



ASSURANCE ELEMENT

April 2018

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1.0 Purpose

The assurance element outlines the requirements for conducting workplace inspections as well as performing auditing and monitoring activities and completing management reviews of Memorial's Health and Safety Management System (HSMS).

2.0 Scope

This element applies to all faculty, staff, students and contractors.

3.0 Definitions

Audit – systematic, independent and documented process for obtaining “audit evidence” and evaluating it objectively to determine extent to which audit criteria and fulfilled.

Management review – planned review to ensure the continuing suitability, adequacy and effectiveness of the HSMS.

Workplace inspection – a systematic review of a workplace and all applicable practices.

4.0 Roles and Responsibilities

4.1. Senior Executives, Deans and Directors

Including Department Heads and Managers are responsible to:

- Implement an inspection and auditing program as prescribed in this element;
- Provide required information and assistance necessary to complete inspections of the workplace and audits of unit/departmental implementation of the HSMS;
- Ensure all records are maintained as per the Document and Record Management element;
- Ensure reports are reviewed and issues identified are corrected and controlled; and
- Participate in management review of the HSMS ensure recommendations are implemented.

4.2. Supervisors

- Conduct planned and unplanned workplace inspections and ensure corrective action is taken to address hazards identified;
- Co-operate with any persons performing a workplace inspection;
- Participate in Workplace Health and Safety committee inspections, when possible;
- Review and ensure all items identified on the Workplace Inspection Report are addressed in a timely manner by initiating the appropriate correction action;
- Communicate results of the inspections and the corrective actions taken with workers; and
- Ensure workers are complying with unit / departmental written procedures; and
- Provide input into and participate in the management review process.



4.3. Workplace Health and Safety (WHS) committee

- Develop a schedule to ensure all workplaces are inspected at least annually;
- Communicate inspection plan to workplace occupants and conduct annual inspection;
- Complete inspections using the approved inspection documentation process;
- Input non-compliances into Memorials Incident Management System (MIMS); and
- Forward completed inspection reports to management for review and response as necessary.

4.4. Member of the University Community

- Cooperate with any person performing a workplace inspection;
- Ensure hazards observed are communicated to immediate supervisor or by utilizing MIMS; and
- Complete pre-use inspections, as required and ensure unit / departmental written procedures specific to task being completed are complied with.

4.5. Environmental Health and Safety

- Provide guidance to university community on requirements for conducting workplace inspections, performing auditing and monitoring activities within unit/department and management review process, as required;
- Conduct Class A inspections as outlined in section 5.1.1 involving high hazard areas/activities;
- Develop and conduct audit of the HSMS as prescribed in section 5.2 and implement changes as required;
- Audit unit/department implementation of the HSMS;
- Ensure the HSMS management review is planned and documented and that the necessary review information is collected, analyzed and presented; and
- Track and administer management review decisions.

5.0 Procedure

5.1. Inspections

Periodic inspection of work areas are required to: identify the presence of hazards or non-compliant practices requiring control measures or other remedies and to provide an opportunity to correct any problem(s) so that an injury, illness and/or loss does not occur.

5.1.1 Inspection Frequency

A three-tier inspection framework has been adopted by the university:

Inspection Type	Group Responsible	Frequency
Class A Inspections involving high hazard areas/activities	EHS unit and university subject matter experts	Scheduled based on risk assessment
Class B Supervisory level inspections focused on their specific workplace	Supervisors	Monthly; or more frequently as required



Class C General workplace inspections	WHS committee	Annually
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5.2. Monitoring and Auditing

EHS holds the central monitoring and auditing function for the HSMS to confirm the adequacy, implementation and effectiveness of the HSMS. This assessment may be performed internally or externally at the discretion of EHS and at a minimum will:

HSMS Component	Frequency
Health and Safety Policy	Annually
HSMS element	Every 3 years
Administration of WHS committees	Annually
Unit / Departmental HSMS Compliance Audit	Every 3 years

Units are responsible for ensuring that the HSMS is implemented within their individual groups.

The main objectives of the monitoring and auditing process are:

- Provide a formal opportunity for senior administrators and unit heads to identify areas of concern which directly impact on their health and safety responsibilities;
- Provide senior administrators and the BOR with an overview of each area’s level of compliance with the required legislation and policies of the university; and
- Identify opportunities for operational and process improvements that add value to the unit and contribute to better health and safety management of a workplace.

5.3. Record Management, Retention and Disposal

As per the Health and Safety Management System [Document and Record Management element](#), records are necessary to demonstrate conformity to the requirements of the HSMS and the results achieved. All groups are responsible for ensuring that records created as part the HSMS are maintained remain legible, identifiable and traceable.

Hard copies or saved electronic copies of confidential or sensitive documents requiring disposal must be done so through a secure records disposal agreement. If a unit doesn’t have access to a secure disposal service then documents must be shredded prior to being placed in a paper recycling bin or verification of deleted saved electronic copies.

5.4. Management Review

Senior Executives, Deans and Directors, with the assistance of EHS, shall review the university’s HSMS at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. Records of these reviews shall be maintained as per the Document and Record Control element. Review shall include opportunities for



improvement (OFI) and the need for changes to the HSMS including - H&S policy, HSMS Manual and supplementary elements.

Input to management reviews shall include:

- Results of internal audits and evaluations of compliance with applicable legal requirements and internal procedures;
- Results of participation and consultation;
- Relevant communication(s) from external interested parties, including complaints;
- OHS performance of the organization;
- Extent to which objectives have been met;
- Status of incident investigations, correctives actions and preventive actions;
- Follow-up actions from previous management reviews;
- Changing circumstances, including developments in legal and other requirements related to OHS; and
- Recommendations for improvement.

Relevant outputs from management review shall be made available for communication and consultation.