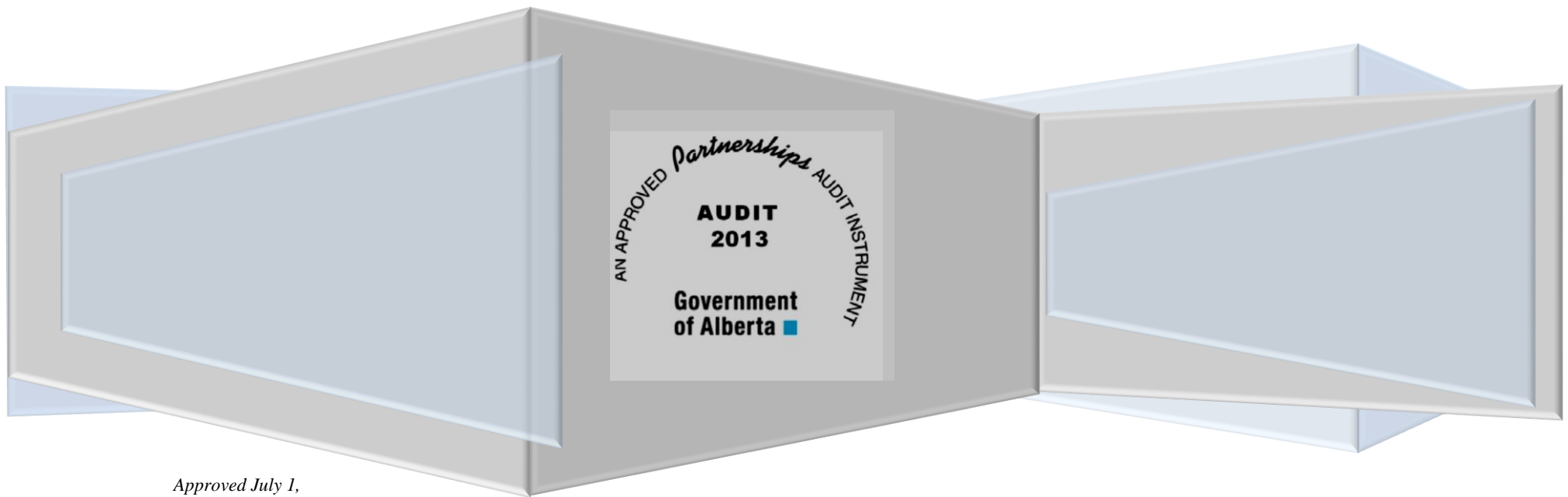


Alberta Association for Safety Partnerships

Small Employer Audit

Range-of-Points Scoring



2013 *Approved July 1,*

SECTION TWO

AASP Small Employer Audit

Range-of-Points Scoring

AASP Employer & Audit Information Summary

Employer Legal Name (as registered with WCB):	
Employer Trade Name (if applicable):	
Address: (include town/city and postal code)	
WCB Account(s) in scope:	Industry Code(s) in scope:
Facilities/Work Sites in scope:	SECOR Number:
Name of Authorized Company Representative:	Phone Number:
Fax Number:	Email:

Audit/Assessment Start Date:	Audit/Assessment End Date:	Audit/Assessment Submission Date:
Audit Purpose (certification/maintenance/renewal)		Number of employees covered by WCB account:

AASP Self-Assessor/Auditor/Consultant Information

Self-Assessor original SECOR Training date:	Self-Assessor last refresher date:	Course taken as refresher session:
Assessor Name:		<input type="checkbox"/> Code of Ethics signed?
Assessor Phone Number:	Assessor Email:	

Authorized Company Representative Sign off: (same as listed on page 2)
Self-Assessor Sign off:

Name of the OHS Consultant/Company used to help build the OHS management system (if applicable):
Consultant Training Date:

Auditor Name (if applicable):	Auditor Certification # (if applicable):	<input type="checkbox"/> Auditor Code of Ethics signed?
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** Fields in grey are applicable only to external auditors.

** Fields asking for information about the "Assessor" are not applicable when the audit is conducted by a certified external auditor.

AASP Employer Information

COMPANY PROFILE

Employee Breakdown and Sampling Details

Levels	Total Number	Number Interviewed	Departments/Shifts List departments, and (if applicable) shifts below	Employee/ Dept. Totals	Total Employees			# Interviewed		
					Full-Time	Part-Time	Casual	Full-Time	Part-Time	Casual
Managers								0	0	0
Supervisors								0	0	0
Workers								0	0	0
Total Employees								0	0	0
Contractors								0	0	0
Visitors								0	0	0
								0	0	0
								0	0	0
								0	0	0

Fields in grey (Interviewed) are for use only by external auditors.

Element One: Management Leadership and Organizational Commitment

Questions	Guidelines	Reviewer /External Auditor Assessed Score
<p>1.1</p> <p>Is there a written Health and Safety Policy for the organization, signed by the owner and dated? (D)</p> <p><input type="checkbox"/> Document attached</p>	<p>Attach the policy document. The policy must include:</p> <ul style="list-style-type: none"> - statement of management commitment to health and safety - overall goals and objectives - general responsibilities of managers, supervisors, workers and contractors regarding health and safety - requirement to comply with relevant government regulations - requirement to comply with organization’s own health and safety standards 	<p>0/0-2</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>
<p>1.2*</p> <p>Are employees aware of the policy’s content? (D/I)</p> <p><input type="checkbox"/> Document attached</p>	<p>Explain how employees are made aware of the policy’s content.</p> <p>This question is not applicable (n/a) if the operation does not have any employees.</p> <p><i>Auditor: score question based on percentage positive responses from interviews.</i></p>	<p><input type="checkbox"/> N/A</p> <p>0/0-3</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>

Element One: Management Leadership and Organizational Commitment

Questions	Guidelines	Reviewer /External Auditor
		Assessed Score
1.3 Have specific health and safety responsibilities been written for: (D) a. Managers? b. Supervisors?* c. Workers?* <input type="checkbox"/> Documents attached	Attach documentation, other than the policy (e.g. contracts, job descriptions, and program manuals) that states employee responsibilities at each level. Depending on size or nature of the organization, one or more of these categories may not be applicable (n/a). Where the operation has no workers, the owner will be considered the <i>Manager</i> .	0/0 or 2
		<input type="checkbox"/> N/A 0/0 or 2
		<input type="checkbox"/> N/A 0/0 or 2
Notes:		Suggestion for Improvement:
1.4 Are the employees aware of their specific health and safety responsibilities under legislation and employer policy: (I) a. Managers? b. Supervisors?* c. Workers?*	Explain how employees are made aware of their legislated & employer assigned health and safety responsibilities. Depending on the size and nature of organization, one or more of these employee types may not be applicable (n/a). Where the operation has no workers, the owner will be considered the <i>Manager</i> . Auditor: Scores are based on the percentage positive responses in interviews.	0/0-2
		<input type="checkbox"/> N/A 0/0-2
		<input type="checkbox"/> N/A 0/0-2
Notes:		Suggestion for Improvement:

Element One: Management Leadership and Organizational Commitment

	Questions	Guidelines	Reviewer /External Auditor Assessed Score
1.5	Is the most current health and safety legislation related to your operation available at the work site? (I, O)	List the specific legislation (federal, provincial and municipal) applicable to your operation, and explain how it is made available to workers. Auditors: This question should be scored based on interview results and work site observations that verify availability of the relevant legislation.	0/0-2
Notes:		Suggestion for Improvement:	
ADDITIONAL COMMENTS:			19 - N/A = 0 / 0
TOTAL POINTS POSSIBLE: 19			

Element Two: Hazard Identification and Assessment

Questions	Guidelines	Reviewer /External Auditor Assessed Score
<p>2.1 Does the employer have a list of all jobs (positions) and subsequent tasks carried out at the work site and a list of mobile/stationary equipment? (D)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Attach a list of all employee positions including the subsequent tasks within those jobs. Both the positions and the tasks must be clearly identified. All mobile/stationary equipment should be listed.</p> <p><i>Auditors: Points are awarded based on the percentage completion of the job and task inventories.</i></p>	<p>0/0-6</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>
<p>2.2 Are health and safety hazards identified for the tasks and equipment in the inventory? (D)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Attach documentation that identifies the hazards related to the employer’s positional assignments and listed subsequent tasks (from question 2.1) and equipment. Both health and safety hazards should be identified to ensure that ergonomic risks, exposure to chemicals, noise, heat stress, road safety, etc. are addressed. It is important that all pieces of equipment have their own assessment then reference on the position assessment.</p> <p><i>Auditors: The maximum score allowed or this question cannot exceed the total points awarded in question 2.1. There should be a positional (formal) assessment for each position within the company.</i></p>	<p>0/0-6</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>

Element Two: Hazard Identification and Assessment

Questions	Guidelines	Reviewer /External Auditor Assessed Score
<p>2.3 Have the health and safety hazards been evaluated to determine overall level of risk, and prioritization of the risks? (D)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Hazard assessments should show that the employer used a system to assess hazards for:</p> <ul style="list-style-type: none"> - Severity (how serious an outcome could there be if the hazard resulted in incident) - Probability (how likely is it that an incident could happen) - Frequency (how often workers are exposed to the hazard) <p>The assessment must result in prioritization of work site hazards.</p> <p style="color: #4F81BD;">Auditors: Score is based on the percentage of identified hazards that have been assessed and prioritized. Cannot award a greater % than in 2.2</p>	<p>0/0-3</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>
<p>2.4 Are the formal (positional) health and safety hazard assessments reviewed: (D)</p> <p>a) when changes are made to the operation?</p> <p>b) in response to inspections and investigation results?</p> <p><input type="checkbox"/> Documents attached</p>	<p>Attach documentation that supports ongoing review of positional hazard assessments. This may include meeting minutes, supervisor log books, assessment documents, etc. Describe how and when these reviews occur.</p>	<p>0/0-1</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>

Element Two: Hazard Identification and Assessment

Questions	Guidelines	Reviewer /External Auditor Assessed Score
2.5 Is a site specific (field-level) hazard assessment process in use? (D, I) <input type="checkbox"/> Documents attached	Describe when and how this process is used. Attach a copy of the field-level hazard assessment policy/process document, and samples of field-level hazard assessment forms completed over the past 12 months. Auditors: Award points based on review of documentation. Use interview responses to verify worker knowledge of this process. If interview responses do not support what is found in the documentation review, points cannot be awarded.	0/0-4
Notes:	Suggestion for Improvement:	
ADDITIONAL COMMENTS:		21 - = N/A / TOTAL POINTS POSSIBLE: 21

Element Three: Hazard Control

Questions	Guidelines	Reviewer /External Auditor Assessed Score
3.1 Have hazard controls been identified? (D) a. Engineering?) b. Administrative? c. Personal Protective Equipment (PPE)? <input type="checkbox"/> Documents attached	Attach hazard assessment documents that show what hazard control methods have been recommended to control the hazards identified. Auditors: Documentation must show a connection between the hazards assessed in question 2.3, and the controls identified in order to award points for this question.	0/0-2
		0/0-2
		0/0-2
Notes:		Suggestion for Improvement:
3.2 Have identified hazard controls been implemented? (D, O) a. Engineering? b. Administrative? c. Personal Protective Equipment (PPE)? <input type="checkbox"/> Documents attached	For each type of control (engineering, administrative, PPE), give examples of controls that are being used at the work site(s). Auditors: For each type of control, award points based on the percentage of controls implemented compared to the number identified in question 3.1.	0/0-3
		0/0-3
		0/0-2
Notes:		Suggestion for Improvement:

Element Three: Hazard Control

Questions	Guidelines	Reviewer /External Auditor Assessed Score
3.3 Is there a preventative maintenance program for equipment, vehicles and machinery? (D) <input type="checkbox"/> Documents attached	Describe the process used for maintaining equipment and preventing the use of defective/broken equipment. Attach sample maintenance records (maintenance logs, work orders, etc.) from the last 12 months. Note that documentation must show a schedule of <i>preventative</i> maintenance.	0/0 or 2
Notes:		Suggestion for Improvement:
3.4* Does the owner ensure health and safety policies are followed and hazard control methods are used? (D, I) <input type="checkbox"/> Documents attached	Describe how this is done, and attach applicable documentation/records and explanation. This question is not applicable (n/a) if the operation does not have any employees. <i>Auditors: Points are awarded based on percentage positive responses in interviews. Interview responses must confirm results of documentation review in order for points to be awarded.</i>	<input type="checkbox"/> N/A 0/0-3
Notes:		Suggestion for Improvement:

Element Three: Hazard Control

Questions	Guidelines	Reviewer /External Auditor Assessed Score
<p>3.5 Where Personal Protective Equipment (PPE) is used as a method of control, are employees trained in the use, care, and maintenance of the protective equipment? (D)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Attach the PPE policy. It should include PPE training requirements. Attach training records to verify training was completed. Where the operation has no workers, describe how the owner is trained.</p>	<p>0/0-2</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>
<p>3.6* Has a plan been developed in discussions with your contracting organizations to ensure the safety of your employees? The plan should include: (D or I)</p> <ul style="list-style-type: none"> a. Identification of site-specific hazards and controls b. Ongoing field-level hazard assessment c. Reporting of changes to work site conditions d. Review of emergency response plans e. Process for dealing with worker noncompliance f. On-site supervision of contract workers <p><input type="checkbox"/> Documents attached</p>	<p>Attach a copy of the plan. Ideally it should be signed by your primary contracting organization. Examples may be work permits, pre-job planning.</p> <p>OR</p> <p>Explain how this is done. Notes must address each sub-point specifically.</p> <p>This question is not applicable (n/a) if the operation does not work as a contractor or a sub-contractor providing services to another company at their worksite.</p> <p style="color: #4F81BD;">Auditors: Scoring is based on whether or not the plan addresses the sub-points noted in the question (one point for each sub-point). If there is no evidence of a plan, no points can be awarded for this question.</p>	<p><input type="checkbox"/> N/A 0/0-1</p> <p><input type="checkbox"/> N/A 0/0-1</p> <p><input type="checkbox"/> N/A 0/0-1</p> <p><input type="checkbox"/> N/A 0/0-1</p> <p><input type="checkbox"/> N/A 0/0-1</p> <p><input type="checkbox"/> N/A 0/0-1</p>

Element Three: Hazard Control

Questions	Guidelines	Reviewer /External Auditor Assessed Score
Q3.6 Notes:		Suggestion for Improvement:
3.7*	Is the work plan for the contracting organizations communicated to all employees? (I)	Explain how the plan is communicated to your employees. This question is not applicable (n/a) if the operation does not have any employees. This question is not applicable (n/a) if the operation does not work as a contractor or sub-contractor. This question is not applicable (n/a) if no points were awarded for question 3.6. Auditors: Score is based on documentation showing communication of all required parts of the plan to employees, or the percentage of interviewees that confirm communication of the plan.
Notes:		Suggestion for Improvement:
		<input type="checkbox"/> N/A 0/0-4

Element Three: Hazard Control

Questions

Guidelines

**Reviewer
/External
Auditor
Assessed
Score**

ADDITIONAL COMMENTS:

**31 -
N/A=
/**

TOTAL POINTS POSSIBLE: 31

ELEMENT FOUR: ONGOING INSPECTIONS

	Questions	Guidelines	Reviewer /External Auditor Assessed Score
4.1	Is there a formal written policy that includes how often formal inspections should be conducted by: (D) a. Managers? b. Supervisors?* c. Workers?* <input type="checkbox"/> Documents attached	Attach a copy of the policy. The employer should consider the risk level of the workplace when determining the frequency of inspections. Depending on the size or nature of the organization, one or more of these employee levels may be not applicable (n/a). If the operation has no employees, the owner will be scored as a Manager.	0/0 or 1 <input type="checkbox"/> N/A 0/0 or 1 <input type="checkbox"/> N/A 0/0 or 1
Notes:		Suggestion for Improvement:	
4.2	Is a site- specific checklist used for inspections? (D) <input type="checkbox"/> Documents attached	Attach a copy of checklist(s) in use.	0/0 or 1
Notes:		Suggestion for Improvement:	

ELEMENT FOUR: ONGOING INSPECTIONS

Questions	Guidelines	Reviewer /External Auditor Assessed Score
4.3 Are formal, written health and safety inspections carried out as required by the employer’s inspection policy by: (D, I) a. Managers? b. Supervisors?* c. Workers?* <input type="checkbox"/> Documents attached	Attach sample inspection records from the past 12 months. These will be used to confirm if the inspection policy/process is being followed. Depending on the size and nature of the organization, one or more of these employee levels may not be applicable (n/a). If the operation has no workers, the owner will be considered the <i>Manager</i> . Auditors: In order to award points, formal documentation must exist, and interviewees for each level must verify that inspections are conducted as required.	0/0-2 <input type="checkbox"/> N/A 0/0-2 <input type="checkbox"/> N/A 0/0-2
Notes: 	Suggestion for Improvement: 	

ELEMENT FOUR: ONGOING INSPECTIONS

Questions	Guidelines	Reviewer /External Auditor Assessed Score
<p>4.4 Are deficiencies identified in inspections corrected as soon as possible? (D, I)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Explain how identified issues are addressed. Attach samples of completed inspection reports from the past 12 months. Attach sample records to confirm that required corrections have been completed (e.g. work orders, purchase orders, memos, etc.)</p> <p>Auditors: Documentation should reflect a reasonable timeframe for correction (as soon as practical), and who is responsible. There must also be verification that corrections were completed. If interview responses do not support what is found in the documentation review, points cannot be awarded.</p>	<p>0/0-3</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>
<p>4.5* Is there a system in place that employees can use to report unsafe or unhealthy conditions and actions? (D, I)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Explain/describe how this is done. If a formal process exists, attach it for review by the CP.</p> <p>This question is not applicable (n/a) if the operation does not have any employees.</p>	<p><input type="checkbox"/> N/A</p> <p>0/0-2</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>

4. ONGOING INSPECTIONS

Questions	Guidelines	Reviewer /External Auditor Assessed Score
ADDITIONAL COMMENTS:		15 - N/A = 0 / 0
TOTAL POINTS POSSIBLE: 15		

Element Five: Qualifications, Orientations and Training

Questions	Guidelines	Reviewer /External Auditor Assessed Score
<p>5.1* Does the orientation: (D)</p> <p style="margin-left: 20px;">a. Address critical health and safety issues?</p> <p style="margin-left: 20px;">b. Cover employer health and safety policies and procedures?</p> <p style="margin-top: 20px;"><input type="checkbox"/> Documents attached</p>	<p>Describe what is covered in the orientation. Explain how the orientation is delivered, and attach documents that outline the orientation process. Critical issues include the following:</p> <ul style="list-style-type: none"> Organization Rules/Enforcement Right to Refuse Unsafe Work Emergency Response Incident Notification Critical Hazards Hazard Reporting <p>Attach documentation (orientation records, orientation checklists) to show that orientations cover H & S policies/procedures. If the operation does not have any employees, this question is not applicable (n/a).</p> <p style="color: blue; font-size: small;">Auditors: Award points based on the percentage of required topics addressed, and the percentage of policies/procedures covered.</p>	<div style="border: 1px solid black; background-color: #d9e1f2; padding: 5px; margin-bottom: 5px;"> <input type="checkbox"/> N/A 0/0-3 </div> <div style="border: 1px solid black; background-color: #d9e1f2; padding: 5px;"> <input type="checkbox"/> N/A 0/0-3 </div>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>

Element Five: Qualifications, Orientations and Training

Questions	Guidelines	Reviewer /External Auditor Assessed Score
5.2* Is the new employee orientation completed on or before the first day of work? (D) <input type="checkbox"/> Documents attached	Describe how/when this is done. Attach orientations from the past 12 months. Orientations must be dated and signed off. This question is not applicable (n/a) if the operation does not have any employees, or if no new employees have been hired in the past 12 months.	<input type="checkbox"/> N/A 0/0-2
Notes:		Suggestion for Improvement:
5.3 Do employees receive the job-specific training required to perform their jobs/assignments in a healthy and safe manner? (D, I) <input type="checkbox"/> Documents attached	Attach training records, and describe how job-specific training is conducted. Examples of job specific training include training of safe work procedures, PPE, ergonomics, use of equipment, WHMIS, first aid, defensive driving, TDG, etc. If the operation does not have any workers, consider the owner’s own job-specific training in scoring this question. <i>Auditors: Job-specific training conducted must be relevant to the scope of the operation. If interview responses do not support what is found in the documentation review, points cannot be awarded.</i>	0/0-3
Notes:		Suggestion for Improvement:

Element Five: Qualifications, Orientations and Training

	Questions	Guidelines	Reviewer /External Auditor Assessed Score
5.4	Are on-going training/refreshers sessions provided as required? (D) <input type="checkbox"/> Documentation attached	Explain how this is done. Attach documentation that shows on-going training, refreshers, and recertification for job-specific training (e.g. skills upgrading, WHMIS, First Aid, Defensive Driving, TDG, maintenance procedures, respiratory protection, etc.).	0/0-3
Notes:		Suggestion for Improvement:	
ADDITIONAL COMMENTS:			14 - N/A = 0 / 0
TOTAL POINTS POSSIBLE: 14			

Element Six: Emergency Response

Questions	Guidelines	Reviewer /External Auditor Assessed Score
<p>6.1</p> <p>a. Is there a written emergency response plan that addresses all possible emergencies, and consistent with the hazards at the work site(s)? (D)</p> <p>b. Does the plan include: (D)</p> <ul style="list-style-type: none"> - Communication procedures? - Emergency phone numbers? - List of responsible emergency response personnel? - Evacuation procedures? <p><input type="checkbox"/> Documents attached</p>	<p>Attach the emergency response plan.</p> <p>Note that it is acceptable for a small employer to work under the ERP of the contracting organization, as long as they can show that this plan is communicated to the small employer and their workers. However, the small employer must have emergency plans in place for work conducted on their sites such as shops or home offices.</p>	<p>0/0-2</p> <hr style="border: 0; border-top: 1px solid black;"/> <p>0/0-2</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>
<p>6.2</p> <p>Are employees given emergency response training appropriate to their individual responsibility? (D)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Attach emergency response-related training records from last 12 months. If the operation does not have any workers, the owner’s Emergency Response training will be considered to score the question.</p>	<p>0/0-2</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>

Element Six: Emergency Response

Questions Self-Assessed Score	Guidelines	Reviewer /External Auditor Assessed Score
<p>6.3* Are planned emergency response drills conducted annually or more often, as required? (D, I)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Give a description and date of the last drill. Explain how often drills are scheduled and the types of drills held. Participation in drills held by the contracting organization may be appropriate to the needs of the small employer. If the operation does not have any employees, this question is not applicable (n/a).</p> <p style="color: #4f81bd;">Auditors: If interview responses do not confirm that a drill was held in the last year, no points can be awarded. Partial marks can be awarded if the auditor feels more could be done in this area.</p>	<p><input type="checkbox"/> N/A</p> <p>0/0-2</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>
<p>6.4 Are emergency response records kept? (D, I)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Attach policy. Describe what records are kept, and (if available) attach sample records from the past 12 months. Employee names must be removed from submitted sample records.</p> <p>This question <i>cannot</i> be marked as “n/a.” In the absence of an actual emergency response, employers should at least have records of participation in emergency response drill(s), and a policy requiring ER records to be kept.</p>	<p>0/0-2</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>

Element Six: Emergency Response

Questions Self-Assessed Score	Guidelines	Reviewer /External Auditor Assessed Score
ADDITIONAL COMMENTS:		10 - N/A = 0 / 0
TOTAL POINTS POSSIBLE: 10		

Element Seven: Incident Investigation

	Questions	Guidelines	Reviewer /External Auditor Assessed Score
7.1	Is there a written procedure that requires the reporting of workplace incidents, illness and near misses? (D) <input type="checkbox"/> Documents attached	Attach reporting procedure. It should include legal requirements for incident reporting. Documentation must also require internal reporting of incident, injuries, illness and near misses.	0/0-3
Notes:		Suggestion for Improvement:	
7.2*	Are employees aware of their responsibilities to report work-related incidents, illness and near-misses? (D, I) <input type="checkbox"/> Documents attached	Attach relevant training documents, and explain how employees are made aware of their responsibility to report incidents/illnesses. This question is not applicable (n/a) if the operation does not have any employees. <i>Auditors: If interview responses do not confirm awareness of reporting responsibilities, no points can be awarded.</i>	<input type="checkbox"/> N/A 0/0-2
Notes:		Suggestion for Improvement:	

Element Seven: Incident Investigation

Questions	Guidelines	Reviewer /External Auditor Assessed Score
<p>7.3</p> <p>a. Is there a written procedure for investigating workplace incidents, illness and near misses? (D)</p> <p>b. Does the procedure include a requirement to correct deficiencies identified in investigations? (D)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Attach the investigation procedure.</p>	<p>0/0-2</p> <hr style="border: 0; border-top: 1px solid black;"/> <p>0/0 or 1</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>
<p>7.4</p> <p>Is there an investigation form? (D)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Attach a copy of the investigation form. If the employer’s contracting organization requires the use of their form, employers may use this instead of developing their own.</p> <p style="color: blue;">Auditors: The form must include fields for a description of the circumstances, identified causes (direct, indirect and root), corrective actions, and follow-up.</p>	<p>0/0 or 1</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>

Element Seven: Incident Investigation

	Questions	Guidelines	Reviewer /External Auditor Assessed Score
7.5	<p>Do investigation reports identify root causes and corrective action? (D)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Attach copies of completed investigation report forms from the past 12 months. If no incidents or near misses have occurred, this question is not applicable (n/a).</p> <p style="color: blue;">Auditors: if root causes are not correctly identified and proposed action is not likely to be effective, no points can be awarded for this question.</p>	<input type="checkbox"/> N/A 0/0-2
Notes:		Suggestion for Improvement:	
7.6	<p>Are corrective actions taken to prevent incidents from happening again? (D)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Describe how action is taken as a result of incident investigations, and give examples where possible.</p> <p style="color: blue;">Auditors: Documentation must show that corrective action was taken in an effort to prevent a recurrence. If no incidents have occurred in the past 12 months, question may be scored based on requirements to take corrective action in the employer policy.</p>	0/0-2
Notes:		Suggestion for Improvement:	

Element Seven: Incident Investigation

Questions	Guidelines	Reviewer /External Auditor Assessed Score
<p>ADDITIONAL COMMENTS:</p> <p align="right">TOTAL POINTS POSSIBLE: 13</p>		<p align="center">13 - N/A = 0 / 0</p>

Element Eight: Program Administration

	Questions	Guidelines	Reviewer /External Auditor Assessed Score
8.1*	<p>Is there a system to ensure: (D, I)</p> <p>a. Health and safety issues are communicated to employees?</p> <p>b. Feedback on health and safety issues from employees?</p> <p>c. Follow-up on health and safety issues?</p> <p><input type="checkbox"/> Documents attached</p>	<p>a. Describe how employees are advised of health and safety issues. Attach samples of relevant documentation (e.g. newsletter, records of safety meetings, records of toolbox meetings, bulletins, hazard identification and assessment records, suggestion boxes, etc.).</p> <p>b. Describe the system used for employees to offer feedback on health and safety issues, and how employees are made aware of the system.</p> <p>c. Describe how follow-up is done, and explain how employees are made aware of any follow-up completed.</p> <p>This question is not applicable (n/a) if the operation does not have any employees.</p> <p><i>Auditors: Verify that the required communication systems exist. If interview responses do not support what is found in the documentation review, points cannot be awarded.</i></p>	<p><input type="checkbox"/> N/A 0/0 - 2</p> <hr/> <p><input type="checkbox"/> N/A 0/0 - 2</p> <hr/> <p><input type="checkbox"/> N/A 0/0 - 2</p>
Notes:		Suggestion for Improvement:	

Element Eight: Program Administration

Questions	Guidelines	Reviewer /External Auditor Assessed Score
8.2 Does the employer review their health and safety performance using statistics? (D) <input type="checkbox"/> Documents attached	Attach documentation showing the types of statistics maintained by the employer (e.g. first aids, medical aids, claims rates, # of inspections, # of orientations, # of safety meetings, etc., etc.). Describe any trends that were identified.	0/0-2
Notes:		Suggestion for Improvement:
8.3* Is the health and safety system evaluated at least annually through the use of an audit process? (D) <input type="checkbox"/> Documents attached	Give the date of the last audit. If this is the employer's first health and safety audit, this question is not applicable (n/a).	<input type="checkbox"/> N/A 0/ 0 or 1
Notes:		Suggestion for Improvement:

Element Eight: Program Administration

Questions	Guidelines	Reviewer /External Auditor Assessed Score
<p>8.4* Was an action plan developed to address the deficiencies identified in the previous audit? (D)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Attach the action plan from the previous year. For each item on the action plan, the person responsible should be identified. Target completion dates and (if applicable) actual completion dates should also be noted for each action item.</p> <p>If this is the employer's first health and safety audit, this question is not applicable (n/a).</p> <p>Auditor: The action plan must include action items addressing all of the deficiencies identified in the previous year's audit, and must contain the required components noted above. Do not deduct the point here for incomplete action items.</p>	<p><input type="checkbox"/> N/A</p> <p>0/0 or 1</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>
<p>8.5* Were the action items from last year's action plan completed? (D)</p> <p><input type="checkbox"/> Documents attached</p>	<p>Attach the completed action plan from the previous year's audit.</p> <p>If this is the employer's first health and safety audit, this question is not applicable (n/a). If no action plan resulted from the previous year's audit, this question is not applicable (n/a).</p> <p>Auditors: Score is awarded based on percentage completion of the action items derived from the previous year's audit results.</p>	<p><input type="checkbox"/> N/A</p> <p>0/0 - 2</p>
<p>Notes:</p>		<p>Suggestion for Improvement:</p>

Element Eight: Program Administration

Questions	Guidelines	Reviewer /External Auditor Assessed Score
ADDITIONAL COMMENTS:		12 - N/A = 0 / 0
TOTAL POINTS POSSIBLE: 12		

Alberta Association for Safety Partnerships Small Employer Action Plan

Audit Date: [Click here to enter a date.](#)

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

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

SELF-ASSESSOR CODE OF ETHICS AGREEMENT

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

- Audits will be conducted with the utmost integrity, confidentiality and with no conflict of interest. As a Self-assessor I have read and agree to follow the Code of Ethics policy of the Alberta Association for Safety Partnerships.
- I agree and understand the Alberta Association for Safety Partnerships has the right and responsibility to take disciplinary action if I do not abide by the Code of Ethics as outlined in the policy.
- I agree to complete the audit information gathering within the 45 day time frame and to submit completed audits within 45 days from last day of on site activities.
- I also agree to correct any deficiencies noted in the reviews within two weeks of notice.
- I also agree to complete my Self-assessor refresher training every three years as required by AASP and Partnerships Standard.

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

Certified Self-assessor

Date: _____