



## Sample Auditor Notes in Audit Report

### Multiple Criteria System/Program Type Question (scored at <100%)

A.1.a	<p>Does the company have a written health and safety policy that contains the following:</p> <ul style="list-style-type: none"> <li>-the signature of the current most senior manager for the business units being audited,</li> <li>-the date the policy was signed,</li> <li>-the requirement to comply with government legislation,</li> <li>-a reference to management responsibilities,</li> <li>-a reference to supervisor responsibilities,</li> <li>-a reference to worker responsibilities, and</li> <li>-a reference to the company's goals, aims, responsibilities for and/or commitment to health and safety?</li> </ul>	<p>Review the company's written health and safety policy for the specified criteria (signature, date, compliance to legislation, etc.).</p> <p>Enter the percentage of the seven criteria that appear in the policy. For example, if all criteria except signature are met (i.e., 6 of 7 criteria appear), enter 86% (6/7), and the final score would be 12/14.</p> <p>Doc (0-14)</p>
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In your field notes you note that you reviewed the company's corporate HSE manual. You note that the one missing item is a requirement to comply with government legislation.

### Auditor Note (that meets minimum standard)

<p>A review of ABC Widget's HSE manual confirmed that 6/7 criteria were met. The policy does not contain any requirement to comply with government legislation, it only affirms that employees are to be familiar with applicable legislation.</p>
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### Multiple Criteria System/Program Type Question (scored at 100%)

C.5.a	<p>Is there a preventative maintenance program in place that:</p> <ul style="list-style-type: none"> <li>-includes an inventory or record of assets requiring preventative maintenance,</li> <li>-satisfies legislative requirements, and</li> <li>-satisfies manufacturer's specifications?</li> </ul>	<p>Review the company's preventative maintenance program(s).</p> <p>Enter 100% if the existing system or program is designed to meet all three criteria.</p> <p>Doc (0-2)</p>
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In your field notes you reference where you found the inventory, note the type and number of pieces of equipment in the maintenance inventory (10 picker trucks, 2 overhead cranes, 3 forklifts, 1 shop compressor, 9 H2S monitors). You note the indicators that manufacturer's specifications have been met. And with overhead cranes and commercial vehicles, you have legislated requirements that confirmed have been met by looking over their required maintenance schedules and templates.

**Auditor Note (that meets standard)**

Documentation for a preventative maintenance program that meets all 3 required criteria was found at the Red Deer shop. Their inventory of assets requiring maintenance includes picker trucks, forklifts, compressors, overhead cranes and H2S monitors.

**Implementation Type Question (Documentation)**

C.5.b	Is the preventative maintenance program being implemented as outlined?	Review a sample of maintenance records of active equipment to determine compliance with the maintenance program schedule and requirements. Enter the percentage of positive indicators. Doc (0-3)
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In your field notes you capture that maintenance schedules for trucks are kept on a whiteboard in the shop and includes last recorded mileage/hours, next milestone for planned services such as oil changes, filter replacements and brake inspections. You review 6 of the 10 vehicle binders to confirm they have completed their annual CVIPs and that their other maintenance requirements have been met (compare against whiteboard). You also note the results from looking over service records for all 3 forklifts and the annual inspection for the 2 overhead cranes. You also review 3 of the H2S monitors in the logbook for H2S monitor bump testing.

**Auditor Note (that meets standard)**

A review of both annual CVIPs and regular maintenance for 6 of the 10 trucks, service records for 3 forklifts, annual inspection records for 2 overhead cranes, and a sample of 3 H2S monitors confirmed that 16/20 services were conducted as required. Two trucks and one forklift were late on regular maintenance and one of the H2S monitors missed two months of testing.



## Implementation Type Question (Observation)

C.5.c	Has all equipment requiring preventative maintenance been included within the preventative maintenance program?	<p>Draw a sample of equipment from the preventative maintenance program that may be observed at visited worksites. Observe equipment in the workplace to determine consistency with the inventory. Documented equipment would be a positive indicator while any non-documented equipment requiring preventative maintenance would be regarded as a negative indicator. If a formal inventory has not been created, preventative maintenance records may be used to confirm the inclusion of equipment in the preventative maintenance program.</p> <p>Enter the percentage of observed equipment documented within the preventative maintenance program. Obs (0-10)</p>
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In your field notes, while working through documents for the previous questions, you note that in your shop observation, you should find picker trucks (if they are not out on service calls), two overhead cranes, and two of the forklifts. Your notes from the observation tour confirm these items are there as expected from the inventory you discovered in your documentation search. However, you also note an electric pallet jack that would also require preventative maintenance.

### Auditor Note (that meets standard)

The Red Deer shop tour confirmed that 9/10 of the observed equipment was documented within the preventative maintenance program. There was an electric pallet jack observed that was not included.