



Basic Safety Program Audit

EFFECTIVE DATE JANUARY 1, 2002



BASIC SAFETY PROGRAM AUDIT

Purpose

A safety program audit is a comprehensive and objective evaluation of the design and effectiveness of a safety program. Auditing the safety program allows the organization to:

- Obtain valuable input from employees and others at the work sites on the usability and practicality of the safety program.
- Evaluate each individual component of the operation to determine how well your program is being implemented.

Who Performs the Audit

Audits can be performed by company staff trained in auditing or by external, trained Auditors. Certified external Auditors can often provide a more objective assessment.

Whether internal or external, Auditors must be well versed in legislative requirements to accurately assess a company's legislative compliance. Training is available to give Auditors the background for objective and effective results. Check with the organizations listed in the tab marked *Sources of Safety Training and Information* to find a training program in your area.

Gathering Information

The Auditor will refer to a number of documents during an audit, including:

- a complete copy of the company's safety program manual, safety policies and standard work procedures.
- all other written materials, such as safety responsibility, inspection procedures, incident and accident investigation procedures, etc.
- any training and maintenance records relating to personal protective and safety equipment
- written emergency response plans
- records of safety orientations, on-the-job training, investigations, inspections, audits, safety performance assessments, etc.
- safety meeting agendas and minutes
- relevant safety legislation

The Auditor will also conduct interviews with employees and supervisors.

Maintaining Confidentiality

To ensure people interviewed during audits provide accurate and true information, Auditors should tell them their names will be kept confidential. It is important to protect the rights of individuals to express their opinions freely without experiencing negative consequences. Auditors must not include names of sources in any notes they make on the audit form. If Auditors want to keep track of sources for future reference, they must keep such records separate from the audit form. Any records of sources must be kept confidential.

The Basic Safety Program Audit Form

The Basic Safety Program Audit form beginning on page 61 can be used to audit safety programs that follow the guidelines of the *Basic Safety Program*.

How to Score

Scoring on the audit form has been kept simple. For most questions, the Auditor gives full marks if the question can be answered with a yes, and no marks if the answer is no. Part marks are given only where auditor judgement in scoring is indicated.

In a few cases, the Auditor may find that questions are not applicable to your company. In these cases, the auditor has the option of selecting not applicable (N/A) as an answer. If the auditor selects N/A, the reasons must be legitimate and documented in the Auditor's notes. Choosing N/A is not appropriate where the company is simply not fulfilling its safety responsibility. It is appropriate where the company does not legitimately need to fulfil responsibility cited in the audit; for example, if the company does not hire contractors, safety orientations of contractors would not be applicable.

If the auditor selects N/A, the points for that question should be deducted from the total points possible for the audit.

The Auditor's notes sections are to be used for explanation of the rationale used when deciding on the scoring. Also, if selecting N/A, the reasons for that selection should be clearly outlined in the Auditor's Notes. Remember the necessity for confidentiality.

Jobsite Evaluation

Within the audit section titled Legislative Compliance, the Auditor must conduct a jobsite evaluation. An evaluation form and instructions are provided beginning on page J-1

Assessing Your Results

Once all audit questions have been completed and the score transferred from the jobsite evaluation form, the total audit score can be calculated.

Questions A.2(a), A.2(b), C.2(a), E.2(c) and Element G exceed the minimum requirement for the Alberta Provincial Standard of the Certificate of Recognition.

These four questions and Element "G" will not be reflected within the overall score of this audit. These questions are very important to the petroleum industry. As they are part of this audit, the auditor will make recommendations based on these questions only. These questions will not effect a pass or fail of the audit process.

The formula for calculating the score is provided at the end of the audit instrument. Ratings for audit scores are listed below:

Acceptable Program

80% and over with all elements 50% and over

Substandard Program

Under 80% or any element under 50%

Limited Score

70%-79%

90 day improvement period

Action plan must be submitted with this audit

The auditor then will review the areas that were improved, re-score and upon reaching 80% or better, audit can then be submitted for COR.

69% and below

Baseline audit not to be submitted for review.

Reporting to Management and Filing

Copies of the completed audit and jobsite evaluation forms should be provided to management for review. Separate copies should be filed for future reference.

Do not include names of the people interviewed during the audit in report to management or in file copies. Any records of these individuals' names should either be destroyed or kept in the Auditor's own confidential files.

Frequency of Audits

How often a safety program is audited may vary.

The frequency will depend on:

- changes in business operations
- staff turnover and additions
- degree of work hazards
- past audit results
- accident frequency

The more a business operation changes, the higher the staff turnover, and the more hazardous the work, the more frequently audits should be conducted. Also, if audit results are sub-standard, or accident frequencies increase, audits should be performed more frequently until the program shows improvement.

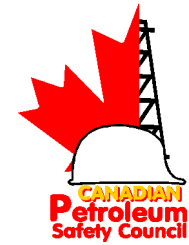
Audit Process

1. Select an Auditor.
2. Gather all written materials that are part of the safety program. The following are examples of written materials:
 - job descriptions or lists of safety responsibilities
 - inspection checklists
 - hazard and accident report forms
 - standard work procedures
 - training materials
 - policies
 - emergency procedures
3. Inform employees that an audit is to take place and how they will participate (*i.e.*: interviews).
4. Have the audit conducted using the instrument beginning on page I-1.
5. The auditor will report results to management.
6. Analyse the audit results.
7. Develop an action plan identifying resources, responsibilities and completion dates for the recommendations identified in the audit.

Program Maintenance

To maintain the audit program:

1. Designate one or more trained person as official internal auditor(s).
2. Establish a schedule for regular audits.
3. Follow up on recommendations.
4. Audit results should be reflected in safety performance assessments.
5. Completed audit must be submitted for review.



Audit Protocol

- ◆ Audit Instrument Elements A - F
- ◆ Optional Element "G"
- ◆ Auditor Guidelines
- ◆ Jobsite Observation

EFFECTIVE DATE JANUARY 1, 2002



Basic Safety Program Audit Instrument

GENERAL INFORMATION SHEET

Dates of Audit:	Locations Visited:	No. Of Workers at Site:
Start: _____	1. _____	1. _____
Last Date of Audit: _____	2. _____	2. _____
Complete: _____	3. _____	3. _____

Type of Audit:

☐ Baseline
 ☐ Internal
 ☐ External
 ☐ Limited Scope
 ☐ Student

Previous Audit Information:

Date: _____ Score: _____
 Date: _____ Score: _____

Company Data:

Legal Name: _____
 Address: _____
 City/Town: _____ Province: _____ Postal Code: _____
 Key Contact: _____ Phone Number: _____

WCB Account Number	WCB Industry Code	Nature and Type of Work Done:
_____	_____	_____
_____	_____	_____
_____	_____	_____

Auditor Data:

Name: _____ Certification #: _____ Daytime Phone #: _____
 Company: _____ Address: _____
 City/Town: _____ Province: _____ Postal Code: _____

Basic Safety Program Audit Instrument

ELEMENT A			GUIDELINES			
Management Involvement and Commitment		Score	Reference	D	O	I
1. Company Safety Policy						
(a) Does the company policy have a written safety policy?	(5)	_____	A1 #1(a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) Does the safety policy contain:						
1. the signature of the most senior and current management	(3)	_____	(A1 #1(b))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. reference to management responsibility	(3)	_____		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. a requirement to comply with government regulations	(3)	_____		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. reference to supervisors' responsibilities	(3)	_____		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. reference to workers' responsibilities	(3)	_____				
(c) Does the company inform employees about the policy by:						
1. distributing copies of the policy	(5)	_____	A1 #1(c)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. posting the policy at work sites	(0-5)	_____		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. discussing the policy with employees	(0-10)	_____		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Guiding Principles						
(a) *Does the company post the Petroleum Industry Guiding Principles in prominent locations at work sites?	Y - N	_____	A2 # 2 (a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) *Are the guiding principles reviewed as part of employee and contractor orientations, training programs and safety meetings?	Y - N	_____	A2 # 2 (b)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

* Refer to Page V of the Introduction

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT A		GUIDELINES			
Management Involvement and Commitment <i>(continued)</i>	Score	Reference	D	O	I
3. Safety Responsibilities					
(a) Are specific safety responsibilities written for and distributed to:					
1. the management function (5)	_____	A3 #3(a)			
2. the supervisory function (5)	_____				
3. workers (5)	_____				
4. contractors (5)	_____				
5. visitors (5)	_____				
(b) Is there a method or system in place to ensure safety responsibilities are carried out? (0-10)	_____	A3 #3(b)			
(c) Are there adequate resources available to managers, supervisors and employees to be able to perform their assigned safety responsibilities? (0-10)	_____	A3 #3(c)			
4. Management Communication					
(a) Does senior management communicate to employees, contractors, at least annually:					
1. why safety is important and who it affects (5)	_____	A4 #4(a)			
2. the company's commitment to safety (5)	_____				

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT A			GUIDELINES			
Management Involvement and Commitment (<i>continued</i>)		Score	Reference	D	O	I
4. Management Communication (<i>continued</i>)						
(b) How often does management tour work sites to observe work practices and discuss safety issues with workers?						
1. Senior Management			A4 #4(b)			
- quarterly	(10)	_____				
- semi-annually	(5)	_____				
- annually	(2)	_____				
2. Middle Management						
- monthly	(10)	_____				
- quarterly	(5)	_____				
- semi-annually	(2)	_____				
3. Front Line Supervisor						
- daily	(10)	_____				
- weekly	(5)	_____				
- bi-weekly	(2)	_____				

ELEMENT A SCORING SUMMARY					
Element Score					
Element Total	125 - N/A		=		x 100

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT B			GUIDELINES			
Hazard Identification and Risk Control		Score	Reference	D	O	I
1. Inspections						
(a) Is there a written standard or procedure for the inspection program?	(10)	_____	B1 #2(a)			
(b) Is there a formal inspection program in place that						
1. has pre-determined frequency?	(5)	_____	B1 #2(b)			
2. is assigned to positions?	(0-5)	_____	B1 #2(b)			
(c) Are there appropriate inspection checklists available for use by the inspectors?	(0-10)	_____	B1 #2(c)			
(d) Is there a system to ensure that deficiencies identified by inspections are transferred to "action lists" or work orders"?	(0-15)	_____	B1 #2(d)			
(e) Is training available for those who are expected to perform the inspections?	(0-5)	_____	B1 #2(e)			
2. Hazard Identification						
(a) Is there a system to identify hazards associated with the job, before the job starts?	(0-20)	_____	B2 #1(a)			
(b) Is there a system to identify and communicate hazards when changes are made to operations?	(0-20)	_____	B2 #1(b)			
(c) Is there training provided for the identification/recognition of hazards?	(0-15)	_____	B2 #1(c)			

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT B		GUIDELINES					
Hazard Identification and Risk Control <i>(continued)</i>		Score	Reference	D	O	I	
3. Risk Assessment							
(a) Is there a system or procedure to assess and prioritize risk related to each hazard and the assigning of responsibility for corrective action?	(0-20)	_____	B3 #3(a)				
(b) Is there a process in place that ensures the risk associated with new hazardous products are determined before purchasing them?	(0-20)	_____	B3 #3(b)				
(c) Is there a system to assess risk associated with the hazards of new or modified operations?	(0-15)	_____	B3 #3(c)				
4. Risk Control							
(a) Is there an adequate maintenance program in place to satisfy legislation requirements and industry practices?	(0-10)	_____	B4 #4(a)				
(b) Is there evidence that manufacturers' maintenance guidelines are followed?	(0-5)	_____	B4 #4(b)				
(c) Do employees utilize the risk controls in place?	(0-5)	_____	B4 #4(c)				
(d) Is there evidence that management enforces the use of risk controls by employees?	(0-5)	_____	B4 #4(d)				
(e) Are there industry-standardized engineering codes and standards available within the company?	(0-5)	_____	B4 #4(e)				
ELEMENT B SCORING SUMMARY							
Element Score		<input type="text"/>					
Element Total		195 - N/A	<input type="text"/>	=	<input type="text"/>	x 100	<input type="text"/>

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT C			GUIDELINES			
Rules And Work Procedures		Score	Reference	D	O	I
1. Safety Rules						
(a) Does the company have standards or written rules for:						
1. the reporting of hazardous conditions, acts and behaviours?	(0-5)	_____	C1 #1(a)			
2. alcohol and drug abuse?	(0-5)	_____				
3. personal protective equipment?	(0-5)	_____				
(b) Have health and safety rules been communicated to each employee and posted as appropriately?	(0-10)	_____	C1 #1(b)			
(c) Does the company have a method to ensure compliance with legislation?	(0-10)	_____				
2. Legislative Compliance						
(a) *Does the company comply with Industry Standards for: (as per page J3 in the jobsite evaluation)		Y - N				
1. jobsite conditions		_____	C2 #2(a)			
2. working environment						
3. supplies/storage						
4. equipment						
5. worker compliance						
6. emergency response systems						
7. lable/signs						
(b) Is the company aware of and have copies of all legislation that is applicable to their operation?	(0-5)	_____	C2 #2(b)			

* Refer to Page V of the Introduction

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT C			GUIDELINES			
Rules and Work Procedures (<i>continued</i>)		Score	Reference	D	O	I
3. Standard Work Procedures						
(a) Is there a Task Inventory for each discipline?	(0-10)	_____	C3 #3(a)			
(b) Is there a method of identifying the highest risk jobs?	(0-10)	_____				
(c) Have standard work procedures and/or Codes of Practice been written for jobs found on the Hazardous Job Inventory?	(0-5)	_____	C3 #3(b)			
(d) Are employees involved in the development and maintenance of procedures?	(0-5)	_____	C3 #3(c)			
(e) Are the employees familiar with and making use of the Standard Work Procedures and Codes of Practice?	(0-10)	_____	C3 #3(d)			
4. Personal Protective Equipment						
(a) Do employees have access to appropriate personal protective and safety equipment?	(0-5)	_____	C4 #4(a)			
(b) Are the employees wearing PPE when required?	(0-10)	_____	C4 #4(b)			
(c) Are employees trained in the fitting of their PPE?	(0-5)	_____	C4 #4(c)			
(d) Are employees trained in the proper care of their PPE?	(0-5)	_____	C4 #4(d)			
5. Enforcement						
(a) Are there procedures in place for disciplining those who violate company safety rules?	(0-10)	_____	C5 #5(a)			
(b) Are the rules posted in each work area?	(0-5)	_____	C5 #5(b)			

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT C			GUIDELINE			
Rules and Work Procedures <i>(continued)</i>		Score	Reference	D	O	I
6. EMERGENCY PROCEDURES						
(a) Are the appropriate number of employees trained in first aid as required by occupational health and safety regulations?	(0-5)	_____	C6 #6(a)			
(b) Are appropriate first aid equipment and supplies available at every work site in accordance with occupational health and safety regulations?	(0-5)	_____	C6 #6(b)			
(c) Are there written emergency response plans (ERP)s for the following:						
1. fire	(0-5)	_____	C6 #6(c)			
2. injury/death	(0-5)	_____				
3. spills, leaks and other releases of hazardous substances	(0-5)	_____				
4. natural disasters	(0-5)	_____				
(d) Are the emergency response plans communicated to all employees?	(0-5)	_____	C6 #6(d)			
(e) Is the training for emergency response plans communicated to all employees?	(0-15)	_____	C6 #6(e)			
(f) Are employees familiar with their ERP responsibilities?	(0-10)	_____	C6 #6(f)			
(g) Are there drills and exercises held to test the ERP?	(5)	_____	C6 #6(g)			
(h) Are drills and exercises evaluated to update the ERP?	(0-5)	_____	C6 #6(h)			

SECTION C SCORING SUMMARY

Element Score	<input type="text"/>	=	<input type="text"/>	x 100	<input type="text"/>
Element Total 190 - N/A	<input type="text"/>				

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT D		GUIDELINE			
Training	Score	Reference	D	O	I
1. Safety Orientation			T		
(c) Are appropriate orientations given to:					
1. new or transferred employees (3)	_____	D1 #1(a)			
2. contractors (3)	_____				
3. sub-contractors (3)	_____				
4. visitors (3)	_____				
(b) Does the orientation include a review of:					
1. company policies and procedures (2)	_____	D1 #1(b)			
2. specific job hazards (2)	_____				
3. safety precautions (2)	_____				
4. job responsibilities (2)	_____				
5. regulatory responsibilities (2)	_____				
6. company enforcement policy (2)	_____				
7. managements commitment towards workers right to know (2)	_____				
8. procedure for workers to refuse unsafe work (2)	_____				
9. the role of supervisor when unsafe work is reported (2)	_____				
(c) Is the orientation conducted before the individual begins his/her new job? (0-5)	_____	D1 #1(c)			
(d) Are critical issues (i.e., emergency evacuation procedures, alarm systems, near miss, hazard reporting, etc.) addressed on the first day of employment? (0-10)	_____	D1 #1(d)			

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT D		GUIDELINE			
Training <i>(continued)</i>		Score	Reference	D	O I
2. On-the-job-Training					
(a) Is there evidence of an On-the-Job Training Program that covers job-specific hazards?	(5)		D2 #2(a)		
(b) Is there a system that ensures that appropriate qualifications are obtained by employees before they are allowed to perform their job?	(0-15)		D2 #2(b)		
(c) Is there a system to ensure that refresher training is provided to employees?	(0-10)		D2 #2(c)		

SECTION D SCORING SUMMARY					
Element Score					
Element Total	75 - N/A		=		x 100

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT E			GUIDELINES			
Communication		Score	Reference	D	O	I
1. Communications Systems						
(a) Is there a standard in place to ensure employees are provided communication and the opportunity to provide feedback on health and safety issues? (0-20)		_____	E1 #1(a)			
2. Safety Meetings						
(a) Are there guidelines for conducting safety meetings with all personnel? (0-10)		_____	E2 #2(a)			
(b) Are regular, scheduled meetings held with employees, contractors and subcontractors to discuss current safety issues? (0-5)		_____	E2 #2(b)			
(c) *Is there a procedure to ensure the follow-up of action items identified during the safety meetings? (0-5)		_____	E2 #2(c)			
(d) Does senior management review significant items identified during the safety meetings? Y - N		_____	E2 #2(d)			
(e) Are minutes and attendance records for safety meetings kept? (0-5)		_____	E2 #2(e)			

* Refer to Page V of the Introduction

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT E			GUIDELINES			
Communication (continued)		Score	Reference	D	O	I
3. Safety Records						
(a) Is there a system to retain essential safety documents:						
1. training	(0-5)	_____	E3 #3(a)			
2. inspections	(0-5)	_____				
3. incident reports	(0-5)	_____				
4. investigations, and	(0-5)	_____				
5. safety meeting minutes	(0-5)	_____				
(b) Is there a system to evaluate the safety program?		(0-15)	_____	E3 #3(b)		

ELEMENT E SCORING SUMMARY					
Element Score					
Element Total	85 - N/A		=		x 100

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

ELEMENT F			GUIDELINES			
Incident and Accident Reporting and Investigation		Score	Reference	D	O	I
1. Incident and Accident Reporting						
(a) Is there a written procedure for reporting and investigating incidents and accidents?	(5)	_____	F1 #1(a)			
(b) Does the company have an incident/accident report form which guides the investigator towards root cause?	(0-5)	_____	F1 #1(b)			
(c) Does the procedure include a senior management review process?	(0-10)	_____	F1 #1(c)			
(d) Are workers required to report all incidents and accidents?	(0-10)	_____	F1 #1(d)			
(e) Are incidents and accidents being reported?	(0-5)	_____	F1 #1(e)			
2. Incident and Accident investigation and Follow-up						
(a) Have all persons investigating accidents and incidents received A/I training in investigation techniques?	(0-10)	_____	F2 #2(a)			
(b) Do investigations focus on collecting evidence and identifying root cause?	(0-10)	_____	F2 #2(b)			
(c) Is there a procedure for documenting and implementing investigator recommendations?	(0-5)	_____	F2 #2(c)			
(d) Is there a verification process to ensure corrective action is taken?	(0-10)	_____	F2 #2(d)			
(e) Is there a designated manager or supervisor who is responsible for the coordination of the investigation process?	(0-5)	_____	F2 #2(e)			
(f) Are statistics analysed to identify trends?	(5)	_____	F2 #2(f)			
ELEMENT F SCORING SUMMARY						
Element Score		_____				
Element Total		90 - N/A	=	_____	x 100	_____

Basic Safety Program Audit Instrument

Question	Score	Auditor's Notes

Basic Safety Program Audit Instrument

Company Name: _____ Date: _____

SCORING SUMMARY					
ELEMENTS	Possible Score	Less N/A	Adjusted Possible Score	Audit Score	%
A. Management Involvement	125				
B. Hazard Identification and Control	195				
C. Rules and Work Procedures	190				
D. Training	75				
E. Communication	85				
F. Incident and Accident Reporting and Investigation	80				
AUDIT SCORE	750				

Standard Achieved

YES ☐

80% overall
50% min. in all elements (A-F)

NO ☐

70% - 79% or
below 50% in (A-F)

Limited Scope Return Date

(Max 90 days from this audit)

Management must submit action plan based on
areas not meeting standards

Auditor's Name: _____ Auditor's Certification #: _____ Signature: _____

Basic Safety Program Audit Instrument

AUDIT SCORE

Total Audit Score Possible - Points Not Applicable (N/A) = Total Points Possible

Total Points Scored

_____ = x 100 %

Total Points Possible



OPTIONAL ELEMENT "G" ON-SITE AUDIT MODULE

This element is to measure the
wellsite supervisors/consultants/Prime Contractor representatives.
Scoring of this element will not affect the overall score of the audit.

Only recommendations will be derived from this element.

EFFECTIVE DATE JANUARY 1, 2002

Basic Safety Program Audit Instrument

OPTIONAL ELEMENT G		GUIDELINES				
On-Site Audit Module	Score	Reference	D	O	I	
1. Have all of the (company) contractors now on-site met the selection criteria i.e., (a) Certificate of Recognition or working towards a Certificate of Recognition (b) copy of Audit (c) copy of Safety Program (d) past work history of the company? (0-20)	_____	G1 #1				
2. Does every contractor company on-site have a valid Certificate of Recognition (COR)? (15)	_____	G1 #2				
3. Have all the contractor's employee's received a site-specific orientation prior to performing? (0-15)	_____	G1 #3				
4. Have all of the contract employees participated in a "pre-job" meeting today? (0-20)	_____	G1 #4				
5. Has a valid work permit been issued for the contractor for today's work? (0-15)	_____	G1 #5				
6. Are there designated supervisor's to supervise the contractor employees? (0-20)	_____	G1 #6				

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OPTIONAL ELEMENT G			GUIDELINES			
On-Site Audit Module <i>(continued)</i>		Score	Reference	D	O	I
7. Has there been an inspection for general conditions within the last five (5) working days on this site?	(0-15)	_____	G1 #7			
8. Has there been a formal site inspection within the last thirty (30) days on this site, conducted by the Prime Contractor?	(0-20)	_____	G2 #8			
9. Are the observable conditions of the contractor's equipment meeting the Prime Contractor's equipment standards?	(0-20)	_____	G2 #9			
10. Are there provisions for contract employees to report unsafe conditions on site?	(0-10)	_____	G2 #10			

ELEMENT G SCORING SUMMARY

Element Score = x 100 %
 Element Total 170 - N/A



Basic Safety Program Audit Guidelines

EFFECTIVE DATE JANUARY 1, 2002



Basic Safety Program Audit Guidelines

ELEMENT A		
Management Involvement and Commitment	Score	Reference
1. Company Safety Policy The written company safety policy can effectively convey management’s commitment and positive attitude toward safety and health functions. To be effective, management must promote the policy and philosophy actively throughout the company. (a) Obtain and read the company’s safety policy. If there is no policy or the company is unable to produce the policy, allocate 0 points. <div>1. auditor obtains and reads a company specific policy (5)</div> (b) Cross-Reference A3(a), C5(a) Ensure the policy contains: <div>1. signature of the most senior (and current) management (with in a year) (3)</div> <div>2. reference to management responsibility (3)</div> <div>3. requirement to comply with government regulations (3)</div> <div>4. reference to supervisor’s responsibilities (3)</div> <div>5. reference to workers’ responsibilities (3)</div> (c) Cross-Reference D1(a), D1(c), D1(d) Check to see if the policy is distributed to the employees through handbooks, safety training programs, policy/program manuals, or new employee orientation. Interview workers to determine if they were given copies of the policy. If there is no evidence or only partial evidence of distribution, allocate 0 points. <div>1. documentation and majority of interview, confirm distribution of the policy (5)</div> <div>2. policy is posted in locations visible to the majority of employees on a daily basis. Subtract one point for each failure to post at any critical site (remote sites, lunchrooms, main buildings, etc.) (0-5)</div>	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> 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Basic Safety Program Audit Guidelines

ELEMENT A		
Management Involvement and Commitment (<i>continued</i>)	SCORE	REFERENCE
<p>1. (c) continued...</p> <p>Verify that the policy is discussed during orientation, training sessions, safety meetings or informally with supervisors and managers.</p> <p>3. management carries out policy discussions and the majority of interviewees understand their responsibilities. Verify with meeting minutes, orientation records and interviews. (0-10)</p>		A1 #1(c)
<p>2. Guiding Principles</p> <p>The Petroleum Industry's Guiding Principles on safety were developed by industry associations to promote the importance of the safety function between their member companies.</p> <p>(a) Confirm that the guiding principles are posted in locations where employees and contractors are most likely to see them, as with the policy statement.</p> <p>1. principles are posted in locations visible to the majority of workers on a daily basis.</p> <p>2. subtract one point for each failure to post at any critical site, remote locations, main buildings, etc.).</p> <p>3. may be "N/A" for organizations outside the petroleum industry. Y - N</p> <p>(b) Ensure management is committed to the philosophy stated in the guiding principles. Does the company live by this philosophy?</p> <p>Review training records, safety meeting minutes, indoctrination handbook to ensure guiding principles are reviewed and contained within.</p> <p>1. confirmation is obtained of training during indoctrination, safety meetings.</p> <p>2. observe handbooks, minutes</p> <p>3. Management and majority of workers interviewed understand principles and philosophy. Y - N</p>		<p>A2 #2(a)</p> <p>A2 #2(b)</p>

Basic Safety Program Audit Guidelines

ELEMENT A		
Management Involvement and Commitment (<i>continued</i>)	Score	Reference
<p>3. Safety Responsibilities</p> <p>Safety responsibilities establish specifically who does what, when, for activities identified in the safety program. Responsibilities must be quantifiable in the safety program so that performance may be measured or evaluated. Managers cannot control what they cannot measure. To meet the intent of this element, the task or responsibility must be clearly stated, the position responsible for performing the task must be identified, and the frequency of the task performed must be included. Ensure that responsibilities are identified for every position that may have an impact on safety within the company. This should include managers, supervisors, employees, contractors and visitors.</p> <p>(a) Review the written responsibilities and ensure they are measurable (who does what, when). Do responsibilities exist for all of the required positions in the company and are they specific to the position? Are the responsibilities complete, do they exist for all of the elements of the program? Can the majority of employees produce a copy of their responsibilities or at least know where they are located? Are the responsibilities generally known? "N/A" would apply to supervisors and contractors where they do not exist in this organization. All companies should be prepared for visitors such as government agencies. If the responsibility is not developed, or if it is developed but not distributed, allocate 0 points.</p> <p>Individuals interviewed are given their responsibility.</p> <ol style="list-style-type: none"> 1. the Management function (5) _____ 2. the Supervisory function (5) _____ 3. workers (5) _____ 4. contractors (5) _____ 5. visitors (5) _____ 		A3 #3(a)

Basic Safety Program Audit Guidelines

ELEMENT A		
Management Involvement and Commitment (continued)	Score	Reference
3. Safety Responsibilities (continued)		
(b) Cross-Reference C5(a)		
Ensure that a process for measuring performance of established safety goals and objectives is in place.		A3 #3(b)
1. if majority of interviews confirm worker knowledge of system.	(0-5)	
2. if objectives are written and confirmation of meeting those objectives are in writing.	(0-5)	
(c) Resources and support should be available to the managers, supervisors, and employees in the form of:		
1. occupational Health and Safety resource person	(0-4)	A3 #3(c)
2. budgetary support	(0-3)	
3. training	(0-3)	

Basic Safety Program Audit Guidelines

[illegible]

Basic Safety Program Audit Guidelines

ELEMENT B		
Hazard Identification and Risk Control	Score	Reference
<p>1. Inspections</p> <p>Routine planned inspections are an effective pre-loss method of identifying hazardous conditions and acts. They involve a systemic review of a company's facilities, equipment, tools and the employees who use them. Inspections can ensure that company and legislative standards are being followed, and identify hazards before they result in accidents.</p>		
<p>(a) Verify that a formal standard, (how, who, what, where, when) exists that sets the criteria for inspections.</p>	(10)	B2 #2(a)
<p>(b) A formal inspection program will be documented for what needs to be inspected and how often. Review the company's requirement for conducting inspections. For equipment you may compare this to the manufacturer's recommendations as a minimum Sample that legislative requirements are being met, for example, log books for hoisting equipment.</p>		
<p>Determine if the intended frequency of the formal inspection program is met.</p>	(0-5)	B1 #1(b)
<p>Determine that positions are assigned for inspections. Verify that the designated position are performing the inspections. Inspections may be performed by any of the following:</p>		
<p>1. safety committee members</p>	(0-2)	
<p>2. employees</p>	(0-2)	
<p>3. manager</p>	(0-1)	B1 #1(b)
<p>(c) Review the company's inspection checklists. Ensure checklists are available for all applications including:</p>		
<p>1. facilities</p>	(1)	B1 #1(c)
<p>2. systems</p>	(1)	
<p>3. equipment</p>	(1)	
<p>4. job sites</p>	(1)	
<p>5. Actions/behaviour of workers</p>	(1)	
<p>Interview workers to determine if they are using the appropriate checklist</p>	(0-5)	

Basic Safety Program Audit Guidelines

ELEMENT B		
Hazard Identification and Risk Control (<i>continued</i>)	Score	Reference
1. Inspections (<i>continued</i>) (d) Interview supervisors to determine how deficiencies get corrected. (0-5) Review action lists or work orders to verify follow-up on identified deficiencies. (0-5) Observe a sample of corrected actions. (0-5) (e) Training for inspections may be formal (documented) or informal (on-the-job training). Training records indicate formal inspection training. Review inspection reports. (3) Interview employees who perform inspections to determine if training was provided. Verify that more than one person is participating. (2)	 	
2. Hazards Identification Hazard identification and risk control is the ongoing process of identifying hazardous conditions or acts and minimizing the associated risks. Hazard identification and risk control involves four steps: identifying the hazard, reporting the hazard, evaluating the risks associated with the hazard, and controlling the risks associated with the hazard. The hazard reporting process fills in the gaps between regularly scheduled inspections. This process can be informal and effective, although it is a little more difficult to prove the informal system's effectiveness. (a) Look for methods used to identify hazards of any kind and communicated before the job starts, ie. hazard reporting, job planning, work permit, pre-job meetings, etc. Systems exists (0-10) Hazards are communicated (0-10) (b) Review the written procedure for identifying and reporting hazards when there are changes to the operation. (0-10) Verify knowledge of the systems by interviewing workers and supervisors concerning their familiarity with the communication of the hazard reporting system based on the positive responses. (0-10)	 	

Basic Safety Program Audit Guidelines

ELEMENT B		
Hazard Identification and Risk Control (<i>continued</i>)	Score	Reference
2. Hazard Identification (<i>continued</i>) (c) Verify that workers have had exposure to training in hazard recognition. Check to see if the hazards are identified. 1. documentation verifies (0-10) 2. interview to verify training in hazard recognition (0-5)	 	B1 #1(c)
3. Risk Assessment (a) Review the procedure the company has in place for assessing risk: 1. confirm that identified hazards are prioritized according to risk. (0-10) 2. Verify that each identified risk has assigned responsibility for corrective action (0-10) (b) Look for procedure(s) for the purchasing of hazardous products. (0-10) Ensure that hazard assessments are performed before purchases are made. Interview workers and supervisors to verify the procedures are used. (0-10) (c) Look for a procedure requiring hazard assessments to be performed on all new or modified operations. (0-5) Interview to verify familiarity with the system. (0-10)	 	B3 #3(a) B3 #3(b) B3 #3(c)

Basic Safety Program Audit Guidelines

ELEMENT B		
Hazard Identification and Risk Control <i>(continued)</i>	Score	Reference
4. Risk Control		
(a) Look for documents on equipment controlled by legislation (i.e.: pressure relief valves, rig masts, etc.).	(0-5)	B4 #4(a)
Observe equipment to determine the effectiveness of the maintenance program by their appearance.	(0-5)	
(b) Look for the maintenance library for reference materials from the manufacturer.	(0-3)	B4 #4(b)
Interview maintenance staff to verify the use of those references.	(0-2)	
(c) Interview employees concerning the variety of controls at their disposals.	(0-2)	B4 #4(c)
Observe the conditions of those controls on the job sites. Score each of the controls 1 or 0, to a max of 3 (i.e.):		
1. Appropriate guards		
2. Appropriate signs		
3. Use of lifting devices		
4. Isolation/purging		
5. Lock out	(0-3)	
(d) Interview employees to determine familiarity.	(0-2)	B4 #4(d)
Look for records of non-compliance and action on them.	(0-3)	
(e) Look for available information, as appropriate (i.e.):		B4 #4(e)
1. CSA Standards		
2. ASME Standards		
3. IMS Standards		
4. IRP Guides		
5. API Standards		
6. Manufacturers Specification		
Award the points for the use of appropriate standard guides.	(0-5)	

Basic Safety Program Audit Guidelines

ELEMENT C		
Rules and Work Procedures	Score	Reference
<p>1. Safety Rules</p> <p>Detailed rules and procedures identify company and legislative requirements and expectations to all employees and contractors. They serve as reference and the minimum standard by which business is conducted. Most importantly, rules and procedures ensure consistency in the performance of tasks by all employees. They ensure that jobs are performed "the right way", which results in the reduction of mistakes, accidents and loss.</p> <p>The auditor needs to know something about the work process to assess whether rules and work procedures are complete and appropriate. The auditor should review the process and be provided with a tour of the operations.</p> <p>(a) Review written rules, assess whether they are appropriate for the operation / facility, employees, etc. Do the rules address the hazards associated with the critical work task performed by the company?</p> <ol style="list-style-type: none"> 1. Confirm the reporting hazards. (0-5) _____ 2. Confirm the existence of an effective drug and alcohol rule. (0-5) _____ 3. Ensure rules exist for personal protective equipment. These rules should address what type of equipment is required, when and where it is to be worn and the care and maintenance of the equipment. (0-5) _____ <p>(b) During interviews determine if the rules have been distributed and if they have been effectively communicated to each employee and contractor. (0-3) _____</p> <p>Observe if rules are posted around equipment or in areas requiring the use of personal protective equipment (i.e.: eye protection, available for operators of grinders, drill presses, hearing protection, available areas with high noise levels, etc.). (0-4) _____</p> <p>Review documentation and question workers to determine if rules are referred to during orientation. (0-3) _____</p> <p>Check safety meeting documentation and training material to determine if safety rules are referred to during safety meetings and training sessions.</p>		<p>C1 #1(a)</p> <p>C1 #1(b)</p>

Basic Safety Program Audit Guidelines

ELEMENT C		
Rules and Work Procedures <i>(continued)</i>	Score	Reference
1. Safety Rules <i>(continued)</i> (a) Cross-Reference C5(b) Interview workers to determine their level of understanding with respect to the intent of the rules. Check for a system that will promote compliance to safety rules. (0-3) This may be in the form of positive reinforcement program for compliance. Check for the existence of written employee responsibilities / accountabilities regarding the compliance to safety rules. (0-3) Confirm that management / supervision demonstrate and promote compliance with rules. Confirm that the workers comply with rules. (0-4)	_____ _____ _____	C1 #1(c)
2. Legislative Compliance Use jobsite evaluation. Legislative compliance should be considered the minimum basic standard by which the company operates. Rules and work procedures must follow or exceed the intent of the legislation. In order to assess legislative compliance, the auditor must know what acts and regulations affect the company / industry and possess a good understanding of the type of requirements contained within. (a) Follow the "JOBSITE EVALUATION" instructions on page J1 of the BASIC SAFETY PROGRAM AUDIT. Using the Jobsite Evaluation Form, conduct an evaluation of the work site(s). Notes should be made of any deficiencies found during the evaluation. Each deficiency may be an indication of a Basic Safety Program element which is not functioning properly. Y - N (0-3) (b) Verify that the company has access to all applicable legislation, ie. Federal, Provincial, Municipal, etc. Interview managers and supervisors to verify the level of knowledge they have of the legislation that applies to the company. (0-2)	_____ _____ _____	C2 #2(a) C2 #2(b)

Basic Safety Program Audit Guidelines

ELEMENT C		
Rules and Work Procedures (<i>continued</i>)	Score	Reference
3. Standard Work Procedures The intent of a procedure is to ensure consistency in the performance of hazardous work and it must form the minimum standard by which a specific task is performed. All procedures should be written in an easily referenced format and readily available to the worker performing the tasks. Workers must have a clear understanding of the procedures they are required to follow. A system for periodic review of procedures should exist. Workers should be observed to determine if they are following procedures. All employees involved in the work task should be given the opportunity to suggest steps that would provide for continuous improvement to the procedure.		
(a) the list should indicate the jobs which have the potential to injure competent workers. Deduct one point for each job found on the Hazardous Job Inventory without a written procedure.	(0-10) _____	C3 #3(a)
(b) hazardous jobs should have been identified (i.e. maintenance, operators, drilling).	(0-10) _____	C3 #3(b)
(c) confirm that procedures and/or Code of Practice (i.e. confined space entry) have been developed for hazardous work and must satisfy applicable legislation.	(0-3) _____	
interview workers to determine if they know what tasks have work procedures, where these procedures are located and generally what makes up the content.	(0-2) _____	C3 #3(c)
(d) confirm that procedures and/or Code of Practice (i.e. confined space entry) have been developed for hazardous work and must satisfy applicable legislation.	(0-3) _____	
review records to ensure that employees receive training on hazardous work procedures and Codes of Practice.	(0-2) _____	
(e) Where practical, observe employees performing critical tasks to confirm use of Standard Work Procedures and Codes of Practice.	(0-10) _____	C3 #3(d)

Basic Safety Program Audit Guidelines

ELEMENT C		
Rules and Work Procedures <i>(continued)</i>	Score	Reference
4. Personal Protective Equipment (PPE) Procedures and rules for the use of personal protective equipment should be written, and known by all employees. Adequate and appropriate equipment should be readily available to all employees for their use. The auditor must be familiar with the fitting, use, cleaning, maintenance and application of PPE. Special attention should be given to items such as the type and condition of cartridges and respirators, operability and use of safety belts, harness and fall arrester devices, etc.		
(a) Confirm that the employees know where to obtain PPE. Verify that there is an adequate supply that is readily available	(0-5) _____	C4 #4(a)
(b) Confirm that employees are wearing PPE when required.	(0-10) _____	C4 #4(b)
(c) Confirm through documentation and interview the following:		C4 #4(c)
are records available for the fitting of PPE where applicable?	(0-5) _____	
have workers been trained in the use of PPE and safety equipment?	(0-5) _____	
(d) Confirm through documentation and interview the following:		
are records available for training on PPE care?	(0-2) _____	
do workers know where to find information on how to care for their PPE?	(0-3) _____	

Basic Safety Program Audit Guidelines

ELEMENT C		
Rules and Work Procedures <i>(continued)</i>	Score	Reference
<p>5. Enforcement</p> <p>An enforcement policy should be based on positive reinforcement which recognizes safety behaviours and correcting violations immediately. The employees must have a clear understanding of the intent of the rules and training must be provided regarding what behaviours are expected. Corrective actions to prevent recurrence with non-compliance to rules should be consistent with guidelines that have been established by the company. The reason why the rule was not followed should always be considered in order to alter sub-standard behaviour. A written discipline policy that provides supervisors with a step-by-step guide on how to administer discipline in a consistent manner should be available and communicated to all employees.</p> <p>(a) Cross-Reference A3(b), A1(b), A3(a)</p> <p>Obtain and review disciplinary policy. Review training and orientation records to confirm communication. Confirm through observation that the enforcement policy is effective. (0-5)</p> <p>Interview employees to confirm that the policy has been communicated. Confirm that employees generally know what the policy is. (0-5)</p> <p>(b) Cross-Reference C1(c)</p> <p>Verify that appropriate rules are posted in work areas. Rules would include such items as smoking and PPE. Subtract one point for each area without posted rules. (0-5)</p>	<p>_____</p> <p>_____</p> <p>_____</p>	<p>C5 #5(a)</p> <p>C5 #5(b)</p>

Basic Safety Program Audit Guidelines

ELEMENT C		
Rules and Work Procedures <i>(continued)</i>	Score	Reference
<p>6. Emergency Procedures</p> <p>Emergency procedures should identify who does what, and when, in the event of an emergency. Responsibility for who is in charge of the coordination of emergency actions must be identified. All emergency scenarios should be identified. The procedures must be easily referenced, concise and understandable. All employees must be aware of content and location of procedures. The contact lists associated with the procedures must be current. The procedures must be updated and tested on a regular basis.</p> <p>(a) Check training records to verify that employee first aid training is current and the appropriate number are trained for the work site. Confirm that peak employment periods such as shutdowns, construction, etc. are in compliance. Include subcontractors. (0-5)</p> <p>Confirm by asking employees.</p> <p>(b) Confirm that the required equipment is available and easily accessible to workers. Verify that the equipment functions and that it is in clean condition. (0-5)</p> <p>Check the First Aid Log Book to verify that injuries are being recorded.</p> <p>(c) A plan may consist of procedures, postings, training, testing and drills. Procedure details would include safe areas, search and rescue, emergency response provisions, medical transportation, notification of next of kin, etc.</p> <ol style="list-style-type: none"> 1. Fire (0-5) 2. Injury / death (0-5) 3. Spills leaks and other releases of hazardous substances (0-5) 4. Natural disasters (0-5) 	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>C6 #6(a)</p> <p>C6 #6(b)</p> <p>C6 #6(c)</p>

Basic Safety Program Audit Guidelines

ELEMENT C			
Rules and Work Procedures <i>(continued)</i>		Score	Reference
6. Emergency Procedures <i>(continued)</i>			
(d) Read the ERP to determine the call out system — who calls who, sequence and timing.	(0-5)	_____	C6 #6(d)
(e) Verify that ERP training has been provided.		_____	C6 #6(e)
Interview employees to determine familiarity.	(0-5)	_____	
Confirm records of drills.	(0-5)	_____	
(f) Interview employees concerning their responsibilities for emergency response. Award score for ability to describe.	(0-10)	_____	C6 #6(f)
(g) From the ERP, determine if drills are being held at least annually.	(5)	_____	C6 #6(g)
(h) Look at revision date on the ERP.		_____	C6 #6(h)
Verify through interviews that the plan is updated based on feedback from drills.	(0-5)	_____	

Basic Safety Program Audit Guidelines

ELEMENT D					
Training				Score	Reference
1. Safety Orientation					
Initial safety training is one of the most important aspects of any safety program. All employees and contractors should receive some level of basic safety training, specific to the facility/company/process, prior to starting work.					
(a) Cross-reference A1(c). D1(c). D1(d).					
Interview workers and check the company policies to verify the requirement for safety orientations. Confirm who is responsible for conducting the orientation and what worker acknowledgement is required.					D1 #1(a)
Are appropriate orientations given to:					
1. newly hired or transferred employees	(3)				
2. contractors	(3)				
3. subcontractors	(3)				
4. visitors	(3)				
(b) Cross-reference B2(a), D2(a), F2(a), F2(d).					
Interview workers and review the company policy and procedures. Are all appropriate elements included? Does the orientation include a review of:					D1 #1(b)
1. company policies and procedures	(2)				
2. specific job hazards	(2)				
3. safety precautions	(2)				
4. job responsibilities	(2)				
5. regulatory requirements	(2)				
6. company enforcement policy	(2)				
7. managements commitment towards workers right to know	(2)				
8. procedure for workers to refuse unsafe work	(2)				
9. the role of supervisor when unsafe work is reported	(2)				

Basic Safety Program Audit Guidelines

ELEMENT D		
Training <i>(continued)</i>	Score	Reference
1. Safety Orientation <i>(continued)</i> (c) Cross-Reference A1(c), D1(a), D1(d) Review documentation to determine if safety orientation is an integral part of the training program. Verify that the orientation takes place at the earliest possible stage of employment (usually within the first week on the job). (0-5)	_____	D1 #1(c)
(d) Cross-Reference A1(c), D1(a), D1(c) Verify by interviews that critical issues are addressed on the first day of the job, or the first day on a new job site. Critical issues may include emergency evacuation procedures, alarm systems, near misses, hazard reporting, etc. (0-10)	_____	D1 #1(d)

Basic Safety Program Audit Guidelines

ELEMENT D		
Training (continued)	Score	Reference
<p>2. On-The-Job Training</p> <p>On-the-Job Training (OJT) provides workers with on-going training after the initial orientation. This relates to task specific training provided at the work place, that provides the knowledge and motivation to perform a task the right way each time. It can be used in conjunction with an evaluation program, to ensure that workers are competent in a position and ready to move on to another. OJT should be provided to all workers who are new to a work site, or when procedures or processes change, etc. The program should also identify when someone should be trained, required to demonstrate competency levels, and who is responsible for providing training.</p> <p>(a) Cross-reference A3(a), F1(a), A4(a), B2(a), D1(b), F2(a), F2(d).</p> <p>On-The-Job-Training may be formal (documented) or informal (no documentation). Award the points only if OJT is provided consistently.</p> <p>Interview new employees to determine what OJT has been provided and what hazards were identified during the training. (0-3)</p> <p>Check for training records, responsibilities, training requirements and required competency levels. (0-2)</p> <p>(b) Determine the process of competence verification (<i>i.e.</i>, checking certification and licenses, use of job log, planned job observation, pairing, etc.). Score the quality of the OJT application. (0-5)</p> <p>Interview workers to determine if they were required to obtain appropriate qualifications prior to beginning work. (0-10)</p> <p>(c) Look at training records and certification requirements. Score based on the percentage that is up-to-date (<i>i.e.</i>, H₂S, First Aid, Confined Space, WHMIS). (0-10)</p>		<p>D3 #2(a)</p> <p>D3 #2(b)</p> <p>D3 #2(c)</p>

Basic Safety Program Audit Guidelines

ELEMENT E		
Communication	Score	Reference
<p>1. Communication System</p> <p>Communications between the employer and employee are very important. Formal communication systems take the form of safety meetings, health and safety committees, suggestion boxes, newsletters, health and safety tours, etc. To be effective, the system must allow the workers to freely provide input into the system and receive feedback on the issues without fear of reprisals.</p> <p>(a) Cross-reference A4(a), E2(b).</p> <p>Check the policy and procedure to verify that there is a communication system. Ensure the system allows for two-way communication, and includes a feedback loop. An action log or similar systems should be in place which assigns responsibility and timing for action items. (0-10)</p> <p>Interview employees to determine if they are given the opportunity to provide input and receive feedback. (0-10)</p>	<div></div> <div></div> <div></div>	E1 #1(a)

Basic Safety Program Audit Guidelines

ELEMENT E		
Communication	Score	Reference
2. Safety Meetings <p>Safety meetings are intended as group communication sessions to provide information on new company programs, initiatives and procedures. This is an important part of training and refresher training. Input of safety suggestions and practical recommendations should be sought from participants.</p> <p>(a) Review safety meeting guidelines. Determine if they include schedules, responsibilities, key topics, and standards for attendance. (0-5)</p> <p>Interview employees to verify that they are given the opportunity to attend. (0-5)</p> <p>(b) Cross-Reference A4(a), E1(a) (0-5)</p> <p>Review meeting minutes to verify that meetings are being scheduled on a regular basis. (0-5)</p> <p>Interview workers to verify that the meetings are occurring. (0-5)</p> <p>(c) Check to see that there is a procedure to ensure that action items are addressed. (0-5)</p> <p>Interview employees to test effectiveness of safety meeting follow-up. (0-5)</p> <p>(d) Interview senior management to verify the review of both unresolved and significant items identified during safety meetings. Y - N</p> <p>(e) Verify that meeting minutes with attendance are on file. (0-5)</p>		<p>E2 #2(a)</p> <p>E2 #2(b)</p> <p>E2 #2(c)</p> <p>E2 #2(d)</p> <p>E2 #2(e)</p>

Basic Safety Program Audit Guidelines

ELEMENT E		
Communication	Score	Reference
3. Safety Records		
(a) Look at the document handling or document management system. Award 5 points for each set of documents in the system .		E3 #3(a)
1. training records (0-5)	_____	
2. completed inspection forms (0-5)	_____	
3. completed incident reports (0-5)	_____	
4. completed investigation reports (0-5)	_____	
5. safety committee minutes (0-5)	_____	
(b) Verify that the safety program is being evaluated (audited) both internally and externally. Determine the required frequency of the evaluations and confirm the last two evaluations were performed on time:		E3 #3(b)
1. external audits N/A if this is the first external (0-5)	_____	
2. internal audits N/A if this is the first internal (0-5-10)	_____	

Basic Safety Program Audit Guidelines

ELEMENT F		
Incident and Accident Reporting and Investigation	Score	Reference
<p>1. Incident and Accident Reporting</p> <p>All types of accidental loss or near loss should be reported, either verbally or in writing, including injury, property damage, equipment failure, environmental loss, security-related loss, vehicular loss and near-miss. All employees should know of the requirement to report accidents and incidents and how this process works. Written guidelines should be provided that identify the responsibilities and specifically how to carry out the requirements. This section deals with notification, reporting, investigation, follow-up, and statistics.</p> <p>(a) Review the procedure and confirm that it outlines a company-specific process for <u>reporting</u> incidents and accidents. (5)</p> <p>Review the procedure and confirm that it outlines a company-specific process for investigating incidents and accidents. (5)</p> <p>(b) Obtain and review a copy of the incident/accident report form. (0-5)</p> <p>(c) Review the procedure and confirm that it includes a senior management review process. (0-5)</p> <p>Interview senior management to verify that they review incident/accident reports. (0-5)</p> <p>(d) Cross-reference A3(a), D2(a), A4(a). (0-5)</p> <p>Check the written policy and verify that employees are required to report all types of loss and potential loss. (0-5)</p> <p>(e) Interview employees to verify all incidents and accidents are being reported. (0-3)</p> <p>Observe equipment for unreported damage. (0-2)</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>F1 #1(a)</p> <p></p> <p>F1 #1(b)</p> <p>F1 #1(c)</p> <p></p> <p>F1 #1(d)</p> <p></p> <p>F1 #1(e)</p>

Basic Safety Program Audit Guidelines

ELEMENT F		
Incident and Accident reporting and Investigation <i>(continued)</i>	Score	Reference
<p>2. Investigation and Follow-Up</p> <p>All accidents and near-miss incidents should be investigated to determine what caused the problem and what action is required to prevent a recurrence. Employees required to perform investigations should be trained in accident investigation technique. Investigation reports should concentrate on determining what the underlying causes were, what management systems failed, and what the company can do to prevent another similar loss. This should be a “fact-finding” exercise rather than “fault-finding”.</p> <p>(a) Cross-reference B2(a), D1(b), D2(a), F2(d)</p> <p>Check training records and establish whether the appropriate persons have been trained. Confirm that the level of training is adequate. Confirm that the required knowledge provided enables the investigators to adequately investigate accidents. (0-5)</p> <p>Interview designated investigators to determine if they have been trained. (0-5)</p> <p>(b) Review completed incident/accident forms. Confirm that sufficient evidence was collected and that the root causes identified are appropriate. (0-5)</p> <p>Interview investigators to determine if they focus on evidence collection and understand what a “root cause” is. (0-5)</p> <p>(c) Review the procedures for incident/accident investigation. There may be a separate procedure for implementing recommendations. Confirm that a procedure exists that clearly defines how recommendations are to be documented. Confirm that procedures exists for assigning accountability for the implementation of those documented recommendations. (0-3)</p> <p>Interview investigators and confirm that they are aware of the procedures for documenting recommendations and the procedure for implementing recommendations. (0-2)</p>		<p>F2 #2(a)</p> <p>F2 #2(b)</p> <p>F2 #2(c)</p>

Basic Safety Program Audit Guidelines

ELEMENT F		
Incident and Accident reporting and Investigation <i>(continued)</i>	Score	Reference
<p>2. Investigation and Follow-Up <i>(continued)</i></p> <p>(d) Cross-reference B2(a), D1(b), D2(a), F2(a).</p> <p>Determine if there is an established process for confirming that corrective action has been taken once the recommendations have been implemented. Typically, this would be a follow-up inspection by the safety committee or a joint worker - management review of the problem area to ensure that the incident/accident cannot reoccur.</p> <p>Interview workers to confirm an effective verification process is in place. Determine if workers are content with the incident/accident follow-up process.</p> <p>(e) Review the accident investigation procedure for a designated, manager/supervisor that coordinates the investigation.</p> <p>Interview investigators to determine if they are aware of who is responsible for coordination of investigations.</p> <p>(f) Verify that documentation exists which confirms internal or external statistics are analysed for trends.</p>	<p>(0-5)</p> <p>(0-5)</p> <p>(0-3)</p> <p>(0-2)</p> <p>(0-5)</p>	<p>F2 #2(d)</p> <p>F2 #2(e)</p>

Basic Safety Program Audit Guidelines

OPTIONAL ELEMENT G		
On-Site Audit Module	Score	Reference
1. Verify by documentation. Records should indicate "pre-qualification" criterion. Award points proportionately for the document(s) covering contractors. (0-20)	_____	
2. Interview Manager who hired contractor. Audit / Certificate of Recognition (COR) may also be available. Award points proportionately. (0-15)	_____	
3. Verify by documents. Sign off sheet for orientation should be on hand. Award points for percentage of contractor's employees orientated. (0-15)	_____	
4. Verify by reviewing pre-job meeting minutes. Interview. Award points for the percentage of positive confirmation. (0-20)	_____	
5. Verify by obtaining a copy of the permit. Interview contractors' for general knowledge of the terms of the permit. Award points for positive indicators (may be "Not Applicable (N/A)"). (0-15)	_____	

Basic Safety Program Audit Guidelines

OPTIONAL ELEMENT G		
On-Site Audit Module	Score	Reference
6. Interview contractors' employees. Continuous supervision should be available. Award points based on positive confirmation. (0-20)	_____	
7. Verify by interviewing contractor employees / supervisors to determine who performed the inspections. Award points for the percentage of sites that have been inspected (need to be formal). (0-15)	_____	
8. Observe general conditions. Verify by reviewing inspection reports, formal and informal, ie., (Review completed inspection reports and determine if deficiencies have been corrected; if no deficiencies are indicated, compare to the auditor's physical conditions, walk around to determine completeness of the inspection process, etc.) Award points for positive indicators. (0-20)	_____	
9. Verify by documentation and observation of equipment on site. Award points for the percentage of positive indicators. (0-20)	_____	
10. Verify by interviewing employees. Award points for the percentage of positive indicators. (0-10)	_____	
11. This should have been in their orientation. Will need to obtain from a main office as this document might not be in the field.	_____	



JOBSITE EVALUATION

CALCULATIVE FORM FOR QUESTION C2(a)

EFFECTIVE DATE JANUARY 1, 2002



Basic Safety Program Audit Guidelines

Jobsite Evaluation

Use the attached jobsite evaluation form to determine how well the company being audited meets company and regulatory requirements. In the first column, items to be evaluated at the worksite are listed under groupings. All these items may not be present at every worksite and in some instances new items may need to be added to the checklist.

Below is the procedure for calculating the jobsite evaluation score. The final score will be a percentage of compliance with company and regulatory requirements.

1. For every item evaluated, place a "1" on the appropriate line of the "Evaluated" column.
2. For every item evaluated, but found deficient, place a "1" on the appropriate line of the "Deficient" column.

Jobsite Observations

<i>Example</i>	NUMBER EVALUATED	NUMBER DEFICIENT
A. JOBSITE CONDITIONS		
4. Working Surfaces	I	
5. Hallways/Aisles		
6. Work Platforms	I	
7. Climbing Devices		
8. Stairways	I	
<i>etc.</i>		

3. Add the number of items evaluated and write the total beside "Total E" for Total Evaluated at the end of the form.

These observations exceed the partnership standard, but are very important to the petroleum industry. Therefore, the scoring of this question will produce a Yes or No answer to be entered into C.2(a).

80% and Above = Yes

79% and Below = No

Jobsite Observations

SCORE CALCULATION

$$\frac{\text{Total Evaluated } \boxed{} - \text{Total Deficient } \boxed{}}{\text{Total Evaluated } \boxed{}} = \boxed{} \times 100 = \boxed{} \% = \boxed{}$$

Score for
C.2(a)

Jobsite Observations

	NUMBER EVALUATED	NUMBER DEFICIENT
A. JOBSITE CONDITIONS		
1. Working Surfaces		
2. Hallways/Aisles		
3. Stairways		
4. Doorways		
5. Educational Training Rooms		
6. Lunchrooms/Housekeeping		
7.		
B. WORK ENVIRONMENT		
1. Lighting		
2. Energy sources		
3. Indoor air quality		
4. Floor design		
5.		

Jobsite Observations

	NUMBER EVALUATED	NUMBER DEFICIENT
C. SUPPLIES / STORAGE		
1. Storage rooms		
2. Waste collections		
3.		
D. EQUIPMENT		
1. Workstation		
2. Chairs		
3. Keyboard / mouse trays		
4. Monitor height		
5. Document holder		
6. Footrests		
7. Printers		
8. Photocopiers		
9. Overhead filing cabinets		
10. Filing cabinets		
11. Electrical Safety		
12.		

Jobsite Observations

	NUMBER EVALUATED	NUMBER DEFICIENT
E. WORKER COMPLIANCE		
1. Compliance with work practices		
2. Compliance with legislation		
3.		
F. EMERGENCY RESPONSE		
1. Emergency evacuation instructions		
2. Fire protection		
3. First aid supplies		
4. First aid attendants workstation signs		
5. Emergency telephones		
6.		
G. LABELS / SIGNS		
1. Fire extinguisher MSDS		
2. Exits / evacuation		
7. Photocopiers/printers toner MSDS		
8.		