a).</p> <p>This question is not applicable (n/a) if it is an owner/operator. Provide justification.</p> <p>Auditor: Points are awarded based on the 70% of positive responses in interviews. Provide examples.</p>	<p>/5</p> <p>/5</p> <p>/5</p>
1.5	<p>Is current health and safety legislation, relevant to the employer, readily available? (Self -Assessor: D, Auditor: I)</p>	<p>Supporting documentation does not need to be attached for this question.</p> <p>Self-Assessors: Identify and list the type of legislation (e.g. federal and/or Alberta) available with the date of publication, and explain how it is made readily available in the notes.</p> <p>Auditors: Employer/Manager interview. Points are awarded based on a minimum 70% positive responses. Provide examples.</p>	<p>/5</p>
TOTAL POINTS POSSIBLE:			/45

2. Hazard Identification and Assessment

All equipment, machinery, work areas and work processes need to be carefully evaluated to identify all hazards and assess their risk.

Audits need to measure the systems in place for identifying and assessing job specific health and safety hazards.

A **formal hazard assessment** takes a close look at the overall operations of an organization to identify hazards, measure risk (to help prioritize hazards), and develop, implement and monitor related controls. Worker jobs or types of work are broken down into separate tasks.

A **site-specific hazard assessment** (also called field-level) is performed before work starts at a site and at a site where conditions change or when non-routine work is added. This flags hazards identified at the location (e.g. overhead power lines, poor lighting, wet surfaces, extreme temperatures, the presence of wildlife), or introduced by a change at the work site (e.g. scaffolding, unfamiliar chemicals, introduction of new equipment). Any hazards identified are to be eliminated or controlled right away, before work begins or continues.

Questions		Guidelines	Auditor/CP Assessed Score
2.1	Are all jobs/positions identified for the purpose of formal hazard assessments? (D)	<p>Attach supporting documentation that confirms all employee positions have been identified. (e.g. job descriptions, organizational chart, job inventory, etc.).</p> <p>Auditors: Review available documents that determine positions within the organization. Notes must include examples of the jobs/positions identified, and any that were missed.</p> <p>Points are awarded based on percentage of jobs/positions identified compared to the number required as identified on employee lists or organizational chart. Sampling is not acceptable for this question.</p>	/0-10

	Questions	Guidelines	Auditor/CP Assessed Score
2.2	Is there a list of tasks associated with each job/position? (D)	<p>Attach all formal hazard assessments.</p> <p>Tasks associated with each job/position must be identified.</p> <p>Auditor: Notes must include examples, and list any tasks that were missed. Points are awarded based on the percentage of jobs/positions that have tasks properly associated.</p> <p>Points are determined by the percentage of positive indicators. Sampling is not acceptable for this question.</p>	/0-10

	Questions	Guidelines	Auditor/CP Assessed Score
2.3	Are health and safety hazards identified for the tasks associated with each job/position? (D)	<p>Attach all formal hazard assessments.</p> <p>Health Hazard: Has the potential to cause an acute or chronic condition, illness or disease from exposure (e.g. noise, dust, heat, etc.).</p> <p>Safety Hazard: Has the potential to cause immediate injury (e.g. shear points, working at heights, etc.)</p> <p>Consider the four categories for health and safety hazards, which include:</p> <ul style="list-style-type: none"> • Physical (e.g. radiological, working at heights, lifting heavy loads, extreme temperatures, violence, ergonomics, etc.) • Chemical (e.g. fumes, vapours, gases, waste products, etc.) • Biological (e.g. bodily fluids, viruses, bacteria, moulds, etc.) • Psychological (e.g. harassment and bullying, stress, fatigue, etc.) <p>Note: All hazard categories may not be applicable to every task identified on formal hazard assessments.</p> <p>Auditors: Notes must include examples of both health and safety hazards. Points are awarded based on the percentage of tasks with health and safety hazards identified.</p> <p>Points are determined by the percentage of positive indicators. Sampling is not acceptable for this question.</p>	/0-10

	Questions	Guidelines	Auditor/CP Assessed Score
2.4	Are the identified health and safety hazards evaluated according to risk? (D)	<p>Attach all formal hazard assessments.</p> <p>Auditors: Notes must describe the system in use to confirm each hazard identified in question 2.3 has been assessed for risk to determine priority using a consistent approach of at least 2 factors (e.g. severity and likelihood). Points are awarded based on the percentage of health and safety hazards that have been assessed.</p>	/0-10

	Questions	Guidelines	Auditor/CP Assessed Score
2.5	Are the formal hazard assessments reviewed? (D)	<p>Attach supporting documentation (e.g. meeting minutes, supervisor logbooks, revised formal hazard assessments, etc.).</p> <p>A requirement to review formal hazard assessments must be established and include the following criteria:</p> <ul style="list-style-type: none"> • On a pre-determined frequency, designed to keep the results up-to-date; • When a new work process is introduced; • When changes are made to the operation or work-related process; • When site-specific hazard assessments identify hazards not identified on the formal hazard assessments; • In response to inspection and investigation results. <p>Note: If reviews have not been required in the previous 12 months, attach policy or process that identifies the requirements.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Describe how and when these reviews occur in the notes.</p>	/5

	Questions	Guidelines	Auditor/CP Assessed Score
2.6	Do employees participate in the development, and/or review/revision of the formal hazard assessments? (D)	<p>Attach documentation that supports employee participation and/or review/revision of formal hazard assessments. (e.g. formal hazard assessments sign off, meeting minutes, etc.).</p> <p>Note: The purpose of this question is for employees to participate in the development and/or review of formal hazard assessments that relate to their position. This is not an awareness question; therefore, orientations cannot be used to verify this question.</p> <p>This question is not applicable (n/a) if it is an owner/operator, and/or reviews of formal hazard assessments have not been required in the previous 12 months.</p> <p>Provide justification.</p> <p>Auditors: Score is awarded based on positive indicators. Provide examples.</p>	/5

3. Hazard Control

Audits need to measure the systems in place for controlling job specific health and safety hazards

Control measures need to be in place to eliminate or reduce the risk of harm to the employer, employees (if applicable) and equipment. Implementation of hazard controls will result in the reduction of incidents. Three methods of control are: Engineering (i.e. elimination, substitution, guards, ventilation, sound barriers, etc.); Administrative (i.e. safe work practices, job procedures, job rotation, training, etc.); Personal Protective Equipment (i.e. eye protection, hearing protection, gloves, fire retardant coveralls, etc.).

Preventative Maintenance – involves taking the necessary precautions and actions to prevent incidents or equipment failures from occurring before they happen to reduce the risk of incidents.

Questions		Guidelines	Auditor/CP Assessed Score
3.1	Are controls identified for the hazards listed in the formal hazard assessments? (D)	<p>Attach all formal hazard assessments. Hazard assessments must include controls for each hazard identified, including engineering, administrative, and PPE controls where applicable.</p> <p>Auditors: Documentation must show a connection between the hazards identified in question 2.3, and the recommended controls in order to award points for this question. Point are awarded based on percentage of positive indicators. Provide details/examples.</p>	/0-10

	Questions	Guidelines	Auditor/CP Assessed Score
3.2	Does the employer ensure hazard controls are used by employees? (Self -Assessor: D, Auditor: I)	<p>Attach documentation and include a note that explains how your organization ensures controls are used/followed by employees. (e.g. inspections process, disciplinary policy, competency assessments, etc.).</p> <p>This question is not applicable (n/a) to owner/operators. Provide Justification.</p> <p>Auditors: Explain how the employer ensures employees are using controls. Points are awarded based on percentage of positive responses from interviews. Provide examples.</p>	/0-10
3.3	Is there a preventative maintenance program for equipment, vehicles, facilities, and machinery? (D)	<p>Attach the preventative maintenance policy/process including the schedule.</p> <p>Documentation must identify ongoing preventative maintenance requirements for vehicles, equipment, facilities, and tools. (e.g. overhead doors, cranes, localized ventilation, forklifts, power tools, fire extinguishers, etc.).</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/5

	Questions	Guidelines	Auditor/CP Assessed Score
3.4	Is the preventative maintenance process in use? (D)	<p>Attach a representative sample of maintenance records (e.g. maintenance logs, work orders, etc.) from the previous 12 months.</p> <p>Documentation must confirm preventative maintenance is completed according to the schedule as identified in the policy/process.</p> <p>Auditors: Points are awarded based on percentage of positive indicators. Provide examples.</p>	/0-5
3.5	Is there a written Violence Prevention Plan as per legislated requirements? (D)	<p>Attach a copy of the written violence prevention plan.</p> <p>Ensure the plan meets legislated (Alberta and/or federal) requirements as applicable to the operation.</p> <p>Auditors: All criteria must be included in order to award full points. Provide examples.</p>	/5

	Questions	Guidelines	Auditor/CP Assessed Score
3.6	Is there a written Harassment Prevention Plan as per legislated requirements? (D)	<p>Attach the Harassment Prevention plan.</p> <p>Ensure your plan meets legislated (Alberta and/or federal) requirements as applicable to the operation.</p> <p>Auditors: All criteria must be included in order to award full points. Provide examples.</p>	/5
3.7	Is there a policy/process for review of the Violence and Harassment Plans as per legislated requirements? (D)	<p>Attach the policy/process that verifies the violence and harassment plans are reviewed based on the legislated (Alberta and/or federal) criteria</p> <p>Auditor: Points are awarded based on reviews completed as required by legislation. If there is no review required, points are awarded if a written review process is in place. Provide examples.</p>	/5
TOTAL POINTS POSSIBLE:			/45

4. Health and Safety Representative (HS representative)

Health and safety representation is a key element of the internal responsibility system. The role brings work site parties together to work on topics such as hazard identification and control, investigation of health and safety incidents, and responding to reports of unsafe work.

If an employer chooses to go above the legislation and establish a health and safety committee, then the committee documentation is used to answer the question to this element.

This element may be marked not applicable (n/a) for employers that are not required by legislation to have a HS representative (Alberta) or Federal legislation for federally regulated employers.

Questions		Guidelines	Auditor/CP Assessed Score
4.1	Has a HS representative been designated as per legislated requirements? (D)	Attach policies, procedure, meeting minutes, or documentation that can verify that the HS representative has been designated as per legislated (Alberta and/or federal) requirements. This question can be marked n/a if the employer is not required by legislation to have a HS representative. Provide justification. Auditors: Points are awarded based on 100% positive indicators. Provide examples.	/5
4.2	Are assigned duties identified for the HS representative as per legislated requirements? (D)	Attach supporting documentation. Duties of the HS representative must be written and meet legislated (Alberta/federal) requirements. This question can be marked n/a if the employer is not required by legislation to have a HS representative. Provide justification. Auditors: All duties must be addressed in order to award full points. Provide examples.	/5

	Questions	Guidelines	Auditor/CP Assessed Score
4.3	Is the HS representative trained for their role as per legislated requirements? (D)	<p>Attach training records for the HS representative.</p> <p>This question can be marked n/a if the employer is not required by legislation to have a HS representative. Provide justification.</p> <p>Auditors: The HS representative must be trained in order to award points. Provide examples.</p> <p>Training needs to cover roles and responsibilities of the HS representative, worker rights, and obligations of work site parties, to ensure they are trained as per legislated requirements (Alberta) or to Federal legislation for federally regulated employers</p>	/5
4.4	Is the HS representative completing their duties as per legislated requirements? (D)	<p>Attach a representative sample of documentation that supports duties are being completed as per legislated (Alberta/Federal) requirements.</p> <p>This question can be marked n/a if the employer is not required by legislation to have a HS representative. Provide justification.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/5

	Questions	Guidelines	Auditor/CP Assessed Score
4.5	Is there a system in place for the HS representative to address employee health and safety concerns/complaints and provide recommendations to the employer? (D)	<p>Attach the policy or procedure.</p> <p>This question can be marked n/a if the employer is not required by legislation to have a HS representative. Provide justification.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/5
4.6	Are health and safety concerns/complaints resolved in a timely manner? (D)	<p>Attach supporting documentation</p> <p>This question may be marked “n/a” if there were no concerns/complaints in the previous 12 months. Provide justification.</p> <p>Auditors: Consider the complexity of the concerns/complaints to determine timeliness. Points are awarded based on percentage of positive indicators. Provide examples.</p>	/0-5

	Questions	Guidelines	Auditor/CP Assessed Score
4.7	Is health and safety representative contact information readily available to employees, as per legislated requirements? (Self-Assessor: D, Auditor: I)	<p>Attach supporting documentation or provide a note that explains where the information is posted or how it is accessible to employees.</p> <p>This question can be marked n/a if the employer is not required by legislation to have a HS representative. Provide justification.</p> <p>Auditors: Points are awarded based on 100% positive responses in interviews. Provide examples.</p>	/5
TOTAL POINTS POSSIBLE:			/35

5. Qualifications, Orientations and Training

Employers and employees require training to ensure they can do their jobs safely.
Audits need to measure whether employers and employees (if applicable) are trained to perform their assigned tasks.

	Questions	Guidelines	Auditor/CP Assessed Score
5.1	Do orientations cover individual OHS rights and critical health and safety information? (D)	<p>Attach completed supporting documentation.</p> <p>If this process have not been required in the previous 12 months, attach a blank orientation document..</p> <p>These must, at minimum include:</p> <ul style="list-style-type: none"> - Right to know - Right to participate - Right to refuse dangerous work - Emergency response procedures - Rules of enforcement - Highest Risk hazards - Hazard reporting - Incident reporting <p>This question is not applicable (n/a) for owner/operators.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/10

5. Qualifications, Orientations and Training

Employers and employees require training to ensure they can do their jobs safely.
Audits need to measure whether employers and employees (if applicable) are trained to perform their assigned tasks.

Questions		Guidelines	Auditor/CP Assessed Score
5.2	Are employee orientations completed prior to starting regular duties? (D)	<p>Attach completed orientation records from the previous 12 months and describe when they are completed. Orientations must be dated showing they are completed before regular duties.</p> <p>This question is not applicable (n/a) to owner/operator, or if orientations have not been required in the previous 12 months. Provide justification.</p> <p>Auditors: Points are awarded based on percentage of positive indicators. Provide examples.</p>	/0-5
5.3	Is job-specific training completed? (D)	<p>Attach supporting documentation.</p> <p>Job-specific training must include:</p> <ul style="list-style-type: none"> • Specific job hazards (e.g. H2S, Confined Space, etc.) (0-5 points) • Job-specific controls (e.g. safe work practices, procedures, etc.). (0-5 points) <p>Owner/operator are allowed to answer with a validation note and are not required to supply documentation.</p> <p>Auditors: Job-specific training conducted must be relevant to the scope of the organization. Points are awarded based on percentage of positive indicators. Provide examples.</p>	/0-10

	Questions	Guidelines	Auditor/CP Assessed Score
5.4	Does job-specific training include a practical demonstration by the trainee? (D)	<p>Attach supporting documentation.</p> <p>Training must include a practical demonstration completed by a trainee to confirm they have acquired the necessary knowledge or skill related to the subject matter.</p> <p>Examples of training documents may include a combination of reviewing policies, procedures, practical demonstrations, safe work practices, hazard assessments and training certificates/manuals (e.g. WHMIS 2015, Confined Space Entry, TDG, tasks specialized to the employer, using specialized tools and equipment, etc.).</p> <p>Due to the nature of some tasks, a practical demonstration may not be suitable. However, there are tasks that require job-specific or specialized training to ensure the trainee can competently complete the task (e.g. tasks associated with forklifts, ladders, hand tools, pallet wrappers, etc.).</p> <p>If this is an owner/operator, or if job specific training was not required in the previous 12 months, this question is marked not applicable (n/a). Provide justification.</p> <p>Auditors: Points are awarded based on percentage of positive indicators. Provide examples.</p>	/0-5
5.5	Are competency assessments completed when operational changes require them? (D)	<p>Provide documentation around completion of competency assessments when operational changes require them (which can include adding new or re-assigning workers).</p> <p>This question can be marked not applicable (n/a) if it is an owner/operator, or if competency assessments have not been required in the previous 12 months.</p> <p>Auditor: Points are awarded based on 70% positive indicators. Provide examples.</p>	/5

	Questions	Guidelines	Auditor/CP Assessed Score
5.6	Is refresher training completed at set intervals or when operational changes require it? (D)	<p>Attach the organization’s training schedule and supporting documentation.</p> <p>If refresher training was not required in the previous 12 months, verify through review of the schedule and provide justification in the notes.</p> <p>Refresher training frequency must meet the training schedule and/or occur when operational changes take place.</p> <p>Some certifications (e.g. First Aid, trade certificates, etc.) also have requirements for re-training/refresher training on a set schedule. Employers must document any refresher training requirements, and ensure schedules are met.</p> <p><i>Owner/operator are allowed to answer with a validation note and are not required to supply documentation.</i></p> <p>Auditors: Points are awarded based on percentage of positive indicators. Provide examples.</p>	/0-5
TOTAL POINTS POSSIBLE:			/40

6. Other Parties at or in the Vicinity of the Worksite

When an employer is contracting out work to other employers, the employer must ensure these parties have been included in the OHS management system.

Employers must also ensure the health and safety of persons in the vicinity of their work site, including but not limited to ensuring that visitors understand their health and safety responsibilities while on-site.

	Questions	Guidelines	Auditor/CP Assessed Score
6.1	Is a process in place to address the protection of others not under the employer's direction? (D)	<p>Attach the process that demonstrates the protection of other workers, visitors and other persons not under the employer's direction, but in the vicinity of the work site.</p> <p>This question cannot be marked not applicable (n/a).</p> <p>Auditor: Points are awarded based on 100% positive indicators. Provide examples.</p>	/5
6.2	Is there a process to ensure hazards and controls are communicated to external work site parties? (D)	<p>Attach supporting documentation (e.g. emails, meeting minutes, orientation, contracts, etc.).</p> <p>This process is related to both those conducting activities at the employer work site(s) or receiving products/materials.</p> <p>External work site parties include: contracting employer, suppliers, service providers, prime contractor, temporary staffing agencies, and other employers.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/5

	Questions	Guidelines	Auditor/CP Assessed Score
6.3	Is a system in place for selecting other employers? (D)	<p>Attach supporting documentation.</p> <p>A system must be in place and identify health and safety criteria to evaluate and select other employers for hiring purposes.</p> <p>If the employer does not use other employers , this question is marked not applicable (n/a). Provide justification.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/10
6.4	Is a system in place to regularly monitor other employers? (D)	<p>Attach supporting documentation.</p> <p>The system must identify how other employers health and safety performance is regularly monitored.</p> <p>If the employer does not use other employers, this question can be marked n/a. Provide justification.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/5
Total Points Possible:			/25

7. Ongoing Inspections

The formal inspection process can proactively identify new potential hazards, as well as confirm the effectiveness of controls already in place.

Questions		Guidelines	Auditor/CP Assessed Score
7.1	Does the employer have an inspection process in place?	<p>Attach documentation.</p> <p>The process must include responsibilities and stated frequencies for inspections to be completed.</p> <p>Auditors: Points are awarded based 100% positive indicators. Provide examples.</p>	/5
7.2	Is a checklist/form used to conduct formal inspections? (D)	<p>Attach a copy of the inspection checklist/form in use.</p> <p>The checklist/form must include</p> <ul style="list-style-type: none"> • Location of inspection (e.g. office, shop, yard, etc.). • Frequency of inspections (e.g. weekly, monthly, yearly, etc.). <p>Auditors: Points are awarded based 100% positive indicators. Provide examples.</p>	/5

	Questions	Guidelines	Auditor/CP Assessed Score
7.3	Are formal inspections completed as required? (D)	<p>Attach inspection records from the previous 12 months.</p> <p>Auditors: Points are awarded based on the percentage of formal inspections completed that meet the requirements identified in 7.1. Provide examples.</p> <p>If no points are awarded in 7.1, then 0 points are awarded for this question.</p>	/0-10
7.4	Are corrective actions implemented for identified deficiencies? (D)	<p>Attach a representative sample of documentation that supports implementation of corrective actions. (e.g. work orders, purchase orders, e-mails, memos, meeting minutes, etc.).</p> <p>If no deficiencies were found in the previous 12 months, this question can be marked not applicable (N/A). Provide a justification note.</p> <p>Auditors: Points are awarded based on the percentage of corrective actions implemented. Provide examples.</p>	/0-10
7.5	Is there a system in place that employees can use to report existing or new hazards? (D)	<p>Attach supporting documentation.</p> <p>This question can be marked as not applicable (n/a) if Owner/operator. . Provide justification.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/5
TOTAL POINTS POSSIBLE:			/35

8. Emergency Response

An emergency response plan helps ensure appropriate and efficient actions will take place in the event of an emergency or disaster.

Questions		Guidelines	Auditor/CP Assessed Score
8.1	Are there written emergency response plans developed for potential emergencies applicable to the operation? (D)	<p>Attach the emergency response plans.</p> <p>Emergency response plans must be specific to the employer operations. (e.g. fire, severe weather, medical emergencies, violence, etc.).</p> <p>Auditors: Points are awarded based on percentage of positive indicators. Provide examples.</p>	/0-10
8.2	Does the employer have a communication system in place for emergencies? (D)	<p>Attach the emergency response plans and/or procedures.</p> <p>An employer must have a communication system in place for use when there is an emergency. The system may include alarms, procedures for contacting both internal and external emergency contacts, emergency phone numbers more than “911”, etc.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/5

	Questions	Guidelines	Auditor/CP Assessed Score
8.3	Does first aid equipment, supplies, number of first aiders, and facilities meet legislated requirements applicable to the employers operation? (D)	<p>Attach supporting documentation.</p> <p><i>Owner/operator are allowed to answer with a validation note and are not required to supply documentation.</i></p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/10
8.4	Are employees trained on their responsibilities under the ERP? (D)	<p>Attach supporting documentation that verifies training has taken place.</p> <p>This question can be marked as not applicable (n/a) if owner/operator. Provide justification.</p> <p>Auditors: Points are awarded based on percentage of positive indicators. Provide examples.</p>	/0-5

	Question	Guidelines	Auditor/CP Assessed Score
8.5	Are planned emergency response drills/testing conducted at least annually? (D)	<p>Attach ERP drills/testing conducted in the previous 12 months.</p> <p>Drills applicable to the operation are required at least once every 12 months to measure the plans effectiveness.</p> <p>An emergency response drill could include a practice drill or table top exercise. (e.g. evacuation, lockdown, shelter in place, etc.).</p> <p>Emergency response drills can be conducted in conjunction with other employers as appropriate.</p> <p>A drill type may cover multiple emergency response plans. For example, an evacuation drill might address multiple scenarios including a fire, hazardous material release, bomb threat, etc.</p> <p>Actual emergency responses cannot be used to score this question. This question is not applicable (n/a) if owner/operator.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/5
8.6	Are the emergency response plan(s) revised when drills/actual emergencies identify deficiencies? (D)	<p>Attach supporting documentation.</p> <p>If an actual emergency response has not occurred and deficiencies have not been identified through a drill in the previous 12 months, or the employer is an Owner/Operator this question can be marked as not applicable (n/a). Provide justification.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/5
TOTAL POINTS POSSIBLE:			/40

9. Incident Investigation

Investigations determine the cause(s) of an incident, and the corrective action(s) required to prevent a recurrence.

Questions		Guidelines	Auditor/CP Assessed Score
9.1	Is there a process and/or procedure that requires the reporting of workplace incidents (including near miss), occupational illness and work refusals? (D)	<p>Attach the incident reporting process and/or procedures.</p> <p>Incident reporting must include both internal and external reporting (e.g. OHS, WCB, etc.).</p> <p>Auditors: Points are awarded based on percentage of positive indicators. Provide examples.</p>	/0-10
9.2	<p>Does the investigation process/procedure include:</p> <ul style="list-style-type: none"> - Identification of factors that caused or contributed to the incident - Identify and implement corrective actions (D) 	<p>Attach the investigation process and/or procedure.</p> <p>The investigation process and/or procedure must include:</p> <ul style="list-style-type: none"> • Identification of the factors that may have caused or contributed to the incident • Identification of corrective actions. • Requirement to implement corrective actions. <p>Auditors: Points are awarded based on percentage of positive indicators. Provide examples</p>	/0-10

9.3	Do employees participate in the investigation process? (D)	<p>Attach completed incident investigations.</p> <p>Incident Investigations may be conducted in conjunction with other employers as appropriate.</p> <p>If no investigations have been completed in the previous 12 months, documentation showing how employees would participate can be provided. Provide justification.</p> <p>Participation must be more than the injured worker or witness.</p> <p>This question can be marked as not applicable (n/a) if owner/operator. Provide justification.</p> <p>Auditors: Points are awarded based on percentage of positive indicators. Provide examples.</p>	/0-5
TOTAL POINTS POSSIBLE:			/25

10. Program Administration

System administration provides an evaluation of the overall effectiveness of the occupational health and safety management system (OHSMS).

This element may be marked not applicable (n/a) for owner/operators that are completing their first audit OR have achieved 100% on their previous audit.

	Questions	Guidelines	Auditor/CP Assessed Score
10.1	Is two-way communication occurring between the employer and workers? (D)	<p>Attach supporting documentation.</p> <p>Two-way communication can take place through meeting minutes, e-mails, bulletins, etc.</p> <p>This question can be marked as not applicable (n/a) if owner/operator. Provide justification.</p> <p>Auditors: Points are awarded based on 100% positive indicators. Provide examples.</p>	/10
10.2	Was an action plan developed to address the deficiencies identified in the previous audit? (D)	<p>Attach the action plan from the previous year.</p> <p>A plan format must include:</p> <ul style="list-style-type: none"> • measureable action items, • completion dates, and • individual/position responsible for follow-up. <p>This question can be marked as not applicable (n/a) if this is the employer’s first health and safety evaluation or got 100% on their previous audit. Provide justification.</p> <p>Auditors: Points awarded based on 100% of positive indicators. Provide examples.</p>	/ 5

	Questions	Guidelines	Auditor/CP Assessed Score
10.3	Was the action plan implemented? (D)	<p>Attach the completed action plan from the previous year's evaluation.</p> <p>This question can be marked as not applicable (n/a) if this is the employer's first health and safety audit or got 100% on their previous audit. Provide justification.</p> <p>Auditors: Points are awarded based on percentage of positive indicators. Provide examples.</p>	/ 0-10
TOTAL POINTS POSSIBLE:			/25

Partnerships Small Employer Action Plan

Audit Date: _____

IDENTIFIED DEFICIENCY	ACTION PROPOSED	PERSON (S) RESPONSIBLE	TARGET DATE	ACTION TAKEN	DATE COMPLETED

Use the above template to develop an action plan from the audit results. Deficiencies identified by the assessor, external auditor and/or the Certifying Partner reviewer should be itemized in this plan, and completed before your next audit.

SELF-ASSESSOR CODE OF ETHICS AGREEMENT

As a Self-assessor trained by the Alberta Association for Safety Partnerships I agree to the following:

- Audits will be conducted with the utmost integrity, confidentiality and with no conflict of interest. As a Self-assessor I have read and agree to follow the Code of Ethics policy of the Alberta Association for Safety Partnerships.
- I agree and understand the Alberta Association for Safety Partnerships has the right and responsibility to take disciplinary action if I do not abide by the Code of Ethics as outlined in the policy.
- I agree to complete the audit information gathering within the 15 day time frame and to submit completed audits within 21 days from last day of on site activities.
- I also agree to correct any deficiencies noted in the reviews within two weeks of notice.
- I also agree to complete my Self-assessor refresher training every three years as required by AASP and Partnerships Standard.

If at any time I am found to be in breach of this agreement or the Code of Ethics, I understand the Association for Safety Partnerships has the right and responsibility to cancel my Self-assessor certification.

Certified Self-assessor

Date: _____