Company Name



BASE 4

**Report**

**Date of audit:**

**November 14-18, 2XXX**

**Lead Auditor:**

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# Executive Summary

The **Company Name** has met the BASE 4 standard with their 2XXX audit.

The audit completed was an **Audit type** audit using the BASE 4 standard and included the IM/RTW program.

The final audit score is 86% in the OHS portion and 93% in the IM/RTW portion. The lowest scoring questions in the OHS portion of the audit were P4.4 at 50% and C3.1 at 50%. The lowest scoring element in the IM/RTW portion of the audit was Resources, Education and Training at 79%.

A minimum overall score of 80% is required to meet the BASE audit standard with a minimum of 50% required for each individual question in the OHS section and at least 50% in every element for the IM/RTW section.

During the audit, numerous safety program strengths were identified, which included:

* Conducting Annual Emergency Response Plan Drills – The organization has held both, a fire drill and earthquake drill during the audit year and did an excellent job of documenting these and communicating the improvements required to staff.
* Joint Occupational Health and Safety Committee (JOHSC) – The organization has done a great job of utilizing the JOHSC as a resource for safety program compliance monitoring as well as making improvements to the program. Although there was a bit of confusion about where specific types of concerns were to be taken, workers indicated that they could bring concerns and ideas for safety program improvement to JOHSC members. Workers also mentioned that JOHSC members were visible in the work place completing work site inspections.
* Building Security – The organization has several measures in place to protect staff from potentially dangerous situations. These methods include a locked door separating the reception area and the rest of the office, a door bell installed for the receptionist to get other staff to assist in the event of rude or violent people entering the building, and a key fob system used to control building access. The training matrix also showed that some workers have had training to de-escalate potentially violent situations.

Also, several areas were identified for improvement of the program, which included:

* Young Worker Program – Although the organization does not currently employ young workers, the organization should implement a program to manage any future young workers under the age of 25.
* Competency Assessments - The organization should implement a system to assess worker and supervisor competency. Periodic follow up assessments should be also performed. It is recommended that these assessments are performed at least annually and more often in the event the organization employs workers under the age of 25.
* Injury Management / Return to Work Program Contact Frequencies – The IM/RTW program should address specific responsibilities for initial and ongoing contact with absent, injured or ill employees as well as the minimum frequencies for keeping in contact with the employee.

|  |  |
| --- | --- |
| Audit Parameters | |
| WorkSafe BC Account | XXXXXX |
| Classification Unit | XXXXXX |
| Audit locations | XXXXXX |
| Audit dates | XXXX |
| Last date of on-site activities | XXXX |

The audit was conducted through a combination of confidential interviews with 17 of 37 employees, documentation review as well as observations of the organization’s office location.

Additional recommendations and suggestions for continuous improvements are included within the audit report, which will assist you with improvements to your safety management system.

**Auditor name**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Scoring Summary – OH&S Program** | | | | | |
|  | **Awarded** | **Available** | **N/A** | **Available – N/A** | **% awarded** |
| **P. Planning for Reliable, Injury-free Work** | **101** | **130** | **10** | **120** | **84%** |
| **D. Doing the Work Well** | **132** | **150** | **5** | **145** | **91%** |
| **C. Checking for Safe Work** | **34** | **60** | **10** | **50** | **68%** |
| **A. Adjusting for Better Work** | **56** | **60** | **0** | **60** | **93%** |
| **Total** | **323** | **400** | **25** | **375** | **86%** |

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| **Scoring Summary - Injury Management/Return-to-Work Programs** | | | | | |
|  | **Awarded** | **Available** | **N/A** | **Available – N/A** | **% awarded** |
| **I1. Policy, Management and Leadership** | **65** | **90** | **25** | **65** | **100%** |
| **I2. Resources, Education and Training** | **55** | **70** | **0** | **70** | **79%** |
| **I3. Stay at Work and Return to Work** | **109** | **155** | **35** | **120** | **91%** |
| **I4. Communications** | **100** | **100** | **0** | **100** | **100%** |
| **Total** | **329** | **415** | **60** | **355** | **93%** |

# Consolidated Corrective Action Log

Overall, there were 30 recommendations and 8 continual improvement suggestions from the audit.

The auditor will complete the first three columns when writing the report, extracting one line for each Recommendation or Continual Improvement Opportunity. The company will complete the remaining columns and actions.

| Points scored | Audit Question | Recommendation / Continual Improvement Item | Company Action Plan | Assigned To | Due Date | Date Closed | Verified By |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 7 | **P1.1** | Recommendation: The organization should consider including an update of progress on the annual safety program improvement goals at every safety meeting or quarterly. |  |  |  |  |  |
| 7 | **P1.1** | Recommendation: The organization should consider briefing contractors on any safety program related improvement goals they set. |  |  |  |  |  |
| 8 | **P2.1** | Recommendation: The health and safety policy should be revised to include a balanced commitment to both safety and production. |  |  |  |  |  |
| 9 | **P2.2** | Recommendation: The organization should take measures to better manage cords on the floor, or where possible eliminate cords on the floor creating a tripping hazard. |  |  |  |  |  |
| 9 | **P2.2** | Continual Improvement Suggestion: Consider including the names of those involved with revisions on the Hazard Inventory and Risk Assessment Matrix as well as the revision dates. |  |  |  |  |  |
| 9 | **P4.2** | Recommendation – Checklists for inventory of all first aid equipment should be created and regular inspections performed to ensure required first aid supplies are in place and replaced before expiration date. |  |  |  |  |  |
| 5 | **P4.4** | Recommendation: The organization should implement a program to manage future young worker under the age of 25. This program should address the steps taken from the time of orientation until the young worker reaches the age of 25. Some items that should be included in a young worker program include mentorship, such as pairing a young worker with a more experienced worker and an increased frequency for conducting documented worker assessments. |  |  |  |  |  |
| 7 | **P5.1** | Recommendation – A review should be conducted of where different types of safety documentation are stored electronically and who has access to them. This review should consider both ease of access to records and who has access to records. The organization may wish to consider restricting access to certain types of documentation that could potentially contain personal information. |  |  |  |  |  |
| 7 | **P5.1** | Recommendation: The organization should assign responsibility for the WHMIS program to somebody in writing. Consider assigning this to a specific position within the organization rather than a specific person. |  |  |  |  |  |
| 9 | **P6.1** | Recommendation: Incident investigation policy should be revised to include information about what level of incident investigation is to be carried out based on severity of incident. This should be based on the risk assessment matrix that the organization is already using. |  |  |  |  |  |
| 9 | **P6.1** | Recommendation: The organization should review incident reporting expectations with staff. Emphasis should be placed on their immediate supervisor receiving notification of an incident as per reporting procedures found in the COMPANY SMS. An incident reporting flow chart may assist with this. |  |  |  |  |  |
| 7 | **P7.1** | Recommendation – The organization should review and revise their contractor selection process. Perhaps consider the activities and level of risk involved with the contract work and create pre-qualification requirements based on this. The organization may wish to establish their own definitions for types of contractors hired. For example, the contractor involved in assisting with computer based learning projects in an office off site may not require the same level of contractor management as someone involved in training and evaluation of manual tree fallers in the woods. |  |  |  |  |  |
| 10 | **D1.1** | Continual Improvement Suggestion: The organization should audit their travel check-in records and travel check-in standards to determine compliance with their own established standards. Consider revising if the current standard is not practical for users. |  |  |  |  |  |
| 9 | **D3.2** | Recommendation: Ensure cord management is included in regular office inspections. There should be an increased focus on this where there is potential for a tripping hazard or worker getting their foot caught in cords. |  |  |  |  |  |
| 9 | **D3.2** | Continual Improvement Suggestion: The organization may want to review their hazard reporting protocols in the COMPANY SMS. If current reporting procedures are sufficient, they should be re-communicated to staff. If hazard reporting protocols are found to not be practical, they should be revised. The organization may wish to designate someone, for example, the emergency warden on duty to report building related hazards if supervisors are not always immediately available to speak to in person. |  |  |  |  |  |
| 8 | **D3.3** | Recommendation: Ensure expiration dates on first aid supplies are checked regularly. The COMPANY owned first aid kits in the falling safety advisor’s pick-ups should be included in the inspection of first aid supplies as well. |  |  |  |  |  |
| 9 | **D4.1** | Recommendation: The organization should ensure that all visitors to the Area office receive an orientation and that the orientation gets recorded on the sign-in sheet. |  |  |  |  |  |
| 9 | **D4.1** | Continual Improvement Suggestion: The organization should review their requirements for visitor orientations and the frequency they are to be conducted. If a six month interval is deemed appropriate, this information should be added to the COMPANY SMS. Visitor orientations should be tracked for name and date of visitor orientation as well as be easily accessible to receptionist or others involved in bringing visitors into the building. |  |  |  |  |  |
| 10 | **D4.2** | Continual Improvement Suggestion: The organization should review their training matrix and ensure that all courses that workers are expected to have are included. Some examples of training records that the organization may want to consider adding include Faller Certification, Resource Road Driving, JOHSC training, Incident Investigation and several other courses offered by the BC Employers Advisers office that interviewed workers indicated they had attended. |  |  |  |  |  |
| 10 | **D5.1** | Recommendation: The organization should ensure that safety meetings are held in every operating month. |  |  |  |  |  |
| 9 | **D6.1** | Recommendation – The organization should review and revise the incident reporting and investigation procedures to include a requirement to report incidents to a client, should an incident happen on their worksite as well as a requirement to report vehicle related incidents to ICBC or other authorities. The organization may wish to also break down each type of potential incident that could occur and include corresponding notifications that must be made for each type. |  |  |  |  |  |
| 7 | **D6.1** | Recommendation: The organization should review their incident reporting expectations with staff. Emphasis should be placed on their immediate supervisor or their designate receiving notification of an incident as per reporting procedures found in the COMPANY SMS. An incident reporting flow chart may assist with this. |  |  |  |  |  |
| 8 | **D6.2** | Recommendation – The organization should review how incidents are being communicated to staff. If meeting minutes being sent to workers who are absent at the safety meeting, the organization must ensure that they receive the information about the incident. If meeting minutes are not capturing all of the incident information, consider creating and distributing an internal bulletin about the incident and learnings that came out of the investigation. |  |  |  |  |  |
| 8 | **D7.1** | Recommendations: The organization should consider implementing regular worker assessments for all staff. |  |  |  |  |  |
| 8 | **C1.1** | Recommendations: The organization should consider implementing regular performance reviews for all staff, completed by their supervisor. |  |  |  |  |  |
| 8 | **C2.1** | Recommendation: Ensure cord management is included in regular office inspections. There should be an increased focus on this where there is potential for a tripping hazard or worker getting their foot caught in cords. |  |  |  |  |  |
| 8 | **C2.1** | Recommendation: The organization should ensure that all workplace inspections are occurring at the frequencies specified by the COMPANY SMS. As large majority of inspection records show workplace inspections are occurring on the last day of the month, scheduling the inspections for mid-month may provide some additional flexibility for those with busy schedules to complete the inspection. |  |  |  |  |  |
| 5 | **C3.1** | Recommendation – The organization should implement a system to assess worker and supervisor competency. Follow up assessments should be also performed. It is recommended that these assessments are performed at least annually and more often in the event the organization employs workers under the age of 25. |  |  |  |  |  |
| 7 | **C4.1** | Recommendation: The organization should consider including an update of progress on the annual safety program improvement goals at every safety meeting. |  |  |  |  |  |
| 6 | **C5.1** | Recommendation – The organization should consider storing all evidence and other supporting documentation with the completed incident investigation. Making one electronic folder for each incident with several folders inside each containing photos, statements, supporting documents, reports and evidence of corrective action completed would help keep all of this information easily accessible. |  |  |  |  |  |
| 10 | **A2.1** | Continual Improvement Suggestion: Safe work procedures found within the SMS manual show revision dates that do not reflect the revision date on the cover and footers of the SMS manual. Safe work procedures should be updated as required or at least every 2 years. |  |  |  |  |  |
| 6 | **A2.2** | Recommendation – The organization should ensure that all corrective actions required as a result of inspections, investigations and meetings are assigned to a person, given a target date for completion and the actual date of completion recorded. Consider using a corrective action table on inspection forms similar to the one presently used on the incident investigation form. Keeping a similar table on each document within the SMS, can save time when completing a central corrective action log (CAL). Items can quickly and easily be copied and pasted into your corrective action log from the various documents if they are in a similar format. |  |  |  |  |  |
| 6 | **A2.2** | Recommendation – The organization should ensure that the corrective action log (CAL) is reviewed regularly and that all target dates set for corrective action are reasonably achievable. When setting a target date for completion, ensure that all parties involved with completion are consulted to come up with a reasonable completion date considering the urgency of the item, the budget and the availability of time required to complete the corrective action. |  |  |  |  |  |
| 10 | **A5.1** | Continual Improvement Suggestion: The organization should consider implementing regular performance reviews for all staff. Results of these assessments should be used to recognize over achievers within the organization. |  |  |  |  |  |
| 15 | **I2.2** | Recommendation – The organization should consider having the IM/RTW coordinator complete IM/RTW program training. Seminars are offered through the BC Employers Advisers office. |  |  |  |  |  |
| 15 | **I2.2** | Continual Improvement Suggestion – Please note that the IM/RTW coordinator referenced within the COMPANY SMS, although qualified for the position, was found to be the name of the former IM/RTW coordinator who was no longer active in that roll. |  |  |  |  |  |
| 5 | **I3.4** | Recommendation – The organization should revise the IM/RTW program to address specific responsibilities for ongoing contact with absent injured or ill employees. Specific timelines for ongoing contact with absent employees should also be established. |  |  |  |  |  |
| 9 | **I3.9** | Recommendation: The organization should review the injury reporting expectations found in the COMPANY SMS with staff. |  |  |  |  |  |

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# Audit Details

| P. PLANNING FOR RELIABLE, INJURY-FREE WORK | | | | | |
| --- | --- | --- | --- | --- | --- |
| **P1. Goals and Objectives** | | | | | |
| P1.1  **#1** | How does company leadership set and measure goals and objectives for improved safety performance and communicate them to all employees and contractors? | **O** | **D** | **I** | **Total** |
|  | **3** | **4** | **7** |
| **0** | **0-3** | **0-7** | **/10** |
| **Intent: Setting clear goals and objectives is a key method for management to demonstrate leadership. Having goals and objectives shows due diligence that leadership has reviewed the current company situation and set goals or directions for improvement. Goals are reviewed annually and have measurable targets and objectives. Communicating goals to the rest of the company is critical to success, so the communication portion of this question is weighted heavier than the existence of the goals.** | | | | | |
| **D –** Ifthe senior management has written safety performance improvement goals and objectives and that these are related to previous results, award 1 point. The format and method of recording those goals should be appropriate for the risk and complexity of the organization. Goals should be reasonably achievable, set by management and meet regulatory and legal requirements, including changes to those requirements.  **D –** If the company can show that goals and objectives are communicated to workers and contractors, award 1 point. Potential methods include, but are not limited to:   * Meeting minutes at any degree of formality * Mailouts * Emails * Posters or signs   **D** – If at least 50% of the goals are measurable, award 1 point  **I** - Award up to 7 points based on the % worker and contractor interviews reporting that they understand the major themes of the company goals and objectives. | | | | | |
| Audit Note: | | | | | |
| D – Two annual management reviews of the SMS were available for review. One was dated December 7, 2015 and one dated November 14, 2016. Both of these management reviews showed a review of the previous year’s safety performance and audit results, as well as improvement items to focus on for the year. Goals for the year for management to work on included an update to the annual staff SMS refresher training and improve management of contractor safety assessments. Goals for the JOHSC to work on included adding an ergonomics component to safe work procedures, assigning responsibility of the COMPANY SMS to one person and providing additional training for staff in the area of incident investigations. **(1/1 point)**  D – Review of the staff safety meeting from December 21, 2015 shows that highlights from the annual management review of the SMS were communicated to all staff. **(1/1 point)**  D – Over 50% of annual goals set for safety performance were measureable. **(1/1 point)**  **3/3 documentation points awarded.**    I – 10/14 (71%) of workers interviewed provided positive responses when asked about safety related goals and objectives the organization is working on. Positive responses included updates to the annual refresher training, revising safe work procedures to address ergonomic concerns, changes to the way safety program documentation is being managed and updates to the check in procedures.  0/3 (0%) of contractors interviewed were able to provide positive responses when asked about safety related goals and objectives the organization is working on.  **4/7 interview points awarded for 10/17 (59%) positive interview responses.** | | | | | |
| Recommendations and Resources | | | | | |
| Recommendation: The organization should consider including an update of progress on the annual safety program improvement goals at every safety meeting or quarterly.  Recommendation: The organization should consider briefing contractors on any safety program related improvement goals they set. | | | | | |

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| **P2. Policy and Procedures** | | | | | |
| P2.1  **#2** | Does the company have a written health and safety policy that identifies health and safety responsibilities? | **O** | **D** | **I** | **Total** |
|  |  |  | **8** |  | **8** |
|  |  | **0** | **0-10** | **0** | **/10** |
| **Intent: A clear written health and safety policy shows commitment by leadership and sets responsibilities for each layer in the company. While the actual policy may take many forms, better policies are signed or otherwise sanctioned by current senior management and dated within the last 3 years.** | | | | | |
| **D –** Award up to 10 points based on the appropriateness of the policy for the company operations, considering the complexity and risk of company operations  A safety policy could contain:   * A statement of intent, safety objective or aims; * General responsibilities of management * General responsibilities of supervisors (where supervisors exist) * General responsibilities of workers * A commitment to review the safety program and adjust as necessary * A balanced commitment to safety and production   The responsibilities may partially overlap, but cannot be wholly duplicated to award points unless all the company managers are supervisors and there are no supervisors that are not also managers. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| D – The COMPANY has a health and safety policy in place. The policy is signed by Rob Moonen, CEO and dated March 16, 2016.   * The policy states that all work is to be planned and carried out in such a manner to prevent injury and protect the people that work for and with the COMPANY. The policy states that the intent is to maintain a zero injury rate and meet or exceed health and safety regulatory and legal standards. * The policy states responsibilities of leadership, including ensuring good planning and that work practices and methods are in place to enable injury free operations. * The policy states responsibilities of supervisors, including accountability to ensure that the people doing the work are properly qualified, trained and assessed for the tasks they are assigned. * The policy states responsibilities of everyone on a personal basis (employees, consultants, contractors, supervisors and leadership), which includes making sure they are qualified as well as mentally and physically able prior to doing a task. Policy also indicates that they are responsible to stop the work, get assistance or make other arrangements for the work to be conducted injury free. * The policy states that the COMPANY will actively review and continually improve its operations to prevent injuries and illnesses. * The policy does not reference a balanced commitment to both safety and production.   **8/10 documentation points awarded as health and safety policy contains 5/6 (83%) of recommended items listed above.** | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendation: The health and safety policy should be revised to include a balanced commitment to both safety and production. | | | | | |

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| P2.2  **#3** | What processes are used to determine what the hazards and risks are at the work site before the job starts and as they become identified during operations? | **O** | **D** | **I** | **Total** |
|  |  | **5** | **2** | **2** | **9** |
|  |  | **0-6** | **0-2** | **0-2** | **/10** |
| **Intent: The company needs to have a method to identify existing and reasonably foreseeable hazards before work starts and as issues arise. Pre-work plans and Job Hazard Analysis are 2 common ways, out of many possible ways, to assess risk before a job starts. The objective is to focus on the higher risk issues first and is not intended to be onerous by requiring all low risk activities to have a formal hazard assessment.** | | | | | |
| **O -** Award up to 6 points based on the % of appropriate identification and management of hazards and risks on the work sites observed (i.e. for hazard observed on site, has the company appropriately managed them). For companies involved in creating plans for other companies, this includes identification and management of those hazards and risks to others.  **D -** Award up to 2 points based on the % completion of records showing that hazards and risks are appropriately identified and prioritized at an appropriate frequency using a cascade of responsibilities from licensee to end-contractor to a degree appropriate to the risk of the hazard. Potential records include, but are not limited to, pre-work plans, supervisor diaries, notes, meeting minutes, manual falling activities with falling plans, maps, evacuation routes and check-in procedures, training records, CVSE logs, road grade assessments and maps, Notices of Project, Wildfire Management Branch notifications or notifications to agencies having jurisdiction that require notifications, inspections and assessment reports. Records need to show who performed the risk assessment, how workers are involved and how the personnel who performed the risk assessment were trained.  **I -** Award up to 2 points based on % interviewed workers and supervisors reporting appropriate identification and communication of known and foreseeable hazards at the work site. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| O – Positive observations of appropriately identified and managed hazards made during the audit at the Area office included:   * A locked door separating reception area from the rest of the office. Visitors are required to sign in and receive a visitor orientation prior to proceeding into the building. * A doorbell installed at the reception desk to be used as an alert to other staff in the event of verbally abusive, aggressive or potentially violent visitors. * A workstation equipped with a desk that could be raised and lowered to accommodate working from a sitting or standing position. * Signage in the mail room advising users of noise level of binding equipment and to close door during use. Ear plugs were also available for use next to the machines. * Confined space signage in place in the basement for crawl space access. * Paper cutter observed stored with blade down and latched. Signage in place above machine to warn of hazard. * A key fob system used to open the rear door of the office at all hours. The same key fob system is also used to operate the front door and driveway gate outside of regular office hours. * Several tall items observed leaning against the wall in the basement had been secured to the wall with rope.   Negative observations included:   * Cord management in small board room where interviews were being conducted. Several interviewed workers caught their foot in the cords when standing up after the interview.   **5/6 observation points awarded for 8/9 (89%) safe observations of well managed hazards.**  D – The COMPANY uses a Hazard Inventory and Risk Assessment Matrix to score general hazards based on frequency, probability and severity. Appropriate mitigation measures have been established for each item. This spreadsheet is stored electronically on a central drive, which all employees have access to. Although the electronic spreadsheet itself does not indicate who was involved in creation and revision, the JOHSC minutes from January 29, 2016 and February 18, 2016 show that this document was revised by a group of workers and supervisors from the JOHSC on those dates. Staff involved in the revision of the Hazard Inventory and Risk Assessment Matrix included a CRSP and 2 COMPANY certified external auditors.  The COMPANY Falling Department completes pre-work hazard assessments when conducting new faller training activities in the field. Pre-work hazard assessments were available for all 3 month long courses held during the audit year which included February 4, 2016 on Quadra Island, May 1, 2016 at Northwest Bay and June 29, 2016 in Sointula. A selection of daily safety meetings and detailed daily notes from the training supervisors conducting the courses were also available for review.  A sample of emails were also available for review which were sent to warn office staff of specific hazards such as roofers working on the building, a missing drain cover, homeless people seeking shelter at rear of building, duct cleaning work and landscapers completing hedge trimming.  **2/2 documentation points awarded for 100% completion of records showing that hazards and risks are appropriately identified.**  I – 16/16 (100%) positive interview responses were received when workers and supervisors were asked about known and/or foreseeable hazards in the workplace. Positive responses from office staff included ergonomic related hazards, paper cuts, noise from the binding machine in the copy room, dangers associated with the neighbourhood and street people (discarded needles, etc.) and potential for ice on the walkways.  Additional positive responses from those who work in the field at times included driving related hazards (road conditions, log truck traffic, wildlife, etc.), danger trees and hazards associated with going onto a new work site for the first time.  **2/2 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendation: The organization should take measures to better manage cords on the floor, or where possible eliminate cords on the floor creating a tripping hazard.  Continual Improvement Suggestion: Consider including the names of those involved with revisions on the Hazard Inventory and Risk Assessment Matrix as well as the revision dates. | | | | | |

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| **P3. Planning to Manage Risks and Upset Conditions** | | | | | |
| P3.1  **#4** | Are there specific written safe work procedures for each routine, non-routine and high risk task? | **O** | **D** | **I** | **Total** |
|  |  |  | **10** | **0** | **10** |
|  |  | **0** | **0-10** | **0** | **/10** |
| **Intent: The company needs written safe work procedures for the work that it does, focussing on the higher risk activities (as described in the company profile). Examples might include skidding as a routine activity and management of site-specific steep slopes as a non-routine high risk task. The safe work procedures need to address the key safety considerations of the company’s work.** | | | | | |
| **D -** Award up to 5 points based on % of safe work procedures written compared to those required based on the company work activities and OHS Regulations. The auditor needs to examine the list or table of contents of the Safe Work Procedures (SWPs) and compare to the company profile activities, observed field activities and auditor experience to determine if the list is appropriate. Safe Work Procedures must include and follow the hierarchy of control (engineering, administrative and then PPE in order). It is recognized that since auditor experience is used as one of the scoring inputs, scores may vary from auditor to auditor.  Award up to 5 further points based on the average completeness of the safe work procedures that have been written. The focus should be on the higher risk tasks performed by the company and the outcomes of the risk assessment process used in P2.2  Safe work procedures should cover the basics of routine, non-routine and likely upset conditions (i.e. steep slopes), but not necessarily to the level of a full operating manual from a manufacturer. Training materials, point form and graphics are fully acceptable substitutes for full sentences when appropriate and are not intended to be a measure of completeness for the purposes of this question.  Safe Work Procedures need to address as appropriate to company activities and injuries, particularly the high risk activities as listed in the company profile of this audit document and document the provision of standardized engineering controls (i.e. guarding, interlocks, etc.)  Transportation equipment used to transport 1 or more people includes, but is not limited to:   * On road and off-road vehicles * Boats * Aircraft * Bicycles   Transportation Safety equipment includes, but is not limited to:   * Seatbelts * First aid kits & PFD’s * Radios * Helmets | | | | | |

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| Audit Note from question on previous page: (Documentation only for **Endorsement**) |
| D – Safe work procedures were found to have been written for all routine tasks performed by the COMPANY. Written safe work procedures include:  - General Safety Rules  - Travel to and Attendance at Hotel - Classroom  - Travel to Third Party Office – Classroom  - Travel on Foot  - Office  - Council Controlled Vehicle to Forestry Site  - General Fieldwork  - Working Around Heavy Equipment  - Security System Procedure  COMPANY Falling Department works under the BC Faller Training Standard, a WorkSafeBC document, when conducting faller evaluations and training activities in the field. **(5/5 points)**  D – Written safe work procedures for higher risk tasks such as driving, general field work and working around heavy equipment were all very thorough. The BC Faller Training Standard, which the Falling Department conducts their field activities under, belongs to WorkSafeBC and not the COMPANY, however it is very comprehensive and is the industry standard for manual tree falling. **(5/5 points)**  **10/10 documentation points awarded.** |
| Recommendations and Resources: |
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| P3.2  **#5** | How does the company ensure that health and safety plans and controls are in place so that workers or contractors performing activities at the same time, or otherwise interacting, are protected? | **O** | **D** | **I** | **Total** |
|  |  | **6** | **0** | **4** | **10** |
|  |  | **0-6** | **0** | **0,4** | **/10** |
| **Intent: The company needs to have an overall plan that everyone who is or could be interacting understands where each other is and what they are each doing, to avoid running into each other. Avoiding mixing layout crews and active blasting would be an example. Managing vehicle and pedestrian traffic would be another.** | | | | | |
| **O -** Award up to 6 points based on % of positive observations of work settings and processes having hazards identified and controlled so that workers are not placed in positions of unacceptable risk.  Good work settings and processes should not place workers in hazardous situations without controls in place. Where practical, work activities should be separated by time or distance, specifically addressing stacking of workers on a slope where applicable. Physical controls such as lockout or keeping specified distances away from mobile equipment should be in place where maintenance and operational activities may be in conflict. The degree of control needs to be proportional to the degree of risk. Hazards should be managed by a hierarchy of controls (elimination, substitution, engineering, administrative and finally PPE) in a systematic manner  **I -** If at least 70% of interviewed workers report that the planning is effective, award 4 points. Interviews must include sub-contractors if reasonably available. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| O – Positive observations of work settings and processes having hazards identified and controlled the Area office included:   * A locked door separating reception area from rest of office. Visitors are required to sign in and receive a visitor orientation prior to proceeding into the building. * An electrician working using a fibreglass ladder as well as wearing safety glasses, gloves and steel toed work boots. * An office equipped with a desk that could be raised and lowered to accommodate working from a sitting or standing position for a worker with past back problems. * Loud binding equipment was observed in the mail room. Ear plugs were available beside the binding machine as well as signage in place to advise user of the noise level and to close door during use. * Paper cutter observed stored with blade down and latched. Signage in place above machine to warn of hazard and control measures required (keep handle down and locked). * Several tall items (shelving, a gym locker, etc.) observed leaning against or stored against the wall in the basement had been secured to the wall with rope.   **6/6 observation points awarded for 6/6 (100%) positive observations.**  I – 14/14 (100%) positive interview responses were received when workers were asked about things being done to keep them safe. Positive responses included ear plugs being available next to the binding machine and people closing the door when using it, stickers on boxes indicating that they are heavy, ergonomic assessments being performed, creating a scent safe work environment and cut resistant gloves being used when using a box cutter.  Additional positive responses from those who work in the field at times included maintaining 2 tree lengths from active tree falling, parking their vehicle and riding with a supervisor if they don’t know the area and receiving an orientation before going onto a client’s worksite.  3/3 (100%) positive interview responses were received when contractors were asked about things being done to keep them safe. Positive responses included receiving an orientation from clients when going onto their site, being informed of who the first aid attendant is, gaining understanding of the ERP in case the person escorting them needs assistance in an emergency, being escorted by a supervisor, using a man check system when working alone and staying two tree lengths away from active falling.  **4/4 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
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| **P4. Planning to Protect Personnel** | | | | | |
| P4.1  **#6** | What written requirements does the company have for Personal Protective Equipment (PPE) requirements? | **O** | **D** | **I** | **Total** |
|  |  | **7** | **2** | **1** | **10** |
|  |  | **0-7** | **0-2** | **0,1** | **/10** |
| **Intent: The company needs to clearly communicate the PPE expectations to everyone on site. The expectations could be blanket statements such as wearing a hard hat unless inside a machine or risk-based, such as wearing a hard hat whenever there is a risk of overhead hazards.** | | | | | |
| **O -** Award up to 7 points based on % observation of workers wearing PPE appropriate for the tasks, based on regulatory and company requirements.  **D –** Award up to 2 points based on the % completeness of the PPE requirements appropriate to the company. The PPE requirements need to include the assignment, selection and maintenance of PPE. The requirements need to meet regulatory requirements and be consistent with company and industry risk assessments and controls (i.e. standard practices). The requirements may specify exactly what equipment must be worn or define risk-based criteria or use a mixture of methods.  **I -** If at least 70% of interviewed workers are able to describe their PPE requirements, award 1 point. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| O – 100% of workers observed performing tasks requiring PPE were wearing correct PPE for the task. Observations included use of ear plugs when using binding machine in mail room as well as safety glasses, gloves and steel toed work boots being used by an electrician repairing an outlet.  **7/7 points awarded for 100% positive observations of PPE use.**  D – Personal protective equipment (PPE) safe work procedure (SWP) is section 3.3 of the COMPANY SMS. The SWP indicates that PPE will be supplied by the COMPANY or employees will be reimbursed for the purchase of PPE required for their job. Section 3.3.4 includes the selection of PPE and the requirements for each type of PPE to comply with current CSA and ANSI standards. Cleaning and maintenance of PPE is found in section 3.3.6 and indicates that PPE is to be kept clean, inspected before and after each use and any defective PPE is to be discarded immediately. Written safe work procedures outline the specific types of PPE required for each individual task.  **2/2 points awarded for PPE requirements being 100% complete.**  I – 14/14 (100%) positive interview responses were received when those involved in tasks requiring PPE were asked about the types of PPE needed for their jobs. Positive responses included wearing ear plugs when using the binding machine, using cut resistant gloves when using a box cutter, safety glasses and gloves being used for chemical handling or changing bulbs, safety glasses being used when cleaning keyboard with spray and high visibility clothing used to identify emergency wardens.  Additional positive responses from those who work in the field at times about PPE required included hard hats, high visibility clothing, steel toed boots, caulk boots, gloves, faller’s pants, safety glasses / screens and hearing protection.  **1/1 interview point awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
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| P4.2  **#7** | How has the company clearly communicated how to provide first aid services and how to summon first aid services for each work site? | **O** | **D** | **I** | **Total** |
|  |  |  | **4** | **5** | **9** |
|  |  | **0** | **0-5** | **0,5** | **/10** |
| **Intent: The company needs to have a plan for first aid. While every injury is preventable, not all are prevented. A good first aid plan minimizes the effect of any injury that does occur.** | | | | | |
| **D -** If the first aid procedure clearly describes how a worker is to obtain first aid services for themselves or an injured worker, award 3 points. It needs to include roles and responsibilities as well as meeting Regulatory requirements.  If the first aid procedure clearly defines what first aid services are to be provided, award a further 1 point.  If the first aid procedure includes a checklist of required supplies and services, that at least meets regulatory requirements, award a further 1 point.  **I -** If at least 70% of interviewed workers and supervisors are aware of the types of first aid resources available and can describe how to access them, award 5 points. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| D – First aid procedures for the Area office were found within the ERP. Procedures clearly show how a worker is to get first aid assistance for themselves or another injured worker. **(3/3 points)**  D – The ERP contains a list of emergency equipment in the office which includes several first aid kits, an AED, an eye wash station and an epi-pen. **(1/1 point)**  D – A spreadsheet containing several checklists for the inventory of emergency equipment owned by the COMPANY was available for review, however the spreadsheet did not show a checklist in place for the equipment in the first aid room. **(0/1 point)**  **4/5 documentation points awarded.**  I - 16/16 (100%) positive interview responses were received when workers and supervisors were asked about first aid resources available. Positive responses included being made aware of who the first aider is daily through email and the sign in / sign out board, finding the first aider or having someone else go and get them if they are not able, receiving first aid treatment in the first aid room, reporting the injury to their supervisor, assisting with completing of reports and seeking medical attention if the injury requires it.  Additional positive responses from those who work in the field at times included being made aware of who the first aider is on a client’s site through their site orientation, seeking out the first aider in the event of an injury, reporting an injury to a client’s supervisor and keeping a first aid kit in their vehicles in case they are injured while alone.  **5/5 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendation – Checklists for inventory of all first aid equipment should be created and regular inspections performed to ensure required first aid supplies are in place and replaced before expiration date. | | | | | |

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| P4.3  **#8** | What are the written Emergency Response Plans (ERPs) for handling other potential emergencies relevant to the company’s operations and how are they communicated to workers? | **O** | **D** | **I** | **Total** |
|  |  |  | **5** | **5** | **10** |
|  |  | **0** | **0-5** | **0-5** | **/10** |
| **Intent: The company needs to have a plan for each reasonably foreseeable emergency. Everyone on site needs to know what to do in an emergency at a level appropriate for their responsibilities. A master ERP may be many pages long and highly technical, while a laminated card on the truck keychain may be entirely appropriate for the truck driver. The plan is usually a mixture of information from the licensee, prime and contractor, but must be incorporated into the company system and ultimately owned by the company. This question is about the plans other than the First Aid response that is covered in P4.2** | | | | | |
| **D -** Award up to 4 points based on the % of topics included in the company Emergency Response Plan (ERP) compared to those needed for the operation. Plans should be a mixture of general plans and site-specific documents.  Topics that must be included are:   * General - Injuries (**MUST** specifically include management of blood borne pathogens where level 3 attendants are required or used) * General - Fires (structural, equipment and/or wildfire, as appropriate) * General - Fatalities; * General and/or Site specific - Natural disasters appropriate to the general and site geography (floods, landslides, earthquake, tsunami, sudden severe weather, etc.) * Site specific - Evacuation (coordinates i.e. lats/longs and/or UTM grid /address of site plus as applicable, helipads or ambulance meeting and current routes with maps as applicable) * Site specific - Radio frequencies where radios are used   Other topics that may be included, depending on the complexity and risks of the company, include, but are not limited to:   * General - Environmental incidents (spills, leaks, etc.) * General - Missing worker (at least for when a worker who is working alone fails to check in) * General - Violence in the workplace appropriate to needs (road rage, protestors, theft-in-progress, etc.) * General and /or site specific - Rescue from height and confined spaces * General and/or site specific - Water rescue * General - Wildlife encounter   Topics may be combined or standalone and there is no requirement that the titles in the above list be used by the company. The ERP must be obvious in its instruction, have contact information and number/frequency, and assign general responsibilities. It should be easy to understand for all the topics.  If a selected sample of emergency contact phone numbers or radio frequencies are posted and are all correct, award 1 point.  **I -** Award up to 5 points based on the % of interviewed workers, Supervisors, Managers and Contractors aware of their roles in applicable emergencies. The workers should be able to discuss marshalling points, communication devices, how to contact help, location of emergency numbers and understand any specific assigned responsibilities. | | | | | |

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| Audit Note for question on previous page: (Documentation only for **Endorsement**) |
| D – The COMPANY ERP for the Area office contains detailed instructions for fires, earthquakes, bomb threats / suspicious packages, first aid emergencies, illness while travelling, fatality response, violent threats, tsunami response and missing person response. ERP also contains emergency phone numbers, a list of 13 trained first aid attendants, as well as the locations of the primary and secondary muster stations. **(4/4 points)**  D – Correct ERP phone numbers were found posted in the Area office on the safety board as well as in the fire safety binder found by the main entrance door. Posted emergency phone numbers were also found to be correct. **(1/1 point)**  **5/5 documentation points awarded.**  I - 17/17 (100%) positive interview responses were received when workers and supervisors and managers were asked about their role in an emergency. Positive responses included grabbing critical personal items such as cell phones, coats and IDs, making their way to the emergency exit, ensuring people they pass along the way are safe and exiting the building as well, report to the muster station or the alternate muster station depending on situation, staying at the muster station for a head count and waiting for clearance to re-enter the building. Emergency wardens indicated that they are to grab emergency kits and the sign-in / sign-out board and the receptionist is to grab the visitor log on their way out of the building.  Additional positive responses from those who work in the field at times included adhering to the client’s ERP as they could be on a different site daily.  3/3 (100%) positive interview responses were received when contractors were asked about their role in an emergency. When conducting field activities, positive responses from contractors indicated that ERPs change daily as different client’s sites are visited each day they work for the COMPANY. Contractors indicated that they review the client’s ERP when arriving and familiarize themselves with the worksite. In the case of conducting new faller training in the field, contractors indicated that they may have to create a site specific ERP for the training. Contractors involved in classroom training for the COMPANY indicated that they would need to provide students with ERP information for the classroom. This process involves the contract trainer checking out the building for emergency exits and fire extinguishers as well as determining who the most qualified first aid attendant is in the course.  **5/5 interview points awarded for 100% positive interview responses.** |
| Recommendations and Resources: |
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| P4.4  **#9** | What is the process to manage existing and/or future young workers under the age of 25? | **O** | **D** | **I** | **Total** |
|  |  |  | **0** | **5** | **5** |
|  |  | **0** | **0-5** | **0-5** | **/10** |
| **Intent: Workers under age 25 are much more likely to have injuries and other work-related errors than older workers. Young and old workers communicate in very different ways. The forestry labour shortage means that there are very few older workers available to hire, so all companies need to have at least a plan for managing the young workers that they will need soon.** | | | | | |
| **D** – Award up to 5 points based on the effectiveness of the company system in managing young workers. This applies whether or not the company has any young workers at the time of the audit. If the company has workers under age 25, the documentation review is based on both procedure and records. If the company does not have any young workers, then the review is based only on procedures. An effective company system should cover   * Orientation * Competency assessment * Ongoing communications in an age-appropriate manner * Frequent assessments through age 25 * Record-keeping   **I** – Award up to 5 points based on the % positive responses of all management and supervisors (not just those actually having young workers) in their knowledge of the company system | | | | | |
| Audit Note: | | | | | |
| D – The COMPANY does not have a written program outlining how they will manage future young workers under the age of 25. At the time of the audit, the COMPANY does not employ any workers under the age of 25, but did employ one temporary worker under 25 over the summer.  **0/5 documentation points awarded for having a young worker program in place.**  I – 3/3 (100%) positive interview responses were received when supervisors and managers were asked about how they have managed or would manage young workers in the future. Examples of positive responses included frequent check-ins with the young worker, very close supervision, increased frequency of assessments, no working by themselves until they are 25, assigning an experienced worker as a mentor to the young worker, providing very thorough instructions, ask the young worker to repeat back instructions, ask them to tell you what they think the hazards and risks are and make sure they understand the responsibility to refuse unsafe work.  **5/5 interview points awarded for 100% interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendation: The organization should implement a program to manage future young workers under the age of 25. This program should address the steps taken from the time of orientation until the young worker reaches the age of 25. Some items that should be included in a young worker program include mentorship, such as pairing a young worker with a more experienced worker and an increased frequency for conducting documented worker assessments. | | | | | |

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| **P5. Planning Documentation** | | | | | |
| P5.1  **#10** | How does the company manage and maintain safety documentation to ensure safety documents are communicated and available to workers and contractors? | **O** | **D** | **I** | **Total** |
|  |  | **2** | **2** | **3** | **7** |
|  |  | **0-3** | **0-4** | **0-3** | **/10** |
| **Intent: The company should share relevant current and historical info appropriate to the worker with the worker, and where applicable the JOHSC or Representative. This shows record keeping credibility, due diligence and accountability. If it is not recorded, it didn’t happen. If it is not reasonably retrievable, it’s not doing anyone any good.** | | | | | |
| **O –** Award up to 3 points based on the appropriateness of the documentation system and its users in being able to produce documents needed for the audit in a timely manner to the auditor.  **D -** Award up to 3 points based on the effectiveness of the company system in managing documents appropriate to the needs of the company. Documents need to be retained and where applicable communicated appropriately.  Program reports may include, but are not limited to:   * Internal audits or other safety program evaluations * External audits and inspections * Ergonomic assessments * Perception surveys * Medical or health monitoring results * Noise, chemical or other parameter surveys * Meeting minutes showing communication, specifically including posting and maintenance of JOHSC minutes where a JOHSC is present * Emails * Safety alerts   D – If the responsibility for the Workplace Hazardous Materials Information System is assigned in writing in accordance with Regulation, award 1 point.  **I** – Award up to 3 points based on the % of interviewed supervisors, managers and safety specialists (including JOHSC or Representative where required) in being able to describe how to find necessary safety documents. | | | | | |
| Audit Note: | | | | | |
| O – Documentation required for the audit was found to be stored electronically in 2 different locations, a central network and a SharePoint account. Paper records were also available. Although some of the requested documentation was immediately available, it was unclear at times as to where the documentation for each question would be found. For example, an incident investigation requested was not found in the same location as other investigations. A JOHSC member was able to obtain a copy of the additional investigation when requested. Also, a copy of the most recent safety meeting was not readily available for review when requested, however a copy was later provided for review. Overall this was judged to be 70% effective.  **2/3 observation points awarded.**  D – The COMPANY stores safety program related information on a central network drive known internally as the “Area Drive” or “N: Drive”. Everyone in the office has access to this information. The majority of records were found uploaded to a SharePoint account, which had been recently created and was not accessible by everyone at the time of the audit. Some of the information found stored on the “N: Drive,” such as incident investigations containing the names of those involved in incidents was found to be accessible by all workers. While no personal information was found by the auditor to be vulnerable, the organization may wish to revisit how records are stored and who has access to what types of documentation. Overall this was judged to be 70% effective. **(2/3 points)**  D – While the WHMIS 2015 program is well documented otherwise, the responsibility for the WHMIS program was not found in writing anywhere within the documentation reviewed. **(0/1 point)**  **2/4 documentation points awarded.**  I – 6/6 (100%) positive interview responses were received when JOHSC members, managers and supervisors were asked about where safety related documents were stored. Responses included the central N: drive, paper records kept at reception desk, SharePoint and postings on the safety bulletin board.  **3/3 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendation – A review should be conducted of where different types of safety documentation are stored electronically and who has access to them. This review should consider both ease of access to records and who has access to records. The organization may wish to consider restricting access to certain types of documentation that could potentially contain personal information.  Recommendation: The organization should assign responsibility for the WHMIS program to somebody in writing. Consider assigning this to a specific position within the organization rather than a specific person. | | | | | |

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| **P6. Planning for Investigations** | | | | | |
| P6.1  **#11** | What are the company’s written procedures for the reporting and investigation of incidents, specifically including close calls / near misses? | **O** | **D** | **I** | **Total** |
|  |  |  | **4** | **5** | **9** |
|  |  | **0** | **0-5** | **0-5** | **/10** |
| **Intent: Company reporting needs to capture close calls and near misses, not just actual injuries since this is where the ‘free learning’ is. Investigation needs to be appropriate for the degree of the risk of the event rather than just the severity of injury and maximize the learning from incidents.** | | | | | |
| **D -** Award up to 5 points based on the % of applicable requirements met. The investigation policies and procedures must include:   * Responsibilities of reporting by all personnel (employees, visitors, contractors) * Immediate reporting of all incidents including injuries, close calls / near misses and property damage * Descriptions of what type of event receives what level of investigation or review (if any). * Responsibilities and authorities of persons involved in the investigation including the requirement that they be knowledgeable of the type of work being investigated. * Procedure for carrying out investigations including the follow up of reports * A requirement for worker participation in investigations (other than the affected worker or as witnesses) when the company has sufficient personnel on a worksite to make this practicable or if the company has a JOHSC or Representative on-site   The company must specifically list injuries, close calls / near misses and property damage to be awarded the applicable points. Specifying ‘all incidents’ is insufficient unless the phrase ‘all incidents’ contains a definition that includes the specifics. There is no intent to require a company to perform formal individual investigations of ‘paper cut’ level injuries.  **I** - Award up to 3 points based on % of worker interviews reporting that they understand and follow their incident reporting requirements.  **I** - Award up to 2 points based on % of supervisor interviews reporting understanding of appropriate investigation protocol. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| D – COMPANY incident investigation policy is found in element 6 of the SMS. Requirements include:   * All COMPANY staff and others working with COMPANY are to report all incidents and close calls including ergonomic issues, soft tissue damage and any MSI signs or symptoms to their supervisor or COMPANY contact. COMPANY has an obligation to make certain that all our employees, staff, contractors, volunteers and visitors are aware of the importance of and requirements for reporting and investigating close call/near miss and other incidents. * Employees shall immediately report (verbally or in writing) an incident to their direct supervisor or alternate. The definition of ‘incident’ found within the COMPANY SMS shows that an incident is any event that has resulted in or has the potential to result in an injury and that Incidents may include property damage, personal injury, death, or close calls / near misses. * The direct supervisor of the employee involved or who reported the incident will organize and   lead the investigation, as well as a requirement for the investigation to be carried out by persons knowledgeable about the type of work involved.   * Procedure for incident investigation, which includes scene preservation, notification of WSBC as required, taking photos, doing sketches and evidence collection. Policy also references a requirement for action items from incidents to be documented and tracked for completion and follow-up using a corrective action log. * A JOHSC member should be included in an incident investigation. If not available, another employee, knowledgeable in the investigation process may be included in the investigation.   The policy does not include:   * Descriptions of what type of event receives what level of investigation or review, only who is to be involved with investigations based on severity found on risk assessment matrix on the last page of investigation document.   Note: COMPANY investigation policy captures legislative changes to the Workers Compensation Act. The policy contains requirement for 48 hour preliminary investigation and 30 day final investigation being submitted to WSBC. The policy also indicates that workers are to be involved in the investigation.  **4/5 documentation points awarded for 5/6 (83%) of items being present in the investigation policy.**  I - 12/14 (86%) positive interview responses were received when workers were asked about their incident reporting requirements. Positive responses included workers indicating that they report everything and allow their supervisor to determine if they wish to investigate and some indicated that they report anything bigger than a papercut or anything requiring first aid. Although 86% of responses were positive showing workers were knowledgeable about what to report to the company, some indicated that they would report the injury to someone other than their immediate supervisor for reasons of immediate availability and for the reason that who they would report the incident to plays a larger role in the COMPANY safety program. **(3/3 points)**  I – 2/2 (100%) positive interview responses were received when supervisors were asked about incident reporting and investigation requirements. Positive responses included engaging in discussion with first aid attendants to gain a better understanding of injury, offer assistance with injured worker, arrange transportation, discuss incident with JOHSC to initiate investigation, proceed with investigation (scene survey, statements, photos, etc.), as well as ensuring first aid supplies are replenished. **(2/2 points)**  **5/5 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendation: Incident investigation policy should be revised to include information about what level of incident investigation is to be carried out based on severity of incident. This should be based on the risk assessment matrix that the organization is already using.  Recommendation: The organization should review incident reporting expectations with staff. Emphasis should be placed on their immediate supervisor receiving notification of an incident as per reporting procedures found in the COMPANY SMS, even if the initial reporting is to a first aid attendant, JOHSC member or someone else who would be responsible for correcting immediate or root causes. An incident reporting flow chart may assist with this. | | | | | |

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| **P7. Planning for Contractors** | | | | | |
| P7.1  **#12** | If the company hires contractors, what is the method used to determine that contractors are qualified to work safely? | **O** | **D** | **I** | **Total** |
|  |  |  | **4** | **3** | **7** |
|  |  | **0** | **0-5** | **0-5** | **/10** |
| **Intent: The company needs to show due diligence by considering the safety of the contractors, not just accepting low-bid parameters. This could include reference checks, certifications held and personal knowledge.** | | | | | |
| **D -** If there is a clear documented outline of non-dependent contractor safety requirements, award 4 points. This must include a system being in place to determine if the contractors are qualified to work safely. The rigor of the assessment should be proportional to the level of risk of the activities.  If there are records of the selection requirements being applied consistently to all contractors, award 1 point.  **I -** Award up to 5 points based on % interviewed persons hiring contractors understanding the company program.  Selection criteria may include non-safety items, but only safety-related items are in scope for this audit question.  This question applies to all contractors, working for the company rather than just forestry contractors. Visitors are excluded from the scope of this question. See ‘Definitions’ section for contractors and visitors | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| D – Contractor selection criteria is found in element 7 of the COMPANY SMS. Criteria includes that the contractor is to provide a WSBC clearance letter showing an account in good standing, proof of insurance, proof of training and certification as well as proof of equipment certification where required. Criteria also indicate that all contractors are to follow the COMPANY safety program. **(4/4 points)**  D – Evidence of records of contractor selection requirements being applied selection applied consistently was not available for review. **(0/1 point)**  **4/5 documentation points awarded.**  I – 4/6 (67%) of those interviewed that indicated that they are involved in hiring contractors had an understanding of the organization’s contractor selection requirements. Positive responses included using a contractor selection checklist and making sure the contractor has WSBC coverage, insurance, sufficient credentials and that the contractor receives a COMPANY orientation if they will be working in the office. There was confusion among some of those interviewed as to contractor selection process for various types of contractors hired to perform lower risk work.  **3/5 interview points awarded for 67% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendation – The organization should review and revise their contractor selection process. Perhaps consider the activities and level of risk involved with the contract work and create pre-qualification requirements based on this. The organization may wish to establish their own definitions for types of contractors hired. For example, the contractor involved in assisting with computer based learning projects in an office off site may not require the same level of contractor management as someone involved in training and evaluation of manual tree fallers in the woods. | | | | | |

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| **P8. Planning for Multi-Employer Workplaces** | | | | | |
| P8.1  **#13** | If Multi-Employer Workplaces are created by the company, how are these workplaces planned to ensure a mechanism is, or will be, in place to ensure they are coordinated and have a system of compliance? | **O** | **D** | **I** | **Total** |
|  |  |  | **N/A** | **N/A** | **0** |
|  |  | **0** | **0-5** | **0-5** | **/10** |
| **Intent: The company needs to show due diligence by managing multi-employer workplaces to ensure that they are properly coordinated. This could be done by assigning Prime Contractor status or by being the Prime Contractor or owner without assigning Prime to another party.** | | | | | |
| **This question is not applicable if the company does not create multi-employer workplaces.**  **D -** If there is a clear documented outline of how the company manages, or intends to manage its Multi-Employer workplaces (MEWP’s), award 4 points. This must include a system to ensure coordination of the multiple employers and ensure that the multiple employers are all in compliance to their own requirements and to the overall workplace plan. The rigor of the management should be proportional to the level of risk of the activities.  If there are records of the requirements being applied consistently to all worksites, award 1 point. Not applicable if there have been no MEWP’s in the last year  **I -** Award up to 5 points based on % interviewed persons who plan MEWP’s understanding the company program.  Program criteria may include non-safety items, but only safety-related items are in scope for this audit question.  This question applies to all MEWP’s that the company has rather than just forestry MEWPs. Visitors are excluded from the scope of this question. See ‘Definitions’ section for contractors and visitors. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| **This question is not applicable (N/A) as the COMPANY does not create multi-employer workplaces.** | | | | | |
| Recommendations and Resources: | | | | | |
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| **P. Planning for Reliable, Injury- Free Work – Scoring Summary** | | | | | |
|  | **Awarded** | **Available** | **N/A** | **Available – N/A** | **% awarded** |
| **Total** | **101** | **130** | **10** | **120** | **84%**  **Min 50%** |

| D. DOING THE WORK WELL | | | | | |
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| **D1. Leading by Example** | | | | | |
| D1.1  **#14** | Are managers and supervisors leading by example and following the health and safety rules and procedures? | **O** | **D** | **I** | **Total** |
|  |  | **7** | **0** | **3** | **10** |
|  |  | **0,7** | **0** | **0,3** | **/10** |
| **Intent: The company needs to demonstrate that safety applies from the top down and that everyone is expected to ‘walk the talk’. If supervisors do not follow the rules, workers will also cut corners.** | | | | | |
| **O -** If at least 90% of observations show that managers and supervisors are actively following regulatory, manufacturer and company safety rules and requirements, award 7 points. Examples of positive observations may include, but are not limited to: wearing appropriate PPE, wearing seat belts and driving within road rules and conditions, communicating their presence around mobile equipment and keeping clear of hazard areas.  **I -** If at least 90% of interviewed workers state that managers and supervisors always follow all safety rules, award 3 points. | | | | | |
| Audit Note: | | | | | |
| O – Positive observations of managers and supervisors setting a good example while engaged in their duties included supervisors performing daily checks of the building and property, checking in on workers and offering assistance, following up with workers about completing the annual SMS refresher training, communicating confined space information, staying with a building maintenance contractor while they were completing repairs to an electrical outlet. No unsafe acts were observed by managers and supervisors during the audit.  **7/7 observation points awarded.**  I – 13/14 (93%) of those interviewed provided positive responses when workers were asked about supervisors following safety rules. Although some could not recall a specific example, those workers made a point of noting that they had not seen a supervisor do anything they considered unsafe. Positive responses included supervisors using PPE when completing maintenance related tasks around the building, going out of their way to fix a loose grate in the driveway, driving to the speed limit when travelling, following rules about using electronic devices when driving, and taking time to explain hazards associated with client’s worksites when conducting field work. The only negative response received identified an issue with some supervisors not being consistent with following the COMPANY check in procedures when travelling.  **3/3 interview points awarded for 93% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Continual Improvement Suggestion: The organization should audit their travel check-in records and travel check-in standards to determine compliance with their own established standards. Consider revising if the current standard is not practical for users. | | | | | |

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| D1.2  **#15** | Have general safety responsibilities been written and communicated to employees? | **O** | **D** | **I** | **Total** |
|  |  |  | **2** | **8** | **10** |
|  |  | **0** | **0-2** | **0-8** | **/10** |
| **Intent: Company leadership sets the tone and culture in terms of safety expectations.** | | | | | |
| **D –** Award up to 2 points based on % of employees with general safety responsibilities (i.e. not job-specific safe work procedures). Examples could include   * wearing seatbelts, * driving with all lights on all the time, * staying between the yellow lines in the mill yard, * fit to work (with fatigue specifically be included in the note and a loss of 1 point if not) * not going on sites without an orientation, * not operating any machine unless trained to do so   **I –** Award up to 8 points based on % of workers, supervisors and managers able to describe their general safety responsibilities. | | | | | |
| Audit Note: | | | | | |
| D – Roles and responsibilities are found in section 1.3 of the COMPANY SMS manual. Responsibilities are written for workers, contractors, JOHSC members, JOHSC chairpersons, directors, managers and CEO. Examples of written responsibilities include the use and inspection of PPE, not engaging in dangerous behaviour, having training and qualifications for all tasks they are assigned, understanding the responsibility to refuse unsafe work, cooperating with JOHSC members, and reporting of contraventions to OHS legislation and WSBC act and regulations.  Fatigue was not found included in written safety responsibility of employees, however fatigue was found in referenced in individual safe work procedures and the Drugs, Alcohol and Impairment Policy.  **2/2 documentation points awarded.**  I – 17/17 (100%) positive interview responses were received when all employees interviewed were asked to describe their general safety responsibilities. Positive responses from workers included using PPE as required, show up fit for duty, notify company about incidents, check in when travelling, notify others of unsafe situations, no horseplay, no bullying, complete annual refresher training, get help when needed, use back in parking method, maintain good housekeeping, perform pre-trip inspections on vehicles and exercise the right to refuse unsafe work if required.  Positive responses from supervisors and managers included ensuring the safety of people working under them, make sure people have training and materials to do their job, identify inconsistencies with compliance to rules and come up with a solution, deal with concerns brought forward, ensure safety systems are reviewed, work with JOHSC, lead staff meetings and monitor the building for hazards.  **8/8 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
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| **D2. Managing Risks and Upset Conditions** | | | | | |
| D2.1  **#16** | How are the documented hazards and risks and associated safe work procedures communicated to workers and contractors before the job starts and as issues arise during work? | **O** | **D** | **I** | **Total** |
|  |  |  |  | **10** | **10** |
|  |  | **0** | **0** | **0-10** | **/10** |
| **Intent: The quality of communication reinforces the ability of workers to know and more importantly understand the hazards and what to do about them. This interview question is different from the planning documentation question – this question addresses the communication of the plan at ground level.** | | | | | |
| **I -** Award up to 10 points based on % of positive responses from interviewed workers reporting receiving communication on the hazards, risks and controls for their work activities appropriate for the level of risk of those activities and understanding those communications. Communications need to be appropriate to the audience, such as new workers, young workers and those with different language and literacy levels. The reported risk communication may be written and/or verbal.  Potential hazard communication methods may include, but are not limited to:   * Pre-work meeting records * Signed falling plans for blocks * Steep slope and steep haul planning records * Shift change log book * Site safety meeting records * Supervisor journals * E-mail * Machine, vehicle or process log books * Lock-out / Tag-out. * Posting of inspections or reports from external bodies such as Primes, licensees and WorkSafeBC | | | | | |
| Audit Note: | | | | | |
| I – 14/14 (100%) positive interview responses were received when workers were asked about methods used for communication of hazards and control measures. Positive responses from workers showed that different levels of hazards were communicated in different ways. For less serious hazards, positive responses indicated that safety meetings and inspections were used to identify and communicate hazards. For more serious hazards that immediate notification to all, positive responses indicated that they would be notified verbally or through an email to all staff.  **10/10 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
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| D2.2  **#17** | What is the maintenance program for company-controlled facilities, tools and equipment that meets company, manufacturer and regulatory requirements? | **O** | **D** | **I** | **Total** |
|  |  | **6** | **2** | **2** | **10** |
|  |  | **0-6** | **0-2** | **0-2** | **/10** |
| **Intent: The company needs to have a maintenance program for every important item that it controls that needs maintenance. The program needs to be appropriate to the level of risk involved with each item.** | | | | | |
| **O –** Award up to 6 points based on observation of company-controlled facilities, tools and equipment being maintained to necessary standards, based on the level of risk of the object being maintained.  **D -** Award up to 2 points based on the % of sampled tools and equipment covered by the maintenance program in a manner that meets manufacturer, regulatory and company safety requirements, based on the level of risk.  Potential sources of records include, but are not limited to:   * Equipment inventory lists; * Maintenance schedule; * Equipment inspection records (whether user or maintenance personnel inspections); and * Computer-based maintenance management systems.   Mobile equipment user inspection records need to meet all requirements for the appropriate type of mobile equipment, including the requirement for pre-use inspections and testing of emergency and warning systems.  **I -** Award up to 2 points based on the % of positive responses from interviewed managers and supervisors confirming the maintenance program meets manufacturer, regulatory and company safety requirements.  In all parts of this question, the scope only applies to facilities, tools and equipment that are under direct company control and is responsible for maintaining. If the company contracts out maintenance in whole or in part, then the documentation is limited to user records rather than detailed maintenance records.  For any commercial vehicles, the intent is not to duplicate CVI requirements but rather examine how the company maintains records and whether items not typically included in CVI, such as first aid kits, fire tools and log bunks are properly maintained. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| O – Positive observations of evidence of maintenance being performed on company controlled facilities and equipment included:   * Inside of office building was clean. * A bucket of salt was observed by the back door to put on walkways as needed. * Office equipment appeared to be fairly new and in good condition. * Landscapers were observed removing leaves from the parking lot and rear entrance. * An electrician was observed repairing an outlet that was identified as defective as well as installing LED lights at the main entrance to improve lighting. * 2 pickups owned by the COMPANY were both observed to be clean inside and out and appeared to be well maintained.   **6/6 observation points awarded for 100% positive observations.**    D – Maintenance records were available for review for the 3 COMPANY owned pick-up trucks, which included servicing, tire repair and replacement, tune ups and brake work. Pre-use inspection checklists for the 3 COMPANY pick-ups were also available for review. A building maintenance log was available for the Area office which showed HVAC system maintenance, replacement of burnt out light bulbs, loose trim being repaired, plumbing repairs and door handle replacement.  **2/2 documentation points awarded.**  I – (3/3) 100% positive interview responses were received when supervisors and managers were asked about the maintenance system in place meeting requirements. Positive responses included having the 3 COMPANY owned pickups serviced regularly and ensuring tires are in good shape and appropriate for the season, having the office HVAC system serviced quarterly, contracting a company to service the copy machines regularly, keeping up with landscaping around the building, carpet cleaning as required, having electricians come in to service lighting, maintaining first aid supplies, emergency kits and keeping a stock of PPE that meets regulations.  **2/2 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
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| **D3. Working Safely** | | | | | |
| D3.1  **#18** | Are workers complying with safe work procedures, company safety rules, manufacturer standards and regulatory requirements? | **O** | **D** | **I** | **Total** |
|  |  | **10** | **0** | **0** | **10** |
|  |  | **0-10** | **0** | **0** | **/10** |
| **Intent: The company needs to set and maintain expected levels of behaviour. While ‘safety is what happens when no one is watching’, auditor observations indicate how seriously workers are treating the system.** | | | | | |
| **O -** Award up to 10 points based on % observations of workers following applicable company, regulatory and manufacturer requirements.  Requirements, as appropriate to company activities and their risk levels, include but are not limited to:   * Hiring Contractors * Lockout * Manual Tree Falling * Commercial Vehicles * Heavy Equipment Operations * Respiratory Protection * Having Young Workers (under age 25) * Camps and Remote Accommodations * Working near High Voltage Power Lines * High Hazard Materials * Assigning Prime Contractor status * Working at Heights * Combustible Dust * Hot Work * Confined Space * Working over or on Water   Where particular company activities are not observable on the day(s) of the audit, interview workers as a replacement for the particular observations, scoring as observation and clearly noting the scope of the method substitution in the audit note. | | | | | |
| Audit Note: | | | | | |
| O – Observations of workers following applicable company, regulatory and manufacturer requirements were 100% positive. As the majority of work performed COMPANY employees is office based in nature, exposure to high risk activities is very limited. Positive observations included a worker using ear plugs when operating the binding machine, cut resistant gloves being used when using a box cutter and a contract electrician observed using a fibreglass ladder and wearing steel toed boots, safety glasses and gloves.  Note: The COMPANY is also involved in training and evaluation of manual tree fallers. As no manual tree falling was available to observe during the audit, those involved with manual tree falling were asked to describe safe work practices and procedures for their work when interviewed.  I – Those interviewed who were involved with manual tree falling were able to describe safe work practices and procedures for their work. Responses included the requirement to wear PPE, which included hard hats, eye protection, long sleeve shirts, falling pants, gloves and caulk boots. Responses also referenced the BC Faller Training Standard and the need for qualified assistance when performing manual tree falling activities. A variance to the OHS regulations was also discussed that had been approved to allow additional persons in the vicinity of manual tree falling for training and observation purposes.  **10/10 points awarded for 100% positive observations and 100% positive interview responses of workers involved in high risk work activities not observable at the time of the audit.** | | | | | |
| Recommendations and Resources: | | | | | |
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| D3.2  **#19** | What is the method for supervisors, workers and contractors to manage unforeseen hazards? | **O** | **D** | **I** | **Total** |
|  |  | **6** | **2** | **1** | **9** |
|  |  | **0-7** | **0-2** | **0,1** | **/10** |
| **Intent: The company needs to ensure that hazards under the company control are being managed (i.e. how does the company instruct its contractors to manage hazards and when, how and if they report back to the company). This needs to address unforeseen hazards – the issues not in the plan that come up during work and help discourage “production-first” attitudes. This is not intended to include matters solely under the control of the contractor.** | | | | | |
| The company needs to have a process that includes how to detect, document, communicate and control the hazards. The process may permit less-significant hazards to be controlled without requiring documentation of the hazard or action. Examples might include field level risk assessments, RADAR or simple verbal reporting.  **O -** Award up to 7 points based on % observation of good practices in managing and controlling hazards on site.  **D -** Award up to 2 points based on % of completeness of a process for identifying and reporting hazards appropriate to the company risk and complexity.  **I -** If at least 70% of interviewed workers are able to describe how a significant hazard that they detected would be reported to the company, award 1 point. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| O – Positive observations of well managed and controlled hazards made during the audit at the Area office included:   * A locked door separating reception area from rest of office. Visitors are required to sign in and receive a visitor orientation prior to proceeding into the building. * A doorbell installed at the reception desk to be used as an alert to other staff in the event of verbally abusive, aggressive or potentially violent visitors. * An office equipped with a desk that could be raised and lowered to accommodate working from a sitting or standing position. * Signage in the mail room advising user of noise level of binding equipment and to close door during use. Ear plugs were also available for use next to the machines. * Confined space signage in place in basement for crawl space access. * Paper cutter observed stored with blade down and locked. Signage in place above machine to warn of hazard. * A key fob system used to open the rear door of the office at all hours. The same key fob system is also used to operate the front door and driveway gate outside of regular office hours. * Several tall items (shelving, a gym locker, etc.) observed leaning against or stored against the wall in the basement had been secured to the wall with rope.   Negative observations included:   * Cord management in small board room where interviews were being conducted. Several interviewed workers caught their foot in the cords when standing up after the interview.   **6/7 observation points awarded for 8/9 (89%) positive observations.**  D – Several examples of how the COMPANY communicates unforeseen hazards to employees were available for review. As the majority of the work performed by the organization is administrative, unforeseen hazards are communicated to all workers via email. Examples of emails sent to advise staff of hazards included specific hazards such as roofers working on the building, a missing drain cover, homeless people seeking shelter at rear of building, duct cleaning work and landscapers completing hedge trimming.  **2/2 documentation points awarded.**  I – 14/14 (100%) positive interview responses were received when workers were asked to describe how they report a hazard to the company. Positive responses included notifying a supervisor or manager, notifying a JOHSC member or notifying others verbally. Workers indicated that upon supervisors or JOHSC members receiving notification of a hazard they may notify others verbally, via email or at the next safety meeting depending on severity. Workers also indicated that they may need to complete a hazard report or assist with an incident investigation depending on the nature of what was reported. Although all interview responses were positive as responses indicated that all hazards were being reported to the company, the responses given about the position of the person that they would report the hazards to varied from worker to worker and were not all consistent with the COMPANY SMS, which indicates steps to take for hazard reporting that includes a notification to their supervisor.  **1/1 interview point awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendation: Ensure cord management is included in regular office inspections. There should be an increased focus on this where there is potential for a tripping hazard or worker getting their foot caught in cords.  Continual Improvement Suggestion: The organization may want to review their hazard reporting protocols in the COMPANY SMS. If current reporting procedures are sufficient, they should be re-communicated to staff. If hazards reporting protocols are found to not be practical, they should be revised. The organization may wish to designate someone, for example, the emergency warden on duty or the receptionist to report building related hazards to if supervisors are not always immediately available. | | | | | |

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| D3.3  **#20** | Are the on-site first aid personnel, supplies and equipment adequate and based on a completed first aid assessment? | **O** | **D** | **I** | **Total** |
|  |  | **6** | **2** | **0** | **8** |
|  |  | **0-8** | **0-2** | **0** | **/10** |
| **Intent: Having the appropriate emergency response equipment and personnel for the site activities shows that the company is committed to being prepared and values the people on site.** | | | | | |
| **O -** Award up to 8 points based on % observations of appropriate first aid personnel, equipment, supplies and services for the site.  Appropriate, in this case, means whichever is the higher standard of company or regulatory requirements.  Personnel need to be evaluated for number and level at the time of the audit.  Equipment and supplies being complete and in good working condition.  First aid kits need to be sampled for location, accessibility, completeness, condition and usability of contents.  Supplies, such as oxygen and Automated External Defibrillators (AEDs), need to be sampled for correct storage, volume/charge and accessibility  Emergency Transport Vehicles (ETVs) and major equipment need to be evaluated for operability and location on the work site for appropriate time/distance to workers being served by that equipment.  **D -** Award up to 2 points based on % of completed, correct First Aid Assessments in the last year compared to those needed.  Assessments are needed for:   * Fixed facilities such as shops, offices, warehouses, processing facilities * Field sites * Mobile sites (worker transportation and solo drivers)   A company may supply supporting logic to justify grouping assessments due to similar situations. Examples include a single assessment covering all log transport vehicles or all survey sites in a local geographic area | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| O – Positive observation of first aid equipment and supplies in the Area office included:   * A level 1 first aid attendant was designated on the sign in/out board at the front entrance as well as communicated to staff in a daily email. The level 1 attendant identified on the day of observations was found to be in possession of a valid level 1 first aid certificate. * Several level 1 first aid kits were available in the office. First aid kits were found at the front entrance, the mailing room as well as included in emergency kits to be used in the event of a natural disaster. * An AED was found on the wall in the mailing room. AED was shown to be operational and ready for use on the indicator. * An epi-pen, extra first aid supplies and gloves in a selection of sizes were also available in the first aid cabinet. * A first aid kit in the first of two faller safety advisor’s pick-ups observed was found to be in good condition with no expired supplies.   Negative observations included:   * A first aid kit in the second of two faller safety advisor’s pick-ups observed, which was parked in back parking lot and not being used was found to contain expired supplies. * An eye wash bottle and several single use tubes of saline solution were also found in the first aid cabinet, but were past the expiration date.   **6/8 observation points awarded for 5/7 (71%) positive observations.**  D – 100% of first aid assessments completed within the audit year were completed correctly. A first aid assessment dated August 31, 2016 was available for review for the Area office, as well as for 3 OFFSITE COMPANY AREAS held during the audit year which included February 4, 2016 on Quadra Island, May 1, 2016 at Northwest Bay and June 29, 2016 in Sointula. All first aid assessments reviewed were completed with correct hazard ratings for work being performed (low hazard for office work and high hazard for manual tree falling) and showed first aid attendants and supplies on site that either met or exceeded minimum regulations.  **2/2 documentation points awarded.** | | | | | |
| Recommendations and Resources | | | | | |
| Recommendation: Ensure expiration dates on first aid supplies are checked regularly. The COMPANY owned first aid kits in the falling safety advisor’s pick-ups should be included in the inspection of first aid supplies as well. | | | | | |

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| D3.4  **#21** | Are there communication devices readily available and effectively used? | **O** | **D** | **I** | **Total** |
|  |  | **10** | **0** | **0** | **10** |
|  |  | **0-10** | **0** | **0** | **/10** |
| **Intent: This is a key issue for routine communications, not just emergency response. Without communications, the company system simply cannot work.** | | | | | |
| **O-** Award up to 10 points based on the % of workers being served by appropriate readily available and functioning communication devices and being able to use them effectively in their particular setting (i.e. cell service or radio range must be included).  Communication devices include, but are not limited to:   * Radios * Cell phones * Land line phones * Satellite phones * Whistles * Horns, bells and alarms, including manual fire pull stations * Voice, where distance and background noise permit   The auditor must test a sample of communication devices if they are not otherwise observed in action to award the points. Testing of fire alarm bells or evacuation devices may be accomplished by reviewing test records rather than activating the alarm.  Having multiple workers share a communication device is acceptable as long as all workers in that group remain within verbal communication range with consideration for ambient noise, distance, terrain/layout and weather. For helicopter evacuation, there must be a method of communication with the pilot.  For ETV or industrial ambulances, there must be a method of communication between the driver and Attendant. | | | | | |
| Audit Note: | | | | | |
| O – The COMPANY uses several types of communication devices, the most common types being landline phones and cell phones as well as computers for email. Handheld VHF radios and satellite phones were available for sign-out in the Area office. WORKERS’ pick-up trucks were observed with VHF radios as well as OnStar capabilities. Cell phones and landline phones were observed in use at the time of the audit.  **10/10 observation points awarded.** | | | | | |
| Recommendations and Resources: | | | | | |
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| **D4. Safety Training** | | | | | |
| D4.1  **#22** | How are employees, contractors and visitors being provided with an appropriate orientation that meets company and regulatory requirements? | **O** | **D** | **I** | **Total** |
|  |  | **N/A** | **2** | **2** | **4** |
|  |  | **0** | **0-3** | **0,2** | **/4** |
| **Intent: The company needs to ensure appropriate orientation for the audience, including young workers, new workers, different languages and literacy levels. This applies to both the company orientation and any necessary site-specific orientation.** | | | | | |
| **O -** If the auditor was oriented to the company operations in general and to each different work site visited, award 5 points.  **D -** If there is documentation evidence that at least 90% of all workers, including workers of dependent and non-dependent contractors and visitors, receive orientation on or before the first day of work, award 1 point.  Award up to 2 points based on the % of orientation forms including all regulatory and company requirements. If the company has not hired any new or young employees in the scope of the audit, a review of the template or form is acceptable.  **I -** If at least 90% of interviewed young and new workers confirm orientation on or before the first day of work, award 2 points.  New workers include new hires, Return-to-Work cases and reassigned or transferred workers.  Young workers include any person under age 25.  Workers include workers of the company, of dependent contractors and of non-dependent contractors.  If there are no new workers in the scope of the audit, interview a sample of workers hired in the last 5 years.  If there are no new workers hired within the last 5 years, interview managers and supervisors for knowledge of the system and its applicability to future new workers. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| **Observation portion of this question is not applicable (N/A) as internal auditor is a full time employee of the COMPANY based in the Area office.**  D – Proof of orientation was available for 4/4 employees hired during the audit year. Visitor records reviewed indicated that of the 535/690 visitors that signed into the office during the audit year were given an orientation. Combined, the total numbers of employees and visitors oriented was 539/694 (78%). No point awarded as this is under 90%. **(0/1 point)**  D – The current orientation checklist used by the COMPANY for orientating staff and long term contractor was reviewed and compared against section 3.23 of the OHS regulations for orientation of young and new workers. Orientation checklist was determined to be compliant with regulations. A visitor orientation pamphlet was also available for review, which contained building evacuation instructions, muster point locations and emergency phone numbers. A visitor sign in sheet at front entrance is used to track who received the visitor orientation. **(2/2 points)**  **2/3 documentation points awarded.**  I – 14/14 (100%) positive interview responses were received when workers were asked if they received an orientation before starting work. Interview responses from workers described an orientation lasting almost an entire day consisting of completing orientation package, building tours, introductions to co-workers as well as computer based safety training to complete.  **2/2 interview points awarded for 100% positive responses.**  Note – An additional interview question was asked to support findings for missing visitor orientations referenced above in documentation notes. Recommendation shown below reflects audit criteria findings only. Additional information was used for the continual improvement suggestion shown below. Interview information included below was not included in scoring for this question and is for information of the organization.  I - When workers involved with bringing visitors into the building were asked about the visitor orientations being completed, they described a detailed visitor orientation being completed with a pamphlet available for the visitor to keep. Some workers indicated that a visitor to the COMPANY office receives an orientation every six months; however this frequency is not referenced in the COMPANY SMS. | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendation: The organization should ensure that all visitors to the Area office receive an orientation and that the orientation gets recorded on the sign-in sheet.  Continual Improvement Suggestion: The organization should review their requirements for visitor orientations and the frequency they are to be conducted. If a six month interval is deemed appropriate, this information should be added to the COMPANY SMS. Visitor orientations should be tracked for name and date of visitor orientation as well as be easily accessible to receptionist or others involved in bringing visitors into the building. | | | | | |

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| D4.2  **#23** | How does the company provide employees appropriate safety training geared towards their specific work activities and provide refresher training? | **O** | **D** | **I** | **Total** |
|  |  |  | **5** | **5** | **10** |
|  |  | **0** | **0-5** | **0-5** | **/10** |
| **Intent: Without training, both initial and ongoing, there can be no expectation that the workers will know anything. Appropriate safety training needs to include considerations for new workers, young workers and those with different languages and literacy levels.** | | | | | |
| **D -** Award up to 5 points based on the % of sampled workers and supervisors with current, appropriate initial and ongoing safety training records.  Sample workers and supervisors by examining a selection of training records. This must include first aid, PPE, inspection processes, driving, WHMIS, Fire Safety Training, spills, working from heights, manual falling and working near high voltage electrical transmission lines, respiratory protection, confined space entry and rescue and other high risk activities as appropriate for activities. Other topics may include topics such as EMS; Training topics can be both technical skills and the soft skills such as hazard awareness and use of degraded imaging.  **I -** If at least 90% of interviewed supervisors are aware of what training is required for which tasks and are ensuring only appropriately trained workers perform those tasks, award 2 points.  If at least 90% of workers are aware of and have received the training necessary for their assigned tasks, award 3 points. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| D – A training matrix was available for review. Training for strictly office based staff included WHMIS 2015 as well as some workers with First Aid and De-Escalating Potentially Violent Situations. Training for workers who regularly go into the field, such as FIELD WORKERS included First Aid, Underwater Egress Training and WHMIS 2015.  Faller numbers were not found included on training matrix, however were available when requested. Fallers included:   * XXXXX * XXXXX * XXXXX   Faller numbers were verified with the COMPANY Falling Department and determined to be valid as well as in good standing.  **5/5 documentation points awarded for 100% of sampled workers having required training.**  I – 2/2 (100%) positive interview responses were received when supervisors were asked about training required for tasks. Positive responses included on the job training, First Aid, WHMIS, Resource Road Driving and Underwater Egress. Supervisors also referenced a training matrix used to track training courses and expiration dates. **(2/2 points)**  I – 14/14 (100%) positive interview responses were received when workers were asked about training required for their assigned tasks. Positive responses included on the job training with a supervisor / co-worker, First Aid, WHMIS as well as JOHSC training, Emergency Warden and Incident Investigation for some. Additional positive responses from those who work in the field at times included Faller Certification, Resource Road Driving and Underwater Egress. **(3/3 points)**  **5/5 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Continual Improvement Suggestion: The organization should review their training matrix and ensure that all courses that workers are expected to have are included. Some examples of training records that the organization may want to consider adding include Faller Certification, Resource Road Driving, JOHSC training, Incident Investigation and several other courses offered by the BC Employers Advisers office that interviewed workers indicated they had attended. | | | | | |

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| **D5. Safety Communication** | | | | | |
| D5.1  **#24** | How are workers and contractors encouraged to participate in discussion and resolution of current and ongoing health and safety issues? | **O** | **D** | **I** | **Total** |
|  |  | **0** | **1** | **7** | **8** |
|  |  | **0-2** | **0-1** | **0-7** | **/10** |
| **Intent: Those affected by the company program need to be able to quickly discuss safety issues. If the company includes contractors in its safety program, then the contractors also need to have a mechanism. There is no intent to require a company to give a voice to contractors who are not involved in the company’s safety program.** | | | | | |
| **O -** Award up to 2 points based on the % observations of the last 3 safety meeting minutes and where applicable JOHSC meeting minutes being posted or otherwise made available to all workers.  Scoring is to be based on the % of workers and contractors with access to the applicable minutes. For example, if 80% of workers could access all minutes, award 2 points, while if 80% of workers could only access half the minutes, award 1 point.  **D -** If safety meetings have been held in at least 75% of operating months in the previous 12 months, award 1 point.  The scope of these safety meetings is different from JOHSC meetings. They are intended as all-employee meetings. It is not necessary for all employees to physically meet. Telephone, radio and/or video aids may be used and it is not necessary that all workers attend the same meeting. It is expected that not all employees are able to attend all meetings, but there must be a mechanism to pass meeting information on to absent people. The minimum frequency of these meetings is to be monthly during operating months. More frequent meetings such as site-specific, new-project, one-on-one, weekly or daily meetings also meet the requirements of this question provided the meetings are documented.  **I -** If at least 70% of interviewed workers confirm existence of the monthly (or more frequent) meetings and their personal attendance at all of those meetings or having meeting information passed to them after the meeting, award 2 points.  **I** – Award up to 5 points based on % of worker (and contractor where contractors participate in committees) interviews reporting active worker participation in the discussions, specifically including resolution of issues. The workers do not need to be able to cite specific examples for a positive finding. | | | | | |
| Audit Note: | | | | | |
| O – Safety meeting minutes for September 2016 and October 2016 were found posted on the safety bulletin board; however no safety meeting from August of 2016 were observed posted. Emails of safety meeting minutes were found sent to all staff and all staff had access to the minutes electronically for September 2016 and October 2016, but not August 2016.  0% of staff had access to all of the last 3 months of safety meeting minutes  Minutes for the August, September and October JOHSC meetings were observed posted on the safety bulletin board. This represented the past 3 JOHSC meetings at the time of observations. Also, all staff had access to JOHSC meeting electronically.  100% of staff had access to 3/3 (100%) of the last 3 JOHSC meetings.  **0/2 observation points awarded as not all meeting minutes were available to workers.**  D – Safety meeting minutes were available for review from 11/12 (92%) of the past 12 operating months. As the audit was conducted prior to the November 2016 monthly safety meeting, minutes were reviewed from November 2015 to October 2016. No meeting minutes were available for review from August 2016.  **1/1 documentation point awarded for safety meetings being held in at least 75% of operating months.**  I – 14/14 (100%) positive interview responses were received when workers were asked about existence and frequency of safety meetings. Workers indicated that they attend a monthly safety meeting or if unable to attend, they are emailed a copy of the meeting minutes to review. Workers also indicated that they have meetings within their departments more frequently than monthly where safety is also discussed. **(2/2 points)**  I - 13/14 (93%) positive interview responses were received when workers were asked about two way communication occurring at safety meetings. Workers identified that a time is set aside for concerns to be voiced. Workers also indicated that they were satisfied with the time it takes to address safety concerns identified. Several long term workers mentioned that the time taken to address safety related concerns has improved greatly in recent years. **(3/3 points)**  **5/5 interview points awarded for 93% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendation: The organization should ensure that safety meetings are held in every operating month. | | | | | |

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| **D6. Reporting and Investigating Incidents** | | | | | |
| D6.1  **#25** | How are incidents, including near misses / close calls being reported to the company and to the relevant authorities or agencies that have jurisdiction? | **O** | **D** | **I** | **Total** |
|  |  |  | **4** | **3** | **7** |
|  |  | **0** | **0-5** | **0-5** | **/10** |
| **Intent: The company needs to consider how workers report to the company and the company to authorities. Near miss / close call reporting for workers is a key method for improving company safety performance. This is not intended to include workers knowledge of injury claim reporting to authorities.** | | | | | |
| **D -** Award up to 2 points based on % of completeness of instructions for reporting to relevant authorities for types of incidents that could reasonably occur in the scope of company operations.  Types of incidents may include, but are not limited to:   * Near misses and close calls * Minor injuries requiring medical treatment (and/or other WSBC claim parameters) * Serious injuries * Fatality * Structural Failure/Collapse * Major release of a hazardous substance * Motor vehicle accident on public road * Motor vehicle accident on forest service road * Motor vehicle accident on other forestry road (on public or private land) * Power line contact * Explosives handling incident * Fire   Relevant authorities depend on the company’s activities and location. They may include, but are not limited to:   * WSBC (fatality, serious injury, claim, hazardous occurrence, etc.) * BC Safety Authority (boilers and pressure vessels, etc.) * BC Hydro or local power provider (power lines) * Ministry of Environment (specified spills) * Ministry of Forest and Range (wildfire and other issues) * Ministry of Transportation (certain vehicle incidents) * ICBC (certain vehicle incidents) * ESDC / Transport Canada (certain aircraft and watercraft incidents) * Clients and licensees (meeting contractual obligations)   The intent of this question would be satisfied with a list of parties to notify in different cases.  **D -** If documentation (first aid records, incident reports, maintenance records, reports to authorities, etc.) is positively correlated to indicate all incidents are reported to the company and where necessary to authorities and agencies, award 3 points.  If the company had no reportable incidents in the audit scope, score these second 3 points only as ‘N/A’ and adjust total accordingly.  **I -** Award up to 4 points based on % of positive responses of interviewed workers being aware of, and following, reporting procedures.  If 80% of supervisors or managers who have responsibility for external reporting understand that responsibility, award 1 point.  Note on next page | | | | | |

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| Audit Note for question on previous page: |
| D – The incident reporting and investigation procedures found in element 6 of the COMPANY SMS indicate that ALL incidents are to be reported to supervision including close calls, ergonomic issues, soft tissue damage and any MSI signs or symptoms. The definition of ‘incident’ found within the COMPANY SMS shows that an incident is any event that has resulted in or has the potential to result in an injury and that Incidents may include property damage, personal injury, death, or close calls / near misses. Reporting procedure contained the criteria for types of incidents that are reportable to WorkSafeBC (WSBC). Incident reporting and investigation procedures do not include a requirement to report incidents that occur on a client’s worksite to the client or prime contractor, nor do they indicate a requirement to communicate motor vehicle incidents to ICBC or other authorities other than WSBC. **(1/2 points)**  D – All documentation reviewed indicated that all incidents are being reported to the company and relevant authorities. No documentation was present that would indicate that the organization had an incident that was not reported within the audit year. **(3/3 points)**  **4/5 documentation points awarded.**  I – 8/14 (57%) positive interview responses were received when workers were asked about how they would report incidents. Positive responses included notifying a supervisor or whoever was designated as the supervisor in the event that their supervisor was absent. All negative responses received indicated that someone within the organization would still receive notification about an incident; however the person that the incident would be reported to did not reflect the incident reporting protocols found in the SMS. Examples of negative worker responses included notifying a JOHSC member, Senior Manager or the first aid attendant depending on the incident. **(2/4 points)**  I – 3/3 (100%) positive interview responses were received when supervisors and managers were asked about their external reporting requirements. Positive responses included supervisors and managers understanding reporting requirements for WSBC. Supervisors also indicated that they must notify the Manager and the Manager indicated that he would need to notify the COMPANY HR Committee. **(1/1 point)**  **3/5 interview points awarded for 100% positive interview responses.** |
| Recommendations and Resources: |
| Recommendation – The organization should review and revise the incident reporting and investigation procedures to include a requirement to report incidents to a client, should an incident happen on their worksite as well as a requirement to report vehicle related incidents to ICBC or other authorities. The organization may wish to also break down each type of potential incident that could occur and include corresponding notifications that must be made for each type.  Recommendation: The organization should review their incident reporting expectations with staff. Emphasis should be placed on their immediate supervisor or their designate receiving notification of an incident as per reporting procedures found in the COMPANY SMS. An incident reporting flow chart may assist with this. |

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| D6.2  **#26** | Are all reported incidents effectively investigated by the company? | **O** | **D** | **I** | **Total** |
|  |  |  | **5** | **3** | **8** |
|  |  | **0** | **0,5** | **0-5** | **/10** |
| **Intent: Appropriate investigations maximize learning and prevent recurrence. This is not intended to require formal investigation of all paper cuts as that would not be appropriate, nor maximize learning.** | | | | | |
| **D -** If at least 90% of total incidents have an investigation report appropriate for the severity of the incident, award 5 points.  The minimum level of investigation for any reported incident is a preliminary informal review by the supervisor to determine if a more serious investigation is warranted. For the more significant investigations, worker participation should be included.  **I -** Award up to 5 points based on the % of positive responses from interviewed workers and supervisors stating all reported incidents are investigated. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | |
| D – Documentation for 3 incidents from the audit year was available for review. 1 investigation for a motor vehicle incident in an airport parking lot, 1 for a flat tire on a rented vehicle while travelling on a resource road and 1 for a first aid visit involving a minor burn sustained in the COMPANY kitchen. All 3 incidents had reports appropriate to the severity of the incident.  **5/5 documentation points awarded.**  I – 11/16 (69%) positive interview responses were received when workers were asked to recall an incident from the past year that had been investigated. Positive responses included a flat tire on a resource road, a motor vehicle incident at an airport as well as a hazard report that involved OHS violations observed during work being performed by the building owner’s roofing contractor (not a COMPANY incident). 5/16 (31%) of workers indicated that they had no knowledge of incidents investigated during the past year.  **3/5 interview points awarded for 69% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendation – The organization should review how incidents are being communicated to staff. If meeting minutes being sent to workers who are absent at the safety meeting, the organization must ensure that they receive the information about the incident. If meeting minutes are not capturing all of the incident information, consider creating and distributing an internal bulletin about the incident and learnings that came out of the investigation. | | | | | |

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| **D7. Employee Engagement** | | | | | |
| D7.1  **#27** | What process does the company have to ensure managers, supervisors and lead hands have appropriate skills to effectively manage people for safety? | **O** | **D** | **I** | **Total** |
|  |  |  | **0** | **8** | **8** |
|  |  | **0** | **0-2** | **0-8** | **/10** |
| **Intent: This is a key cultural question that shows leadership commitment to success and recognizes that effective supervision is key in all areas. Supervisors need to have the ability to manage key human factors affecting safety. This could include catching when people are ‘off’, rushing, fatigued or complacent.** | | | | | |
| **D -** Award up to 2 points based on the % completion of records showing that supervision is being provided to all workers with a frequency appropriate to the scope, complexity and risk of the tasks. Potential records include, but are not limited to, supervisor diaries, notes, inspections and assessment reports.  **I** – Award up to 8 points based on % positive responses from interviewed senior managers, managers and supervisors being able to consistently describe how supervisory (including lead hand, team leader, relief supervisor, etc.) competence is ensured.  Positive practices may include, but are not limited to:   * Formal or in-house training and/or mentoring * Coaching and evaluation of supervisory practices * Documented competency evaluations of the supervisor by management and/or workers * Hiring standards * Assignment of duties to allow appropriate time for supervisory tasks   Desired topics of competence include, but are not limited to:   * Coaching skills * Human factors knowledge * Techniques for detecting and managing workers who are acting ‘off’ * Soft skills for supervisors | | | | | |
| Audit Note: | | | | | |
| D – Documentation available for review at the time of the audit did not support supervision being provided to all workers.  **0/2 documentation points awarded.**  I – 3/3 (100%) positive interview responses were received when supervisors and managers were asked about how supervisor competence is ensured. Positive responses included identifying credentials that someone must have prior to being hired as a supervisor, undergoing psychometric testing to identify risk adversity and how the person deals with risk and pressure, hiring supervisors who are experienced leaders and have a background in their area of expertise as well as conducting annual reviews using performance, goals and measures (PGM).  **8/8 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
| Recommendations: The organization should consider implementing regular worker assessments for all staff. | | | | | |

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| D7.2  **#28** | Does the company promote and encourage timely two-way communication for workers and contractors to speak up about perceived unsafe work procedures, practices or conditions? | **O** | **D** | **I** | **Total** |
|  |  |  |  | **10** | **10** |
|  |  | **0** | **0** | **0-10** | **/10** |
| **Intent: A culture of ‘speaking up’ is a key safety indicator. While it includes the ‘right to refuse’ it also involves the ‘right to participate’ in the resolution of safety issues.** | | | | | |
| I – Award up to 10 points based on interviewed workers (and where reasonably available contractors) reporting they have the ability to raise all real and perceived safety issues and that such reporting would be well received and satisfactorily addressed. This includes new, young and front-line workers reporting a senior worker or supervisor either engaging directly, or directing others to engage, in what they believe are questionable practices.  Interviewed Workers and Contractors need to report a process to manage unsafe work (or asking for assistance when out of their personal depth) by:   * The worker reporting the issue to their supervisor * Jointly developing a solution acceptable to both the worker and supervisor   The process described may or may not progress to the involvement of the JOHSC and/or representative and/or WSBC. The intended focus is the internal company processes and the comfort of the worker with managing perceived unsafe work as-given. The intent of the question is to provide a mechanism that is faster than waiting for the next scheduled meeting. | | | | | |
| Audit Note: | | | | | |
| I – 14/14 (100%) positive interview responses were received when workers were asked about whether they felt that their concerns would be well received and addressed. Workers indicated that if concerns were voiced that required immediate action, that they are addressed in a timely fashion. Some examples were provided of situations where workers had brought up concerns and they were addressed including slippery steps and a bucket of salt being put in place before the next day, ergonomic concerns being voiced and the workstation being modified to accommodate, as well as street people found sleeping in the back parking lot that were removed from the property.  3/3 (100%) positive interview responses were received when contractors were asked about whether they felt that their concerns would be well received and addressed. Contractors all indicated that they have had to raise concerns in the past, while not all of these concerns described were safety related, contractors indicated that based on past experience they believed that any safety concerns would be well received by the COMPANY and dealt with promptly.  **10/10 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendations and Resources: | | | | | |
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| **D. Doing the Work Well – Scoring Summary** | | | | | |
|  | **Awarded** | **Available** | **N/A** | **Available – N/A** | **% awarded** |
| **Total** | **132** | **150** | **5** | **145** | **91%**  **Min 50%** |

| C. CHECKING FOR SAFE WORK | | | | | |
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| **C1. Supervisor Oversight** | | | | | |
| C1.1  **#29** | How are supervisors monitoring the health and safety of all workers and contractors under their direct supervision and ensuring they operate within limits? | **O** | **D** | **I** | **Total** |
|  |  | **2** | **0** | **6** | **8** |
|  |  | **0,2** | **0-2** | **0-6** | **/10** |
| **Intent: Actively monitoring workers is part of a commitment to accountability at all levels. Supervisors pro-actively engaging with workers, rather than just passively watching, leads to superior safety results.** | | | | | |
| **O -** If 100% of observations of supervisors show that supervisors are ensuring workers and contractors are following safe work procedures, specifically including intervening where workers or sub-contractors are observed by the supervisors not to be following safe work procedures, award 2 points.  If no interventions are necessary, evaluate based on % good supervisory techniques, such as observing and coaching workers, inspecting the site and directing the correction of deficiencies.  **D -** Award up to 2 points based on the % completion of records showing that supervision is being provided to all workers and contractors with a frequency appropriate to the scope, complexity and risk of the tasks. Potential records include, but are not limited to, supervisor diaries, notes, inspections and assessment reports.  **I -** Award up to 3 points based on % interviewed workers and supervisors reporting appropriate supervisory presence (i.e. frequency and duration) and communication of known and foreseeable hazards at the work site.  **I -** Award up to 3 points based on the % of positive responses from interviewed supervisors understanding the applicable legal and regulatory requirements, company safety standards and control measures required for evaluating work activities. This is intended to evaluate aggregate supervisor knowledge, so if 4 of 5 supervisors fully understand and 1 understands 50%, this would be 90% positive. | | | | | |
| Audit Note: | | | | | | |
| O – Although no observations were made of supervisors intervening on unsafe situations due to a lack of unsafe situations observed, several other positive observations were made, including supervisors performing daily checks of the building and property, checking in on workers and offering assistance, following up with workers about completing the annual SMS refresher training, communicating confined space information for crawl space in basement and staying with a building maintenance contractor while they were completing repairs to an electrical outlet. No negative observations of supervisors were noted.  **2/2 observation points awarded.**  D – No documentation was available for review to support that supervision is being provided to all.  **0/2 documentation points awarded.**  I – 16/16 (100%) positive interview responses were received when workers and supervisors were asked about presence and availability of supervisors. Positive responses included having bi-weekly group meetings, one on one meetings, supervisors checking in regularly, supervisors being available by phone or email if not in the office and supervisors designating someone to act as the supervisor if they are on vacation. **(3/3 points)**  I – 2/2 (100%) positive interview responses were received when supervisors were asked about evaluating work activities. Positive responses included providing workers with orientation, designating someone as a mentor for a new worker, having a more senior employee shadow an employee when conducting field activities and report back, conducting ergonomic assessments, designating an alternate if the supervisor isn’t available, holding meetings with staff as a group and one on one and participating in office inspections. **(3/3 points)**  **6/6 interview points awarded for 100% positive interview responses.** | | | | | | |
| Recommendations and Resources: | | | | | | |
| Recommendations: The organization should consider implementing regular performance reviews for all staff, completed by their supervisor. | | | | | | |

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| **C2. Inspections** | | | | | |
| C2.1  **#30** | Does the company conduct inspections in accordance with an outline of what is to be inspected, at what frequency, and by a competent individual? | **O** | **D** | **I** | **Total** |
|  |  | **5** | **1** | **2** | **8** |
|  |  | **0-6** | **0-2** | **0-2** | **/10** |
| **Intent: The company needs inspections to prevent things going wrong. Doing it properly shows leadership follow-through.** | | | | | |
| **O -** Award up to 6 points based on the % of observed equipment, facilities, materials and sites having any evidence of appropriate inspections based on either the object being either safe for use or removed from service.  **D -** Award 1 point if all the following topics are covered in the inspection program:   * Equipment * Facilities, including camps and other remote accommodations under company control * Materials (i.e. supplies such as explosives, fuels and raw materials) * Worker (and contractor where applicable) activities and practices;(specifically including any company high risk activities) * Site conditions (specifically including company high risk activities).   Topics must define the frequency of inspection and have an overall statement of intent and involve workers in performing the inspections.  **D -** Award 1 point if all inspection frequencies are shown to occur at intervals that can reasonably be expected to prevent the development of unsafe working conditions AND the inspections are performed by competent (or where required by law or regulation – qualified) individuals. If a company is not performing an inspection at the frequency required by law or regulation, this is a negative finding.  **I** – Award up to 2 points based on % of interviewed workers stating that inspections are done on time, by competent (or qualified where required by law or regulation) individuals and to the appropriate depth. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | | |
| O – Positive observations of equipment, facilities and vehicles owned by the organization having appropriate inspections and maintenance included:   * Inside of office building was clean. * A bucket of salt was observed by the back door to put on walkways as needed. * Office equipment appeared to be fairly new and in good condition. * Landscapers were observed removing leaves from the parking lot and rear entrance. * An electrician was observed repairing an outlet that was identified as defective as well as installing LED lights at the main entrance to improve lighting. * 2 pickups owned by the COMPANY were both observed to be clean inside and out and appeared to be well maintained.   Negative observations included:   * Cord management in small board room where interviews were being conducted. Several interviewed workers caught their foot in the cords when standing up after the interview.   **5/6 observation points awarded for 6/7 (86%) positive observations.**  D – Workplace inspections are covered in section 2.4 of the COMPANY SMS. Inspection criteria covers all items listed above including buildings, tools, equipment, work methods and practices. Inspections of the building are to be completed monthly. Criteria also includes a table showing COMPANY owned equipment and the frequency for which it is to be inspected. The workplace inspection form for the office was reviewed as well and also supports the criteria listed above. Frequencies for vehicle pre-use inspections are found in section 2.5. **(1/1 point)**  D – Records of office inspections being performed were available for 11 of the 12 months during the audit year. As the audit was conducted in mid-November, before the monthly inspection, records were reviewed from November 2015 to October 2016. No inspection was available for review from January 2016. As this does not represent all of the previous months, this is a negative finding. Inspections were found to have been completed by members of the JOHSC. A selection of vehicle pre-use inspections were also available for review. **(0/1 point awarded for this all or nothing question)**  **1/2 documentation points awarded.**  I – 14/14 (100%) positive interview responses were received when workers were asked about the frequency of workplace inspections and who completes them. Positive responses indicated that inspections were performed monthly by members of the JOHSC. Some workers also mentioned the CEO performing periodic inspections as well.  **2/2 interview points awarded for 100% positive interview responses** | | | | | | |
| Recommendations and Resources: | | | | | | |
| Recommendation: Ensure cord management is included in regular office inspections. There should be an increased focus on this where there is potential for a tripping hazard or worker getting their foot caught in cords.  Recommendation: The organization should ensure that all workplace inspections are occurring at the frequencies specified by the COMPANY SMS. As large majority of inspection records show workplace inspections are occurring on the last day of the month, scheduling the inspections for mid-month may provide some additional flexibility for those with busy schedules to complete the inspection. | | | | | | |

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| **C3. Checking Competency** | | | | | |
| C3.1  **#31** | What process does the company use to ensure workers are competent to perform their assigned tasks? | **O** | **D** | **I** | **Total** |
|  |  |  | **0** | **5** | **5** |
|  |  | **0** | **0-3** | **0,7** | **/10** |
| **Intent: People should only be doing work that they are trained to do and are competent to do. Competency is different than training – it is observation and feedback to the worker on how they are performing the job. While having worker signatures on evaluations is preferred, it is not required.** | | | | | |
| **D -** Award up to 3 points based on the % of worker and supervisor competence assessments completed compared to the number of workers and supervisors.  Every worker and supervisor (once they have completed training) must have a documented competence assessment for their current position or assigned tasks. Ongoing assessments are required and the frequency should be based on the risk of the tasks being performed and the skill (including age and experience) of the particular worker. Competence assessments must include observation of the persons performing the tasks. Competence assessments may include, but are not necessarily limited to:   * Training and practical examination records * Certificates supported by observation content * Supervisor journal notations * Assessments * Inspections   **I -** If at least 90% of interviewed supervisors and managers are:   * knowledgeable about the company program and regulatory requirements * assessing workers in accordance with company and regulatory requirements,   award 7 points.  If managers also assess workers, include applicable managers in the interview sample size.  If all supervisors are also managers, exclude supervisor assessment from the question.  Workers are limited to company workers and exclude contractors. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | | |
| D – No records of documented competency assessments performed on workers and supervisors were available for review.  **0/3 documentation points awarded.**  I – 2/3 (67%) positive interview responses were received when supervisors and managers were asked about what they were doing to ensure competency of workers. Supervisors and managers indicated that competency assessments are performed based on the level of risk involved with the worker’s job. Positive responses included having supervisors evaluate safety advisors, sending workers who drive in the field to Resource Road Driver Training for professional evaluation, ongoing falling assessments of the falling safety advisors, doing daily walk-throughs of the office making safety observations and engaging in discussions with workers.  **5/7 points awarded for 67% positive interview responses.** | | | | | | |
| Recommendations and Resources: | | | | | | |
| Recommendation – The organization should implement a system to assess worker and supervisor competency. Follow up assessments should also be performed. It is recommended that these assessments are performed at least annually and more often in the event the organization employs workers under the age of 25. | | | | | | |

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| **C4. Communicating Results** | | | | | |
| C4.1  **#32** | How do managers and supervisors regularly share health and safety program performance information relevant to their operation with their workers and contractors? | **O** | **D** | **I** | **Total** |
|  |  | **2** | **0** | **5** | **7** |
|  |  | **0-2** | **0** | **0-8** | **/10** |
| **Intent: This question is specific to the company sharing performance with workers, as opposed to having a document management system in P5.1. This is a link to the goals in P1.1 and keeping the goals visible and high profile.** | | | | | |
| **O -** Award up to 2 points based on the % of workers readily having access to performance information. Methods may include, but are not limited to:   * Signs * Posters * Mail outs * Emails * Presence of content in minutes * Posting of external reports or other documents, such as those from Primes, Licensees and/or WorkSafeBC   **I -** Award up to 8 points based on the % of interviewed workers with an awareness of the company safety program and its current key issues. | | | | | |
| Audit Note: | | | | | | |
| O – Evidence of performance information was found in safety meeting minutes which are emailed to staff, posted on the safety board and available to all staff electronically on the “N: Drive”. Evidence was found within safety meeting minutes for January, March and April of 2016 which showed progress updates for items found selected by management as areas for improvement in 2016.  **2/2 observation points awarded.**  I – 9/14 (65%) positive interview responses were received when workers were asked about how they receive information on progress being made to achieve goals set by management. Positive responses included receiving updates at safety meetings, visibly being able to see items being worked on or being part of the team working on the goals.  **5/8 interview points awarded for 65% positive interview responses.** | | | | | | |
| Recommendations and Resources: | | | | | | |
| Recommendation: The organization should consider including an update of progress on the annual safety program improvement goals at every safety meeting. | | | | | | |

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| **C5. Investigation Quality** | | | | |
| C5.1  **#33** | How does the company properly complete investigations to lead to recommendations to prevent reoccurrence? | **O** | **D or I** | **Total** |
|  |  |  | **6** | **6** |
|  |  | **0** | **0-10** | **/10** |
| **Intent: Investigations are key to preventing reoccurrence. Investigation needs to lead to preventing reoccurrence, not just stop at causes. Only if investigations lead to meaningful corrective actions will the rate of fatalities and serious injuries drop. While there are several investigation questions in this report, this question focusses only on the recommendations from the investigations.** | | | | |
| **Verify by documentation if the company has any incidents that have been or should have been formally investigated.**  **Verify by interview only if the company does not have any incidents that have been or should have been formally investigated.**  **Do NOT use both methods.**  **D -** Award up to 4 points based on the % of completeness of evidence collection as appropriate for the incident.  Evidence collection will usually, but not always, include:   * Events leading to the incident * Conditions of the work environment, tools, equipment and employees * Witness statements (if any witnesses) * Photos, diagrams and/or sketches * Reports on relevant employee training * Applicable safe work procedures * Emergency response actions   **D -** Award up to 4 points based on the % of completed investigations with applicable fundamental recommendations to prevent recurrence compared to investigations completed.  **D** – Award up to 2 points based on the % of investigators of the sampled investigations having formal training.  The investigation needs to use any standard investigative method to dig to the deeper system causes of an event in order to make fundamental recommendations. While addressing symptoms or immediate causes is important, it alone is insufficient for a positive finding. Worker participation is required unless impracticable.  **I -** In the absence of completed investigations due to a lack of incidents of sufficient severity for a formal investigation, this question may be evaluated through interview of investigators being able to explain how to investigate incidents using a form that has an ability to lead to preventing reoccurrence (i.e. evaluating their training and capacity). This method is particularly applicable to small and/or low-risk companies. Award up to 10 points based on the effectiveness of the individuals who would reasonably be investigating (by either company or regulatory requirements – i.e. must include worker JOHSC members) being able to explain the basics of investigation processes.  Note on next page | | | | |

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| Audit Note for question on previous page: (Documentation only for **Endorsement**) |
| D – Evidence collected from incident investigations reviewed was not available at the time of the audit and was not found stored electronically with the investigation reports. **(0/4 points)**  D – Documentation was reviewed for all 3 investigations completed by the COMPANY during the audit year. 3/3 (100%) resulted in recommendations that when implemented would potentially prevent recurrence. 2 of the 3 incidents involved motor vehicles, which resulted in recommendations for revisions to the SMS. The third incident, a first aid for a minor burn sustained in the COMPANY kitchen resulted in a recommendation that would prevent recurrence, however changes to the SMS were not deemed necessary in that case. **(4/4 points)**  D – Incident investigation training records were available for all 3 incident investigators shown on investigations reviewed. Training included DNV Incident Investigation, BCFSC Advanced Incident Investigation and a COMPANY Investigation Workshop. **(2/2 points)**  **6/10 documentation points awarded.** |
| Recommendations and Resources: |
| Recommendation – The organization should consider storing all evidence and other supporting documentation in an electronic folder for each incident with several folders inside containing photos, statements, supporting documents, reports and evidence of corrective action completed to help keep all of this information easily accessible. |

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| **C6. Checking Multi-Employer Workplaces** | | | | | |
| C6.1  **#34** | If multi-employer workplaces are created by the company, how does the company confirm that the workplaces are coordinated and a system of compliance is in place? | **O** | **D** | **I** | **Total** |
|  |  |  | **N/A** | **N/A** | **0** |
|  |  | **0** | **0,5** | **0-5** | **/10** |
| **Intent: Multi-employer workplaces can be managed by the company by assigning Prime Contractor to another company or can be self-managed by being the Prime Contractor. In either case, the company needs to have appropriate oversight of the workplaces in question. The oversight has to balance checking the activities and allowing the other companies on site to manage their own activities appropriately.** | | | | | |
| **This question is not applicable if the company does not create multi-employer workplaces.**  **D -** If documents show that company personnel who should have oversight of multi-employer workplaces are exercising the oversight appropriately for the risks and activities on those worksites, award 5 points.  **I -** Award up to 5 points based on % of interviewed personnel who should have oversight over multi-employer workplaces able to confirm that they are appropriately evaluating key safety coordination and compliance parameters appropriate to the risk and activities and providing direction based on those evaluations. | | | | | |
| Audit Note: **(documentation only for Endorsement)** | | | | | | |
| **This question is not applicable (N/A) as the COMPANY does not create multi-employer workplaces.** | | | | | | |
| Recommendations and Resources: | | | | | | |
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| **C. Checking for Safe Work – Scoring Summary** | | | | | |
|  | **Awarded** | **Available** | **N/A** | **Available – N/A** | **% awarded** |
| **Total** | **34** | **60** | **10** | **50** | **68%**  **Min 50%** |

| A. ADJUSTING FOR BETTER WORK | | | | | |
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| **A1. Continual Improvement** | | | | | |
| A1.1  **#35** | How are senior leadership and managers actively involved in measuring and evaluating safety performance and evaluating opportunities for continual improvement? | **O** | **D** | **I** | **Total** |
|  |  |  | **5** | **5** | **10** |
|  |  | **0** | **0-5** | **0-5** | **/10** |
| **Intent: For this important cultural question, leadership must show that they are meaningfully involved in promoting continuous improvement in the operations.** | | | | | |
| **D -** If documents show managers measure and evaluate key safety performance indicators, award 3 points. Key performance indicators may include, but are not limited to:   * timely completion of safety program activities such as inspections, assessments, investigations and corrective actions * near miss / close call, first aid, medical aid and time loss statistics * training and competency assessments * analysis of records and statistics that determine injury trends such as frequency, nature, type and severity of worker injury   If documents show managers provide directions for continual improvement based on the results of their evaluations, award a further 2 points.  This process is different than managers attending JOHSC or other similar meetings as a participant. This process needs to show that management has a plan for driving change and improvement. There is no intent in the audit to specify what the nature or scope of that plan should be.  **I -** Award up to 5 points based on % of interviewed managers able to confirm that they are appropriately evaluating key safety performance indicators and providing direction for continual improvement based on those evaluations. | | | | | |
| Audit Note: | | | | | | |
| D – Two annual management reviews of the SMS were available for review. One was dated December 7, 2015 and one was dated November 14, 2016. Both of these management reviews highlighted inspection action items, audit CAL items, and year to year incident statistic comparisons. **(3/3 points)**  D – Annual management reviews of SMS program show goals being set for the year based on results of their reviews. Action items are identified in review meetings to improve upon for the year. **(2/2 points)**  **5/5 documentation points awarded.**  I – 1/1 (100%) positive interview responses were received when the manager was asked about how the organization evaluates and measures safety performance. The annual management review of the SMS was mentioned. The manager indicated that results of audits, inspections and incidents and year to year safety stats are used to identify areas for focus for the year.  **5/5 interview points awarded for 100% positive interview responses.** | | | | | | |
| Recommendations and Resources: | | | | | | |
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| **A2. Adjusting Procedures** | | | | | |
| A2.1  **#36** | How are risk control measures and safe work procedures reviewed and updated with worker involvement on a regular basis and when there are changes in work conditions? | **O** | **D** | **I** | **Total** |
|  |  |  | **5** | **5** | **10** |
|  |  | **0** | **0-5** | **0-5** | **/10** |
| **Intent: The company needs to have a living and evolving management system that adapts to change, not just a dusty manual on the shelf. Workers, since they are most affected by the company program, are the best voice for operational feedback.** | | | | | |
| **D -** Award up to 5 points based on records showing that risk control measures and safe work procedures are reviewed at least every 2 years and/or updated when necessary. It is not necessary to show that the procedures change every 2 years, only that they are examined to determine if they are still applicable. One-on-one review of safe work procedures with workers is considered acceptable provided there is an opportunity to cause change in the measure or procedure.  **I -** If at least 70% of interviewed managers, supervisors and workers report that at least some workers are involved in the review process, award 5 points.  It is not necessary for every worker to be directly involved in the process. Worker involvement may be via a committee or representative. However, the interviewed worker must at least be aware how their issue or idea could be evaluated for incorporation into a revised procedure to be considered a positive response. | | | | | |
| Audit Note: (Documentation only for **Endorsement**) | | | | | | |
| D – 9 safe work procedures (SWPs) were available for review at the time of the audit as well as a hazard inventory and risk assessment matrix.  The SWPs were included with the SMS manual which showed a revision date of July 16, 2015 on the cover and footers of many of the pages. JOHSC meeting minutes from July and August of 2015 indicate a review and update of the SMS.  The hazard inventory and risk assessment matrix reviewed did not show a revision date, however the JOHSC minutes from January and February 2016 show that this document was revised by a group of workers and supervisors from the JOHSC at those meetings.  Some of the SWPs found within the SMS manual showed revision dates older than within the past 2 years. As these SWPs are included in the SMS manual, which shows a current revision date, the auditor will award the points and give a continual improvement suggestion to edit the older dates found within the SWP documents.  **5/5 documentation points awarded.**  I – 17/17 (100%) positive interview responses were received when all employees were asked about how workers were involved in the revisions of safe work procedures and risk control measures. Positive responses included workers being able to take ideas for improvements to their supervisor or JOHSC member and suggestions would be talked about at a JOHSC meeting, from there forwarded to management and be considered for revising the SMS.  **5/5 interview points for 100% positive interview responses.** | | | | | | |
| Recommendations and Resources: | | | | | | |
| Continual Improvement Suggestion: Safe work procedures found within the SMS manual show revision dates that are older than the revision date on the cover and footers of the SMS manual. Safe work procedures should be updated as required or at least every 2 years. | | | | | | |

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| A2.2  **#37** | What are the methods in place for reviewing, implementing, tracking and following up on the investigation, inspection and other recommendations? | **O** | **D** | **I** | **Total** |
|  |  | **4** | **1** | **1** | **6** |
|  |  | **0-6** | **0-2** | **0-2** | **/10** |
| **Intent: The company needs to follow through and show due diligence in addressing corrective actions of any type and learn from experience. The company must allocate sufficient resources for safety.** | | | | | |
| **O -** Award up to 6 points based on % auditor observation verification that sampled corrective actions have been completed. If there are no recommendations that yielded reasonably observable actions, score the observation portion as not applicable and deduct 6 points from the total.  **D -** If there is a process for tracking corrective actions award 1 point. Having different processes for each of investigations, inspections, etc. is acceptable.  **D –** If at least 90% of documented deficiencies are reported and corrected within established time frames, award 1 point.  Potential records of interest may include, but are not limited to:   * CAL from the previous audit if there was a previous audit (a primary and mandatory document) * Inspection forms * Investigations * JOHSC minutes * Safety Meeting minutes * Daily equipment logs * Maintenance reports * Monthly inspection reports * Danger Tree assessments * Supervisor journals * Report forms such as RADAR or SafeStart * 3rd party inspections (Prime, Licensee, health or other authority, WorkSafeBC, etc.)   The process may be integral with the investigation form, a separate system or part of an overall company system, but it must include target completion dates and assign tasks to people. Updating target completion dates as situations change is acceptable.  Actions that are not yet due should be excluded from the calculation.  If the company has a system, but has no actions assigned that should have been completed, score the second part of the question as ‘N/A’ and deduct 1 point from the total. If the concept of due dates is not included in the company system award zero points for Documentation parts of this question.  **I -** Award up to 2 points based on the % of positive responses from interviewed workers stating corrective actions are completed by the target date.  Audit note on next page | | | | | |

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| Audit Note for question on previous page: (Documentation only for **Endorsement**) |
| O – 5/7 (71%) of sampled corrective actions from recent workplace inspections were found to have been completed. Positive observations of corrective actions being completed included fire extinguishers being inspected for the year, an expired epi-pen being replaced, new lighting at the front entrance, repaired lighting at rear of building and securing of a loose cubical wall. Negative observations of corrective actions not being completed included steel cabinets not secured to the wall and cords creating a tripping hazard near the reception area.  **4/6 observation points awarded for 5/7 (71%) of sampled corrective action items being observed as completed.**  D – Review of inspections, safety meeting minutes, JOHSC meeting minutes and investigations show that corrective actions are identified for follow up. A corrective action log (CAL) is used to track some of these safety related items as well as a building maintenance log to track items identified that relate to building maintenance. **(1/1 point)**  D – Review of action items from inspections, investigations, safety meetings and JOHSC meetings show that less than 90% of action items identified receive a target date for completion or are not completed within established or updated timelines. A central CAL is used, however many of the action items identified through inspections, investigations, safety meetings and JOHSC meetings do not appear to have been entered into the CAL. **(0/1 point)**  **1/2 documentation points awarded.**  I –10/14 (71%) positive interview responses were received when workers were asked if corrective actions are completed by the target date.  **1/2 interview points awarded for 71% positive interview responses.** |
| Recommendations and Resources: |
| Recommendation – The organization should ensure that all corrective actions required as a result of inspections, investigations and meetings are assigned to a person, given a target date for completion and the actual date of completion recorded. Consider using a corrective action table on inspection forms similar to the one presently used on the incident investigation form. Keeping a similar table on each document within the SMS, can save time when completing a central corrective action log (CAL). Items can quickly and easily be copied and pasted into your corrective action log from the various documents if they are in a similar format.  Recommendation – The organization should ensure that the corrective action log (CAL) is reviewed regularly and that all target dates set for corrective action are reasonably achievable. When setting a target date for completion, ensure that all parties involved with completion are consulted to come up with a reasonable completion date considering the urgency of the item, the budget and the availability of time required to complete the corrective action. |

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| **A3. Adjusting Emergency Response** | | | | | |
| A3.1  **#38** | Are appropriate drills being conducted to periodically test and refine the effectiveness of the Emergency Response Plan (ERP)? | **O** | **D** | **I** | **Total** |
|  |  |  | **5** | **5** | **10** |
|  |  | **0** | **0-5** | **0-5** | **/10** |
| **Intent: While holding a drill as a training exercise is very useful, the main benefit comes from adjusting the future emergency response rather than just checking it.** | | | | | |
| **D -** If an emergency response drill, such as a general fire/evacuation drill, has been conducted in the last 12 months, award 2 points.  If drills have been conducted to test at least one other scenario, such as injury, confined space rescue or missing worker, award a further 1 point. Note that if the company work from heights and/or over/on water and/or has confined spaces that are entered at least annually, then they must perform all applicable rescue drills to be awarded this point, even if they have performed other scenarios.  If results of drills are reviewed and the ERP amended as necessary award a further 2 points.  Proof of review may include meeting minutes or formal reports to management, workers, JOHSC, etc.  I – Award up to 5 points for positive % responses from interviewed managers, supervisors and workers being aware of the learnings from emergency drills. If no drills have been held, score zero interview points. | | | | | |
| Audit Note: | | | | | | |
| D – Documentation reviewed showed that a fire drill was completed at the COMPANY Area office on August 31, 2016. **(2/2 points)**  D – Documentation reviewed showed that an additional earthquake drill was completed at the COMPANY Area office on October 20, 2016 where workers went under desks and tables for one minute before evacuating the building. **(1/1 point)**  D – Documentation showing the review of the fire drill and earthquake drill was available for review. An email was sent to all staff from the lead emergency warden identifying strengths and weaknesses of the evacuation. Areas for improvement included remembering to bring personal items with you when leaving the building, confusion with the sound of the building alarm vs. a car alarm and two workers who were out of the office, but did not show as being out on the sign in / sign out board. **(2/2 points)**  **5/5 documentation points awarded.**  I – 17/17 (100%) positive interview responses were received when all employees were asked if they were made aware of any learnings from emergency response drills held. Positive responses included confusion of the building alarm, which sounded like a car alarm causing one person not to evacuate, people not signing out when they left the building and were not at the muster point, the emergency kit didn’t make it out to the muster point.  **5/5 interview points awarded for 100% positive interview responses.** | | | | | | |
| Recommendations and Resources: | | | | | | |
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| **A4. Worker Input to Adjustments** | | | | | |
| A4.1  **#39** | Is the company's safety program structured to involve employee/ contractor representatives in the regular review of the safety program with recommendations to management? | **O** | **D** | **I** | **Total** |
|  |  |  | **5** | **5** | **10** |
|  |  | **0** | **0-5** | **0-5** | **/10** |
| **Intent: The program needs a mechanism to allow those affected by the program to have input into the evolution of the program. This could range from suggestion boxes (that are used), JOHSC, open emails, annual formal meetings with contractors. This shows a positive culture with worker engagement via feedback and company follow-through/response.** | | | | | |
| **D -** Award up to 5 points based on the existence of a mechanism to involve workers and/or sub-contractors in the regular review of the safety program.  Positive evidence may include, but is not limited to:   * Terms of reference of a compliant JOHSC or Representative where required by regulation * an absent or non-compliant JOHSC or Representative where one is required by regulation is a negative finding * Meeting minutes from multi-company committees involving sub-contractors (only where such committees exist) showing program review * meetings that do not involve program review content are not positive findings * Emails or other communications * Safety Manual sections defining program review * Worker participation in performing inspections and investigations, etc.   **I -** Award up to 5 points based on the % of interviewed managers, supervisors and workers reporting how workers or contractors can effectively make changes to the company system if necessary. | | | | | |
| Audit Note: | | | | | | |
| D – The COMPANY JOHSC terms of reference show that the functions of the committee include:   * Consulting with workers on issues related to occupational health and safety and occupational environment. * Make recommendations for the improvement of the occupational health and safety of workers and compliance with the regulations, and monitor their effectiveness. * Work with management and employees to identify, develop, and improve practices and policies that contribute to building a robust safety culture.   Documentation evidence of worker involvement in regular review of the safety program included emails from workers to JOHSC members voicing concerns as well as worker participation in incident investigations and workplace inspections.  **5/5 documentation points awarded.**  I – 17/17 (100%) positive interview responses were received when all employees were asked about how workers were involved in the revisions of the SMS. Positive responses included workers taking their ideas to their supervisor or JOHSC member. From there the suggestions would be tabled at a JOHSC meeting and from there would be forwarded on to management and be considered for the next revision of the SMS.  **5/5 interview points awarded for 100% positive interview responses.** | | | | | | |
| Recommendations and Resources: | | | | | | |
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| **A5. Performance Management** | | | | | |
| A5.1  **#40** | Are individual responsibilities and accountabilities supported by regular review and recognition of performance towards safety goals, targets, and expectations? | **O** | **D** | **I** | **Total** |
|  |  |  | **3** | **7** | **10** |
|  |  | **0** | **0,3** | **0-7** | **/10** |
| **Intent: Leadership should be demonstrating and reinforcing individual accountability for safety performance, goals and expectations. This should be a two-way communication process in a one-on-one setting and is formal, documented, structured and scheduled.** | | | | | |
| **D -** If the company has a mechanism for formally reviewing personal safety performance, award 3 points.  There may be different programs for different levels or work units in the company, especially where different unions have involvement. There is no requirement that the programs be uniform across the organization. This topic deals with the results of assessments, rather than the performance of assessments. Disciplinary processes for enforcing the use of engineering, administrative and PPE controls must be included.  **NOTE:** **This question specifically prohibits records of completed discipline or reward from being examined. Only policy documents or blank forms are in scope.**  **I -** Award up to 7 points based on % of interviewed managers and supervisors being able to describe a functioning system. | | | | | |
| Audit Note: | | | | | | |
| D – The COMPANY has a progressive discipline policy, which is found in section 3.7 of the SMS manual. The policy shows 3 step progressive discipline. The first step is a verbal warning, the second step is a written warning and the third step being disciplinary action. Policy includes disciplinary action being taken as a result of a violation of occupational health and safety requirements. The organization does not have a documented program in place to recognize over achievers.  **3/3 documentation points awarded as organization has a system for disciplinary action, but not for recognizing over achievers. (50% threshold)**  I – 3/3 (100%) positive interview responses were received when supervisors and managers were asked about how a functioning system to manage over and under achievers. Positive responses for managing over achievers included going out of their way to thank them and making sure that they are not stressed, fatigued or working too many hours. Positive responses for managing under achievers included increased performance monitoring and evaluation against expectations, have a discussion with worker and create a plan for performance management. If poor performance continues, the next step would be a written warning and the next step would be disciplinary action. Those interviewed also indicated that an employee could be immediately terminated for theft.  **7/7 interview points awarded for 100% positive interview responses.** | | | | | | |
| Recommendations and Resources: | | | | | | |
| Continual Improvement Suggestion: The organization should consider implementing regular performance reviews for all staff. Results of these assessments should be used to recognize over achievers within the organization. | | | | | | |

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| **A. Adjusting for Better Work –Scoring Summary** | | | | | |
|  | **Awarded** | **Available** | **N/A** | **Available – N/A** | **% awarded** |
| **Total** | **56** | **60** |  | **60** | **93%**  **Min 50%** |

| **I. INJURY MANAGEMENT / RETURN TO WORK PROGRAMS (OPTIONAL)** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **I1. Return to Work Policy, Management and Leadership** | | | | | |
| I1.1 | Is there a corporate policy outlining the company’s commitment to the Injury Management (IM)/Return-to-Work (RTW) Programs? | **O** | **D** | **I** | **Total** |
|  |  | **10** | **20** |  | **30** |
|  |  | **0,10** | **0,20** | **0** | **/30** |
| **O -** If the company IM/RTW policy is conspicuously posted or otherwise made available to workers in physical or electronic format, award 10 points.  Possible methods may include handouts, manuals or reference materials as well as physical or electronic posting.  **D -** If the document includes an outline of the intent of the program, award 10 points.  If the document outlines the objectives of the program, award 10 points. | | | | | |
| **If this whole element is not applicable, leave all scores blank, and do not enter anything in scoring tables at the end of the Element** | | | | | |
| Audit Note: | | | | | |
| O – Pamphlets outlining the COMPANY IM/RTW program were found hanging on the safety posting board in the Area office hallway. An electronic copy of the IM/RTW program was found electronically in the COMPANY SMS manual, which was accessible by all employees on a central computer drive.  **10/10 observation points awarded.**  D – Intent of IM/RTW program is explained in the first paragraph of element 8 of the COMPANY SMS. Explanation in the manual shows that the intent of program is “minimizing the human and financial cost of injury and disability by developing an individualized, safe and timely process of rehabilitating and reintegrating employees back to meaningful and productive work”. **(10/10 points)**  D – Objectives of the IM/RTW program are found in section 8.1 of the COMPANY SMS. Examples of objectives include providing a process for returning to regular work, having formal procedures for injury and disability management while taking an individual approach to needs of employee, considering the welfare of the employee first, decreasing total lost days, reducing premium costs and having an increased awareness of the disability program. **(10/10 points)**  **20/20 documentation points awarded.** | | | | | |
| Recommendation: | | | | | |
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| I1.2 | Is there a written IM/RTW program with defined roles and responsibilities for all relevant groups? | **O** | **D** | **I** | **Total** |
|  |  |  | **10** | **10** | **20** |
|  |  | **0** | **0,10** | **0-10** | **/20** |
| **D -** If there is a written program containing responsibilities for at least the following groups, award 10 points:   * OHS personnel; * Human resources department; * Medical professional; * WCB case management; * Employee assistance program; * Employee representation (e.g. union); * Senior management representation; and * Workers (i.e. potential users of the IM/RTW program).   Depending on the company structure, several responsibilities may be combined into a single person (i.e. senior management, OHS and HR may be covered by an owner). This is acceptable for the purpose of the question. The responsibilities can exist in any company program/policy/procedural document, not necessarily in an IM/RTW-specific document. Examples include but are not limited to JSB’s and job descriptions.  Documenting the responsibilities in a record document such as meeting minutes or a report is not sufficiently significant or directive to be awarded the points.  **I -** Award up to 10 points based on the % of positive responses of interviewed representatives of groups understanding their responsibilities. | | | | | |
| Audit Note: | | | | | |
| D – Roles and responsibilities for the IM/RTW program are found in section 8.2.1 of the COMPANY SMS. Written roles and responsibilities are in place for the CEO, IM Coordinator, Injured or Ill Employee, Doctor or Medical Practitioner, Insurance Providers, Supervisors, Management and the JOHSC.  **10/10 documentation points awarded.**  I – 3/3 (100%) positive interview responses were received when those with IM/RTW program responsibilities were asked about their responsibilities. Responses reflected duties outlined in the COMPANY SMS. Please note that one of the supervisors interviewed is also the IM/RTW coordinator.  **10/10 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendation: | | | | | |
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| I1.3 | Are case progressions and outcomes tracked? | **O** | **D** | **I** | **Total** |
|  |  |  | **N/A** |  | **0** |
|  |  | **0** | **0-10** | **0** | **/10** |
| **D -** Award up to 5 points based on % of case files showing progress review.  Progress review may include, but is not necessarily limited to:   * Injured worker contact; * Results of medical assessment; * Performance on alternate or modified duty program; and * Modification of RTW plan.   Award up to 5 points based on % of case files showing outcome review.  Outcome review may include, but is not necessarily limited to:   * Duration of short and long term injury; * WSBC claim cost; and * End results of case.   If there are no case files in the scope of the audit, score this question as ‘N/A’ and deduct 10 points from the total. | | | | | |
| **If this question is not applicable (but the element as a whole is applicable) leave the score blank and add ‘10’ to the ‘Not Applicable’ cell at the end of the element.** | | | | | |
| Audit Note: | | | | | |
| **Information gained during the audit from interviews and observations indicated that there were no cases of the program needing to be used. Therefore there were no case files available for review from within the audit year. Therefore this question and all other questions about case records are not applicable (N/A).** | | | | | |
| Recommendation: | | | | | |
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| I1.4 | Is there a process to implement the opportunities for improvement identified through the analysis of program outcomes? | **O** | **D** | **I** | **Total** |
|  |  |  | **10** | **5** | **15** |
|  |  | **0** | **0,10** | **0,5** | **/15** |
| **D -** If there is a process to review case files for opportunities for improvement to the IM/RTW system, award 5 points.  If the process involves multiple groups (see I1.2) in the process, award 5 points.  **I -** If at least 70% of interviewed group members can describe the review process, award 5 points.  This question is to address opportunities for improvement in the system, rather than in individual cases.  Examples of opportunities for improvement would include but are not limited to items such as:   * Modifying a form to be sent to a doctor for increased clarity and options ; * Changing the default planned contact frequency for absent workers; and * Changing the default progress review frequency for workers present at work on an IM plan.   It is a positive finding if the company reviews files for system improvements, but finds no practicable opportunities. | | | | | |
| Audit Note: | | | | | |
| D – Improvement process for the IM/RTW program is described under specific responsibilities found in section 8.2.1. Responsibilities for improvement process include:   * **CEO** - Review all RTW/SAW plans with IM Coordinator, conducting an annual review and update of the IM/RTW program with the JOHSC, and annually review and update the manual. * **IM Coordinator** - Duty to act as the point of contact for all stakeholders. * **JOHSC** - Work with the IM Coordinator in the ongoing analysis and review of the program and to develop improvement action plans. **(5/5 points)**   D - Improvement process for the IM/RTW program described under specific responsibilities found in section 8.2.1. Responsibilities are written for the CEO, IM Coordinator and the JOHSC. **(5/5 points)**  **10/10 documentation points awarded.**  I – 2/2 (100%) positive interview responses were received when the manager and IM coordinator were asked about review and improvements of the IM/RTW program. Positive responses included performing an annual review of the program which has included the addition of information about using a 3rd party adjudicator to assist with claims.  **5/5 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendation: | | | | | |
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| --- | --- | --- | --- | --- | --- |
| I1.5 | Do case records support that identified opportunities for system improvement are being implemented? | **O** | **D** | **I** | **Total** |
|  |  |  | **N/A** | **N/A** | **0** |
|  |  | **0** | **0-10** | **0,5** | **/15** |
| **D -** Award up to 10 points based on % of case files having documentation indicating program review occurred.  **I -** If at least 70% of group members can describe examples of program improvement based on reviews, award 5 points.  If there are no cases, or no cases resulting in system improvement, score this question as ‘N/A’ and deduct 15 points from the total. | | | | | |
| **If this question is not applicable (but the element as a whole is applicable) leave the score blank and add ‘10’ to the ‘Not Applicable’ cell at the end of the element.** | | | | | |
| Audit Note: | | | | | |
| **No case files were available for review from within the audit year. Question is not applicable (N/A).** | | | | | |
| Recommendation: | | | | | |
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| **Scoring Summary – I1** | | | | | |
|  | **Awarded** | **Available** | **N/A** | **Available – N/A** | **% awarded** |
| **I1. Policy, Management and Leadership** | **65** | **90** | **25** | **65** | **100%**  **Min 50%** |

| **I2. Resources, Education and Training** | | | | | |
| --- | --- | --- | --- | --- | --- |
| I2.1 | Have the duties of an IM/RTW coordinator been assigned and do the duties outline the authority to establish and implement RTW plans? | **O** | **D** | **I** | **Total** |
|  |  |  | **10** | **10** | **20** |
|  |  | **0** | **0,10** | **0,10** | **/20** |
| **D -** If the IM/RTW program or other documentation assigns program coordination duties, award 10 points.  **I -** If at least 70% of interviewed workers, supervisors, managers are aware of the program coordinator’s duties, award 10 points.  The coordinator may be a committee, a lead or technical member of a committee or an individual. Each site or division may have its own coordinator. | | | | | |
| Audit Note: | | | | | |
| D – Responsibilities of the IM coordinator were found in section 8.2.1 of the COMPANY SMS. As specific responsibilities were lengthy and spanned over 2 pages of the SMS, some examples of responsibilities of the IM coordinator includes a duty to work with the injured worker and coordinate all participants in the return-to-work plan, such as supervisors, physio/occupational therapists, benefit providers, ergonomic specialists, job analysis consultants, etc. Also the IM coordinator is to document and monitor all important elements of each case and maintain current and accurate system of employee case files.  **10/10 documentation points awarded.**  I – 17/17 (100%) positive interview responses were received when all employees were asked if they were aware of the IM coordinator’s duties. Examples of positive responses included being the contact person for an injured worker, coordinate with WSBC, make a plan with doctor and supervisor, adjust plans as injured worker recovers, discussing benefit coverage, handling IM related paperwork, works to reduce claims costs and keeping information confidential.  **10/10 points awarded for 100% positive interview responses.** | | | | | |
| Recommendation: | | | | | |
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| --- | --- | --- | --- | --- | --- |
| I2.2 | Does the IM/RTW coordinator have appropriate education and/or training for their duties? | **O** | **D** | **I** | **Total** |
|  |  |  | **0** | **15** | **15** |
|  |  | **0** | **0,15** | **0,15** | **/30** |
| **D -** If records demonstrate appropriate training for the IM/RTW coordinator with respect to their role in the program, award 15 points.  Records may include attending courses, seminars, presentations or formal education.  **I -** If the IM/RTW coordinator, when interviewed, understands their role in the program and is aware of relevant legislation award 15 points.  The IM/RTW coordinator needs to at least know where to access information on:   * Human Rights Act; * BC Human Rights Code; * Workers Compensation Act; * Freedom of Information and Protection of Privacy Act; and * (PIPA) Personal Information Privacy Act (SBC 2003, Chapter 63).   If the IM/RTW coordinator is a contract agency, review agency publications for evidence and score the interview portion as ‘N/A’. | | | | | |
| Audit Note: | | | | | |
| D – The present IM coordinator does not have specific documented training in IM/RTW coordinator duties. Organization also indicated that they also use Disability Management Institute (DMI) as a third party adjudicator.  **0/15 documentation points awarded.**  I – 1/1 (100%) positive interview responses were received when the IM/RTW coordinator was asked about their role in the program. Positive responses included referencing duties found included with their duties in the SMS as well as referencing the Freedom of Information and Protection of Privacy Act, Personal Information Privacy Act, Employment Standards Act as well as the Privacy Policy and only discussing personal information with those needed. IM coordinator also indicated that a third party adjudicator is used in the event of injuries.  **15/15 interview points awarded for 100% positive interview responses.** | | | | | |
| Recommendation: | | | | | |
| Recommendation – The organization should consider having the IM/RTW coordinator complete IM/RTW program training. Seminars are offered for free through the BC Employers Advisers office. This training is expected to be available online in late 2017.  Continual Improvement Suggestion – The company should update the manual to reference the current IM/RTW coordinator’s position. | | | | | |

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| --- | --- | --- | --- | --- | --- |
| I2.3 | Does the company have policies and procedures for IM/RTW case record security and retention periods? | **O** | **D** | **I** | **Total** |
|  |  |  | **10** |  | **10** |
|  |  | **0** | **0,10** | **0** | **/10** |
| **D -** If policies and procedures for record retention and security exist and they meet legal and regulatory requirements, award 10 points. | | | | | |
| Audit Note: | | | | | |
| D – Procedures for document retention for the IM/RTW program are found in section 8.2.1 of the SMS under responsibilities of the IM coordinator. I/M program shows that employee medical files must be kept secured in a separate file and retained for 7 years following the employee’s termination.  **10/10 documentation points awarded.** | | | | | |
| Recommendation: | | | | | |
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| I2.4 | Have relevant groups been trained in the IM/RTW policies, procedures (including Stay-at-Work) and privacy issues? | **O** | **D** | **I** | **Total** |
|  |  |  |  | **10** | **10** |
|  |  | **0** | **0** | **0-10** | **/10** |
| **I -** Award up to 10 points based on the % of positive responses of interviewed groups having appropriate knowledge and education on their role in the IM/RTW program, including Stay-At-Work and privacy issues.  Interviewed groups include:   * Managers; * Supervisors; * Human resources personnel; * OHS personnel; * Committee members; and * Union representatives. | | | | | |
| Audit Note: | | | | | |
| I - 100% positive interview responses were received when supervisors and managers and were asked about their role in the IM/RTW program. Positive responses included working together with the IM coordinator to make a plan with an injured worker, determining how long the injured worker is going to be off, maintaining regular contact with an injured worker and completing program documentation.  **10/10 points awarded for 100% positive interview responses.** | | | | | |
| Recommendation: | | | | | |
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| **Scoring Summary – I2** | | | | | |
|  | **Awarded** | **Available** | **N/A** | **Available – N/A** | **% awarded** |
| **I2. Resources, Education and Training** | **55** | **70** |  | **70** | **79%**  **Min 50%** |

| **I3. Stay-at-Work and Return-to-Work** | | | | | |
| --- | --- | --- | --- | --- | --- |
| I3.1 | Does the company have a written process (series of steps) for dealing with all IM/RTW cases and is this posted or made available to employees? | **O** | **D** | **I** | **Total** |
|  |  | **10** | **20** |  | **30** |
|  |  | **0,10** | **0-20** | **0** | **/30** |
| **O -** If the overview of steps in the IM/RTW process is conspicuously posted or otherwise made available to workers in physical or electronic format, award 10 points.  Possible methods may include handouts, manuals or reference materials as well as physical or electronic posting.  **D -** Award up to 20 points based on the % completeness of the IM/RTW process.  It needs to include a summarized step-by-step instruction for injury management. For example:   1. 1st response to injury; 2. Worker reporting requirements; 3. Medical assessment; 4. Contact with worker; 5. Employer reporting requirement to WSBC; 6. Claims management; 7. Identification of available alternate or modified duties; and 8. Process to develop IM/RTW plan | | | | | |
| Audit Note: | | | | | |
| O – Brochures for the IM/RTW program were found available on the safety bulletin board in the Area office. All employees have access to the IM/RTW program electronically through a central drive known internally as “N: Drive”.  **10/10 observation points awarded.**  D – Summarized step by step instructions for the IM/RTW process is found in the IM/RTW brochure available to employees on the safety board. A longer, much more detailed version of steps of the program is found in the SMS manual in section 8.2.2. Additional information is found under specific responsibilities of each person involved in the IM/RTW process in section 8.2.1 of the COMPANY SMS.  **20/20 documentation points awarded.** | | | | | |
| Recommendation: | | | | | |
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| I3.2 | Does the company have a “Stay-at-Work” initiative as part of their IM/RTW program? | **O** | **D** | **I** | **Total** |
|  |  |  | **15** | **10** | **25** |
|  |  | **0** | **0,15** | **0-10** | **/25** |
| **D -** If the documentation indicates that the program applies to ‘Stay-at-Work’ cases, award 15 points.  **I -** Award up to 10 points based on the % of interviewed supervisors describing how they use Stay-at-Work opportunities to avoid time loss. | | | | | |
| Audit Note: | | | | | |
| D – Stay at Work (SAW) is referenced in every part of the IM/RTW program found in section 8 of the SMS manual. The purpose of the program found in section 8.1 also indicates that the program applies to employees who have been limited by injury or illness on or off the job.  **15/15 documentation points awarded.**  I – 2/2 (100%) positive interview responses were received when supervisors were asked about how they use the stay at work program to avoid time loss. Positive responses noted that much of the work done in the COMPANY office would be consistent with tasks offered on the list of tasks in the SMS for workers on modified duty, however supervisors mentioned that they could have someone work at home in the event that they needed to work in a reclined position or had mobility issues, as well as assist someone in another department if they were not able to carry out their normal duties.  **10/10 interview points awarded for 100% positive responses.** | | | | | |
| Recommendation: | | | | | |
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| I3.3 | Does the company have alternate duties identified in writing and are supervisors aware that they can offer modified duties when required? | **O** | **D** | **I** | **Total** |
|  |  |  | **10** | **10** | **20** |
|  |  | **0** | **0,10** | **0-10** | **/20** |
| **D -** If alternate duties are identified in advance, award 10 points.  Alternate duties may include a range of standard opportunities, a list of functionally acceptable restrictions on workers or a statement that alternate duties have been researched and none exist in the company. If no duties are possible, the company needs to justify this conclusion in order to be awarded the points.  **I -** Award up to 10 points based on the % of supervisors understanding how they can offer or arrange modified or alternate duties to workers in both Stay-at-Work and Return-to-Work situations. | | | | | |
| Audit Note: | | | | | |
| D – A list of alternate duties available for employees involved in the IM/RTW program are found in section 8.2.2 under Case Management. The list consists mainly of administrative tasks.  **10/10 documentation points awarded.**  I – 2/2 (100%) positive interview responses were received when supervisors were asked about how they offer modified duties to an injured worker. Positive responses included coordinating with the IM coordinator, discuss the doctors restrictions, limitations of the person, assess if they are able to complete field work or not, identify tasks that they are able, complete necessary paperwork, maintain in constant contact with injured worker and IM coordinator and get regular updates on the injured worker’s progress to be able to modify the plan until they return to regular duties.  **10/10 interview points awarded for 100% positive responses.** | | | | | |
| Recommendation: | | | | | |
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| I3.4 | Does the company have a procedure for initial and ongoing contact with an absent injured worker? | **O** | **D** | **I** | **Total** |
|  |  |  | **0** | **5** | **5** |
|  |  | **0** | **0,10** | **0-5** | **/15** |
| **D -** If the company has a procedure for initial and ongoing contact with absent injured workers, including timelines or methods for developing case-specific timelines, award 10 points.  **I -** Award up to 5 points based on % of interviewed supervisors, IM/RTW coordinator or other contact personnel used in the company system being able to correctly describe the initial and ongoing contact protocol. | | | | | |
| Audit Note: | | | | | |
| D – There are no specific timelines found for initial contact with an injured or ill employee. Responsibilities for injured or ill employee found in section 8.2.1 shows that the employee must report the injury or illness to their supervisor as soon as possible, however does not indicate that the company is to initially contact the employee or at what frequency. The only information found in the program for ongoing contact with an absent employee is that the IM coordinator should follow up on a regular basis. Program references a target date being set for RTW, not return to regular duties and indicates that weekly reviews and updates will be made to the RTW plan based on the employee’s progress while in the program.  **0/10 documentation points awarded.**  I – 2/2 (100%) positive interview responses were received when supervisors and IM coordinator were asked about initial and ongoing contact with an injured worker. Positive responses included the employee reporting the injury to them, keeping in contact with them on the day of while seeking treatment, keeping the injured employee informed of what’s going on at work, having employee attend regular meetings to stay a part of the workplace, setting aside time to speak to them regularly to monitor progress and stay informed about when they can return to work. Please note that one of the supervisors interviewed is also the IM/RTW coordinator.  **5/5 points awarded for 100% positive interview responses.** | | | | | |
| Recommendation: | | | | | |
| Recommendation – The organization should revise the IM/RTW program to address specific responsibilities for ongoing contact with absent injured or ill employees. Specific timelines for ongoing contact with absent employees should also be established. | | | | | |

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| I3.5 | Do case records support that the procedure for initial and ongoing contact with absent workers is being used? | **O** | **D** | **I** | **Total** |
|  |  |  | **N/A** |  | **0** |
|  |  | **0** | **0-5** | **0** | **/5** |
| **D -** Award up to 5 points based on the % of case files showing initial and ongoing contact being followed.  If there are no case files, score the question as ‘N/A’ and adjust the score accordingly. | | | | | |
| **If this question is not applicable (but the element as a whole is applicable) leave the score blank and add ‘5’ to the ‘Not Applicable’ cell at the end of the element.** | | | | | |
| Audit Note: | | | | | |
| **No case files were available for review from within the audit year. Question is not applicable (N/A).** | | | | | |
| Recommendation: | | | | | |
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| I3.6 | Is there a procedure to develop, approve, monitor and modify case specific IM/RTW plans? | **O** | **D** | **I** | **Total** |
|  |  |  | **10** | **10** | **20** |
|  |  | **0** | **0,10** | **0-10** | **/20** |
| **D -** If the company has a procedure to develop, approve, monitor and modify IM/RTW case plans, award 10 points. The process must include a mechanism to set and modify plan end-dates.  **I -** Award up to 10 points based on the % of interviewed IM/RTW Coordinator (and any other company personnel involved in case plan decisions) being able to describe the company process to develop, approve, monitor and modify IM/RTW case plans, including the mechanism for setting and modifying end-dates. | | | | | |
| Audit Note: | | | | | |
| D – Procedures to develop, approve and modify IM/RTW case plans are found in step 3 of the RTW/SAW program in section 8.2.2. Step 3 shows that the IM/RTW plan will be created with the IM Coordinator based on the ability assessment report completed by the doctor with input from the employee and their supervisor. The HR manager consulting with insurance providers is also referenced, as well as a target end date being set for RTW and weekly reviews and updates will be made to the RTW plan based on the employee’s progress while in the program.  **10/10 documentation points awarded.**  I – 1/1 (100%) positive interview responses were received when the IM/RTW coordinator was asked to describe the process for IM/RTW plans. Positive responses included discussing alternate duties available with supervisor and worker, establish timelines, expectations and limitations set by medical professionals, create a RTW plan, and update the plan as per updates on worker’s progress from medical professional until the worker is cleared to return to regular duties.  **10/10 interview points awarded for 100% positive responses.** | | | | | |
| Recommendation: | | | | | |
|  | | | | | |
| I3.7 | Do case records support that the procedure to develop, approve, monitor and modify case specific IM/RTW plans is being followed? | **O** | **D** | **I** | **Total** |
|  |  |  | **N/A** |  | **0** |
|  |  | **0** | **0-10** | **0** | **/10** |
| **D -** Award up to 10 points based on the % of IM/RTW case files showing proper development, approval, monitoring and if necessary modification.  If there are no case files, score the question as ‘N/A’ and adjust the score accordingly. | | | | | |
| **If this question is not applicable (but the element as a whole is applicable) leave the score blank and add ‘10’ to the ‘Not Applicable’ cell at the end of the element.** | | | | | |
| Audit Note: | | | | | |
| **No case files were available for review from within the audit year. Question is not applicable (N/A).** | | | | | |
| Recommendation: | | | | | |
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| --- | --- | --- | --- | --- | --- |
| I3.8 | Do case records support that all IM/RTW plans have planned progress review dates and end dates, where practical? | **O** | **D** | **I** | **Total** |
|  |  |  | **N/A** |  | **0** |
|  |  | **0** | **0-15** | **0** | **/15** |
| **D -** Award up to 5 points based on the % of IM/RTW case files showing a planned progress review date.  Award up to 10 points based on the % of IM/RTW case files showing a planned end date, where such a date can be medically determined or estimated.  If there are no case files, score the question as ‘N/A’ and adjust the score accordingly.  Not all case files can have a planned end date, since some case progressions are not reasonably medically determinable. These cases should be excluded from the sample for the end date portion of the question.  If all case files have end dates that are not able to be medically determined, score the end date portion of the question as ‘N/A’ and adjust the score accordingly. | | | | | |
| **If this question is not applicable (but the element as a whole is applicable) leave the score blank and add ‘15’ to the ‘Not Applicable’ cell at the end of the element.** | | | | | |
| Audit Note: | | | | | |
| **No case files were available for review from within the audit year. Question is not applicable (N/A).** | | | | | |
| Recommendation: | | | | | |
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| --- | --- | --- | --- | --- | --- |
| I3.9 | Are workers and supervisors knowledgeable of the reporting process and requirements under workers compensation legislation? | **O** | **D** | **I** | **Total** |
|  |  |  |  | **9** | **9** |
|  |  | **0** | **0** | **0-10** | **/10** |
| **I -** Award up to 3 points based on the % of interviewed supervisors able to describe their reporting requirements to authorities. If the company program has supervisors reporting information to other company parties for submission to authorities, also include those other parties in the interview sample.  Award up to 7 points based on % of interviewed workers having correct knowledge of reporting requirements. Reporting requirements must include both the obligation to report an injury and the obligation to report seeking medical aid for a work-related reason. | | | | | |
| Audit Note: | | | | | |
| I – 2/2 (100%) positive interview responses were received when supervisors were asked about their requirements to report injuries to WSBC. **(3/3 points)**  I - 12/14 (86%) positive interview responses were received when workers were asked about their injury reporting requirements. Positive responses included workers indicating that they report everything and allow their supervisor to determine the next step as well as reporting anything bigger than a papercut or anything requiring first aid. Negative worker responses included indicating that only injuries that would prevent them from continuing or to work would be reported or only injuries that could result in long term health effects would be reported. **(6/7 points)**  **9/10 interview points awarded for positive interview responses.** | | | | | |
| Recommendation: | | | | | |
| Recommendation: The organization should review the injury reporting expectations found in the COMPANY SMS with staff. | | | | | |

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| I3.10 | Do case records support that the different groups within the company worked together to support the goals of the IM/RTW case and program? | **O** | **D** | **I** | **Total** |
|  |  |  | **N/A** |  | **0** |
|  |  | **0** | **0-5** | **0** | **/5** |
| **D -** Award up to 5 points based on % of reviewed case plans that show a coordinated approach to case management.  A coordinated approach will be shown by an absence of conflicts and a presence of smooth interaction between:   * Employee benefit package (medical, extended healthcare plan, employee assistance plan); * OHS (incident reporting, training); * Claims management; and * Stay-at-Work / Return-to-Work program.   If there are no case files, score the question as ‘N/A’ and adjust the score accordingly. | | | | | |
| **If this question is not applicable (but the element as a whole is applicable) leave the score blank and add ‘5’ to the ‘Not Applicable’ cell at the end of the element.** | | | | | |
| Audit Note: | | | | | |
| **No case files were available for review. Question is not applicable (N/A).** | | | | | |
| Recommendation: | | | | | |
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| **Scoring Summary – I3** | | | | | |
|  | **Awarded** | **Available** | **N/A** | **Available – N/A** | **% awarded** |
| **I3. Stay at Work and Return to Work** | **109** | **155** | **35** | **120** | **91%**  **Min 50%** |

| **I4. Communications** | | | | | |
| --- | --- | --- | --- | --- | --- |
| I4.1 | Have IM/RTW policies and procedures been effectively communicated? | **O** | **D** | **I** | **Total** |
|  |  |  | **20** | **25** | **45** |
|  |  | **0** | **0,20** | **0-25** | **/45** |
| **D -** If IM/RTW policies and procedures have been communicated to all employees as evidenced by a systematic process to provide Injury Management/RTW information to the workforce, award 20 points.  **I -** Award up to 25 points based on % of interviews at all levels showing awareness of the company IM/RTW program. | | | | | |
| Audit Note: | | | | | |
| D – Review of the COMPANY orientation checklist shows that a review of the IM/RTW program is included as part of orientation. Review of content included in the mandatory annual SMS refresher training for 2016 shows that the IM/RTW program is reviewed annually by all employees.  **20/20 documentation points awarded.**  I – 17/17 (100%) positive interview responses were received when all employees were asked about awareness of the company program. Positive responses indicated that the IM/RTW program is reviewed at orientation and as part of the SMS annual refresher training online.  **25/25 interview points awarded for 88% positive interview responses.** | | | | | |
| Recommendation: | | | | | |
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| I4.2 | Does the employer actively promote the benefits of the IM/RTW Program? | **O** | **D** | **I** | **Total** |
|  |  | **15** |  |  | **15** |
|  |  | **0-15** | **0** | **0** | **/15** |
| **O -** Award up to 15 points based on % positive evidence of posting or making information available to employees.  Promotion materials should be posted at strategic locations throughout the company such as bulletin boards, lunch rooms and circulation of pamphlets. If there is no opportunity to post information for workers, determine if the employer has distributed printed information to workers. The promotion material must convey the benefits of the program rather than just state that the program exists. | | | | | |
| Audit Note: | | | | | |
| O – IM/RTW brochures were found available on the safety posting board. Brochure includes an explanation of the benefits of the IM/RTW program. An electronic copy of the brochure is also available electronically on the N: drive where all employees can access it.  **15/15 observation points awarded.** | | | | | |
| Recommendation: | | | | | |
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| I4.3 | Are new employees provided with information on the IM/RTW Program at a new employee orientation? | **O or D** | **I** | **Total** |
|  |  | **20** |  | **20** |
|  |  | **0,20** | **0** | **/20** |
| **O -** If workers are observed to be given IM/RTW materials during orientation, award 20 points.  **D -** If an orientation session was not observed, award 20 points if IM/RTW materials were included in orientation packages or templates.  Note: This question is an observation OR a documentation question, not both. | | | | |
| Audit Note: | | | | |
| D – The COMPANY orientation checklist reviewed showed that the IM/RTW program was covered as part of the orientation. A review of the COMPANY orientation package shows that a brochure for the IM/RTW program is given to employees as part of orientation.  **20/20 documentation points awarded.** | | | | |
| Recommendation: | | | | |
|  | | | | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| I4.4 | Does that company have a process and written information package prepared to advise medical practitioners of the company’s IM/RTW initiatives? | **O** | **D** | **I** | **Total** |
|  |  |  | **20** |  | **20** |
|  |  | **0** | **0-20** | **0** | **/20** |
| **D -** If the company has a process to communicate the existence of the company IM/RTW plan to medical practitioners, award 10 points.  Award up to 10 points based on the completeness of the package, form or template ready to send to medical practitioners with an injured worker.  Examples of documents included in the package are:   * Description of the company’s IM/RTW program; * List of available alternate or modified duties; * Company cover letter to medical practitioners; and   Physician report template. | | | | | |
| Audit Note: | | | | | |
| D – A doctor’s package was available for review at the time of the audit for a medical professional to complete when seeing an injured worker. The package contains a letter to the doctor describing the program, alternate duties available, an ability assessment, the RTW plan and a page detailing the IM/RTW program and the benefits of the IM/RTW program.  **20/20 documentation points awarded.** | | | | | |
| Recommendation: | | | | | |
|  | | | | | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Scoring Summary – I4** | | | | | |
|  | **Awarded** | **Available** | **N/A** | **Available – N/A** | **% awarded** |
| **I4. Communications** | **100** | **100** |  | **100** | **100%**  **Min 50%** |

# Key Definitions

| **Term** | **Definition** |
| --- | --- |
| **Company** | The organization being audited.  The company may have clients, licensees and/or Prime Contractors above them in the responsibility structure. To those organizations, the company would be a contractor (or subcontractor).  The company may have contractors and sub-contractors below them in the responsibility structure. To those organizations, the company would be a client, Prime and/or licensee.  The audit report is to be about the company being audited and the areas that they have control over. The actions of a company under the audited company in the contractor chain only impact the audit report in how the audited company should be managing the activities, and not deal with issues that are internal to the contractor (i.e. failure of the subcontractor to maintain equipment is not a deficiency in the maintenance program of the company, but may be a weakness in contractor selection or oversight). Similarly, if the deficiencies that impact the company are caused by a company above them in the responsibility pyramid, they only impact the company audit is so far as the company has control over the issue (i.e. reporting needed road maintenance to the Prime is the maximum expectation if the company being audited has no road maintenance responsibility.) |
| **Contractor** | A company or a person other than an employee, that the company pays (including indirectly via a contractor chain) AND  is present on the company-controlled worksite.  Contractor, for the purposes of the audit, is a relative term that applies to an organizational level UNDER the company being audited. It is not an absolute term, since most companies are also contractors to the company above them in the responsibility pyramid.  Examples: a water taxi would not typically be a contractor since they are not on the company site.  A camp cook could be a contractor if the company operations include control of the camp, but would not be a contractor if the cook (or the company that the cook is employed by) has control over the camp.  A fuel delivery service would typically be a contractor if they are allowed unescorted on the company forestry site during off-hours.  External auditors are contractors. |
| **IOO** | A company with no more than one field worker other than IOO-exempt personnel, AND  no contractors other than IOO-exempt personnel AND  with no more than one office support person who does NOT supervise, direct or dispatch the field worker. |
| **IOO-Exempt Personnel** | One person of safety watch for an unlimited number of days per year per IOO.  An additional field employee for no more than 10 person-days per calendar year per IOO for vacation, relief or additional special project labour. |
| **Multi-person IOO** | A company with no more than 3 field workers other than IOO-exempt personnel AND  no contractors other than IOO-exempt personnel AND  with no more than one office support person who does NOT supervise, direct or dispatch any field workers AND  the up to 3 field workers are all self-contained and do not rely on each other for daily support.  A multi-person IOO may not exceed 4 field workers other than safety watch, including temporary workers, at any point in the year.  While a multi-person IOO can be awarded SAFE-certification, it is on a per-person basis rather than per-company and is therefore not COR-eligible. |
| **Visitor** | A person or company who is not paid by the company AND  is present on the company-controlled worksite and is never left unchaperoned on that worksite. |
| **Documentation only for Endorsement** | The company submits the required policy, procedure, standard or other guidance document for the applicable topic using a condensed tool. |
| **Young Worker** | Any worker, including a supervisor, under 25 years of age, regardless of their experience. For example a 23 year old worker with 6 years in the company is a young worker and still requires enhanced supervision until they are 25. |
| **New Worker** | means any worker who is   1. new to the workplace, 2. returning to a workplace where the hazards in that workplace have changed during the worker's absence, 3. affected by a change in the hazards of a workplace, or 4. relocated to a new workplace if the hazards in that workplace are different from the hazards in the worker's previous workplace; |

# Company Profile

Council Received

Stamp Here

Council Received

Stamp Here

Complete all fields – an incomplete NOAA cannot be processed

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Company’s audit due date: | | | | | | | | | **This form is a Pre-Audit NOAA** | | | | | | |  | | |
| **DATE** | | | | | | | | | **This form is a Post-Audit NOAA** | | | | | | |  | | |
| 1. **Type of Audit** – check all that apply (double-click each box to activate) | | | | | | | | | | | | | | | | | | |
|  | Certification | |  | | Student |  | Verification | | | |  | Administrative | | | | | | |
|  | Maintenance | |  | | Gap Analysis |  | IM/RTW | | | |  | Limited Scope | | | | | | |
|  | Recertification | |  | | Team  list members in sec I. |  | A.M.A.P. yr 1 | | | |  | Phased – part | | |  | | of |  |
|  | A.M.A.P. yr 2 | | | |
|  | Combined - Must use Joint NOAA | |  | |  |  | W.I.V.A. | | | |  | Targeted Operations  (SAFE Only – not COR) | | | | | | |
|  | Other: |  |  | | Version 4 |  | Internal | | | |  | External | | | | | | |
| 1. **Company Information** | | | | | | | | | | | | | | | | | | |
| Legal Company Name: | | | | | | | | | | Company Trade Name/*dba*: | | | | | | | | |
| COMPANY NAME | | | | | | | | | |  | | | | | | | | |
| WorkSafeBC account: | | | | | | | | | | SAFE Certification #: | | | | | | | | |
| XXXXX | | | | | | | | | | XXXXX | | | | | | | | |
| Address: | | | | | | | | | | City: | | Province: | | Postal Code: | | | | |
| XXXXX | | | | | | | | | | XXXXX | | XX | | XXX XXX | | | | |
| Company Contact: | | | | | | | | | | Position: | | | | | | | | |
| XXXX | | | | | | | | | | XXXX | | | | | | | | |
| Phone: | | | | | | | | | | Email: | | | | | | | | |
| XXX XXX XXXX | | | | | | | | | | XXXXXXX | | | | | | | | |
| 1. **Audit Period** | | | | | | | | | | | | | | | | | | |
|  | | | | **Start Date** | | | | **Date of last data collection** | | | | | **Report Submission Date** | | | | | |
| **Estimated** | | | | **XXXX** | | | | **XXXX** | | | | | **XXXX** | | | | | |
| **Actual** | | | | **XXXX** | | | | **XXXX** | | | | | **XXXX** | | | | | |

1. **High Risk Company Activity Types**

|  |  |  |  |
| --- | --- | --- | --- |
| Check all that apply | | | |
|  | Hiring Contractors |  | Creating a multi-employer workplace |
|  | Lockout |  | Camps and Remote Accommodations |
|  | Manual Tree Falling |  | Working near High Voltage Power Lines |
|  | Commercial Vehicles |  | High Hazard Materials |
|  | Heavy Equipment Operations |  | Working at Heights |
|  | Respiratory Protection |  | Combustible Dust |
|  | Hot Work |  | Confined Space |
|  | Having Young Workers (under age 25) |  | Working over or on Water |

1. **Personnel Count**

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Total personnel count per month for last 12 months:  (Total = owners + management + supervisors + workers + workers of dependent contractors) | | | | | | | | | | | | |
|  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| Year  (yyyy) | 2015 | 2016 | 2016 | 2016 | 2016 | 2016 | 2016 | 2016 | 2016 | 2016 | 2016 | 2016 |
| Month  (mmm) | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov |
| Count | x | x | x | x | x | x | x | x | x | x | x | x |
|  | | Attach an Organizational Chart or other description of the structure of the company. | | | | | | | | | | |

1. **Audit Sampling Plan (IM/RTW)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Injury Management not attempted in audit  **Scope of IM/RTW Records** | | | | | | | | | | | | **Number of case files in organization** | | | | | | **Number of cases sampled in audit** | | | | | |
| Since last audit | | | | |  | | | | | | | **0** | | | | | | **0** | | | | | |
| **RTW Minimum Sample Chart** | | | | | | | | | | | | | | | | | | | | | | | |
| **Cases** | 1 – 8 | 9 - 11 | | | | 12 - 13 | | | 14 - 15 | | | | 16 - 17 | | | 18 - 19 | | | | 20 - 23 | | | 24 - 27 |
| **Min #** | all | 8 | | | | 9 | | | 10 | | | | 11 | | | 12 | | | | 13 | | | 14 |
|  |  | | |  | | | |  | | |  | | | |  | | | |  | | |  | |
| **Cases** | 28 - 34 | | 35 - 44 | | | | 45 - 54 | | | 55 - 67 | | | | 68 - 80 | | | 81 - 100 | | | | >100 | | |
| **Min #** | 15 | | 16 | | | | 17 | | | 18 | | | | 19 | | | 20 | | | | 20% | | |

1. **Lead Auditor Information**

|  |  |
| --- | --- |
| Audit Completed by: | Auditor Number (or ‘Student’): |
| Lead: XXXX XXX | X-XXXX-XXX |
| Lead auditor email: XXXXXX | Lead auditor cell: XXX XXX XXXX |

1. **Company Representation**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Accompanied by Company Representative(s) / Hosts** | | | | | |
| Name: | XXX XXXX |  |  |  |  |
| Occupation: | XXXXX |  |  |  |  |

1. **Scope of audit**

| List all WorkSafeBC CUs, their fixed locations, and operating sites. Indicate if work activity is intended (pre-) and actually present in the audit.  If the company contact is unsure of their CUs or locations, please contact the BC Forest Safety Registrar.  Insert additional rows above the total line if necessary  Total interviews performed are automatically calculated with <CTRL-A><f9> (or when opening or printing) | | | | | | | | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **C U** | **LOCATION**  WSBC fixed location name or address  (list separately for each CU) | **SITE**  Audit site name  (if more than one site per location) | **COUNT** Total personnel at each site | Sites selected for visit | | | | | Number of personnel interviewed for current audit | | | | | | Scheduling for current audit | | |
| This year | 1 yr ago | 2 yrs ago | | 3 yrs ago | Pre-NOAA = *planned*  Post-NOAA = *actual* | | | | | | Auditor Initials | Start Date | End Date |
| XXXXXX | LOCATION |  | XX |  |  |  | |  | M | 1 | S | 2 | W | 14 | xx | xx-xxx | xx-xxx |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
|  |  |  |  |  |  |  | |  | M |  | S |  | W |  |  |  |  |
| Maximum count from table E on previous page: | | | 39 | Total interviews | | | 17 | | M | 1 | S | 2 | W | 14 |  |  |  |
| Minimum interviews required for count on line above based on table J on following pages: | | | 17 | Note: Min 80% worker interview target | | | | | | | | | | | | | |

|  |
| --- |
| Comments, notes, descriptions regarding sampling plan (pre- or post-): (Attach additional pages for proposals for and/or outcomes of special time frames, unique sampling protocols, etc. This space can be used on the post-audit form for justifying why a particular plan was not met. |
|  |
| Describe the overall scope (nature and type) of the company’s activities. Include reference to the company’s locations as they relate their WorkSafeBC Classification Unit(s) making mention of locations and sites included in this audit: |
|  |
| Locations visited (post audit only): |
|  |
| Equipment observed (post-audit only): |
|  |
| Occupations observed (post-audit only): |
|  |
| Observed company activities on day(s) of audit (post-audit only): |
|  |
| Interview sampling description and count (i.e. 2 owners, 1 mechanic, 3 buncher operators, 6 truckers, etc.) (post-audit only): |
| . |

1. **Minimum Interview Table**

The minimum number of interviews required for an audit is based on the annual monthly peak value for staff count in the 12 months before the audit. The staff count is equal to the total number of personnel in the company, including owners, management, supervisors, field personnel, office personnel, shop personnel and the total staff of dependent contractors. This applies whether they are permanent or temporary and counts each unique person rather than as full time equivalents. Two people each working half time count as 2 (not 1) staff.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Total Staff** | **Minimum Interviews** |  | **Total Staff** | **Minimum Interviews** |  | **Total Staff** | **Minimum Interviews** |
| <5 | all |  | 234-240 | 35 |  | 560 | 66 |
| 5 | 4 |  | 241-249 | 36 |  | 561-570 | 67 |
| 6-7 | 5 |  | 250-299 | 37 |  | 571-580 | 68 |
| 8 | 6 |  | 300-302 | 38 |  | 581-595 | 69 |
| 9 | 7 |  | 303-309 | 39 |  | 596-605 | 70 |
| 10-11 | 8 |  | 310-312 | 40 |  | 606-615 | 71 |
| 12-14 | 9 |  | 313-315 | 41 |  | 616-625 | 72 |
| 15-16 | 10 |  | 316-320 | 42 |  | 626-638 | 73 |
| 16-17 | 11 |  | 321-325 | 43 |  | 639-645 | 74 |
| 18-20 | 12 |  | 326-329 | 44 |  | 646-655 | 75 |
| 21-24 | 13 |  | 330-332 | 45 |  | 656-665 | 76 |
| 25-27 | 14 |  | 333-335 | 46 |  | 666-678 | 77 |
| 28-30 | 15 |  | 336-338 | 47 |  | 679-689 | 78 |
| 31-36 | 16 |  | 339-341 | 48 |  | 690-699 | 79 |
| 37-44 | 17 |  | 342-348 | 49 |  | 700-705 | 80 |
| 45-49 | 18 |  | 349-354 | 50 |  | 706-719 | 81 |
| 50-64 | 19 |  | 355-359 | 51 |  | 720-729 | 82 |
| 65-74 | 20 |  | 360-364 | 52 |  | 730-740 | 83 |
| 75-88 | 21 |  | 365-369 | 53 |  | 741-749 | 84 |
| 89-99 | 22 |  | 370-374 | 54 |  | 750-790 | 85 |
| 100-120 | 23 |  | 375-379 | 55 |  | 791-840 | 86 |
| 121-149 | 24 |  | 380-389 | 56 |  | 841-959 | 87 |
| 150-199 | 25 |  | 390-399 | 57 |  | 960-1000 | 88 |
| 200-204 | 26 |  | 400-475 | 58 |  | 1001-1499 | 89 |
| 205-209 | 27 |  | 476-499 | 59 |  | 1500-1800 | 90 |
| 210-212 | 28 |  | 500-509 | 60 |  | 1801-2500 | 91 |
| 213-214 | 29 |  | 510-519 | 61 |  | 2501-4000 | 92 |
| 215-220 | 30 |  | 520-529 | 62 |  | 4001-4999 | 93 |
| 221-222 | 31 |  | 530-539 | 63 |  | 5000-9999 | 94 |
| 223-226 | 32 |  | 540-549 | 64 |  | 10000-24999 | 95 |
| 227-230 | 33 |  | 550-559 | 65 |  | 25000+ | 96 |
| 231-233 | 34 |  |  |  |  |  |  |

1. **Post Audit Signatures**

Complete and submit with your post-audit NOAA. Leave blank for pre-audit NOAA

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Company Management Representative (for internal and external audits)**  I hereby acknowledge that I have provided true and accurate information to the auditor to the best of my abilities and agree that the audit sampling was completed as stated above. | | |
| Name | | Signature (optional) | Date |
| XXX XXXX | |  | XX-XXXX-XX |
|  | | | |
|  | **External Auditor**  I affirm that I have read, understood, and agree to abide by the terms and conditions of the British Columbia Forest Safety Council Auditor Code of Ethics.  I have not violated the Auditor Code of Ethics during this audit, and have not received any economic benefit from OH&S consulting activities from this company in the 36 months preceding the audit.  In addition, I have not been in a position which could be perceived as a conflict of interest by either the current BASE Auditor Manual or the current COR Standards and Guidelines.  Marking the box to the left of this text block and applying my name by any means in ‘signature’ constitutes signing. | | |
| Name | | Signature | Date |
| XXX | |  | **XXX** |
|  | | | |
|  | **Internal Auditor**  I affirm that   * I have not violated the Auditor Code of Ethics during this audit; * I have done my best to be objective in conducting this audit * I have followed the current BASE Auditor Manual. * I am a permanent employee of the company | | |
| Name | | Signature (optional) | Date |
| XXX | |  | **XXX** |

1. **Submission**

|  |
| --- |
| Submit completed NOAA to: [audit@bcforestsafe.org](mailto:audit@bcforestsafe.org)  Receipt of your pre-audit NOAA will be acknowledged by return e-mail within one business day.  **DO NOT PROCEED with the audit until NOAA is approved (not just acknowledged) by the Council.**  Approval will be sent by email to the auditor and to the company contact indicated on page 1, within 5 business days of receipt of the NOAA.  If you have not received approval within one (1) week of submission, please contact the Council. |

**Auditor Conclusion**

|  |  |
| --- | --- |
| As the auditor, I confirm that this audit report contains material supporting the inclusion of the following Classification Unit(s) as listed below. | |
| Classification Unit (CU) | CU Description |
| XXXXXX | XXX |
|  |  |
| Notes for Registrar: | |
| As the auditor, I confirm that this audit report does **NOT** contain material supporting the inclusion of the following Classification Unit(s) as listed below. | |
| Classification Unit (CU) | CU Description |
|  |  |
|  |  |
| Notes for Registrar: | |

# Reviewer Conclusion

**This section is completed during the audit QA process by the reviewer**

|  |  |  |  |
| --- | --- | --- | --- |
| I hereby certify that this audit meets the intent and requirements of the SAFE Companies program and the total quality assurance process required by the BC Forest Safety Council. | | | |
| Reviewer name: |  | | |
| Classification Unit (CU) | CU Description | This audit contains material supporting the CU(s) | |
|  |  | Yes | No |
|  |  | Yes | No |
| Reviewer notes: | | | |

# Outcome

**This section is completed during the audit QA process by the Registrar**

Based on the contents of this audit report, the following result and score is awarded by the BC Forest Safety Council:

|  |  |  |  |
| --- | --- | --- | --- |
| **Component** | **Results** | **Score – OHS** | **Score - RTW** |
| SAFE Companies |  |  |  |

|  |  |  |
| --- | --- | --- |
| **Component** | **Scope of Operations Certified** | **Other conditions** |
| Limitations |  |  |

**This section is completed during the audit QA process by the Registrar**

|  |  |  |
| --- | --- | --- |
| **Component** | **Company Intent** | **Certification Outcome** |
| COR Eligibility - OHS |  |  |
| COR Eligibility - RTW |  |  |