



# Self-Audit Proficiency

## Personal Maintenance Audit

**NOTE – This document is not for COR® or SECOR® Audits**  
**Contact the SCSA for information on using AuditSoft**

Select to Submit Form

# Self-Audit Proficiency

**NOTE: Only complete this form if this is your first audit. All Self-Audit Proficiencies must be submitted for review to the SCSA within the 8-month deadline from the date of taking Safety Auditor Training. Self-Audit submissions must include the Interview pages and the Interview Summary Sheets.**

Course Instructor: \_\_\_\_\_

Auditor Name: \_\_\_\_\_

Company Name: \_\_\_\_\_

Company Address: \_\_\_\_\_

Postal Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Facsimile: \_\_\_\_\_

Email: \_\_\_\_\_

Location(s) Audited:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**Completed Self-Audit Proficiencies, along with this form, can be emailed to [scsaprograminfo@scsaonline.ca](mailto:scsaprograminfo@scsaonline.ca)**

**NOTE: If submitting to a Saskatchewan Construction Safety Association Inc. (SCSA) office nearest you, please attach this form to the completed Self-Audit Proficiency document.**

498 Henderson Drive  
Regina, SK S4N 6E3

2606 Koyl Avenue  
Saskatoon, SK S7L 5X9

# Self-Audit Checklist

Review the following guide and ensure all components are met prior to submitting your Self-Audit to the SCSA for review. **NOTE:** All Self-Audit Proficiencies must be submitted for review to the SCSA within the 8-month deadline from date of taking Safety Auditor Training.

## Documentation of Audit

- Have you completed the audit to the best of your ability and is it neat, legible and in ink?  
**NOTE:** If hand written, ensure the original (written in ink) is submitted to the SCSA.
- Is the type of evaluation indicated? (Self-Audit and/or Internal Audit)
- Are all “non-applicable” items correctly marked (N/A), stroked out, initialled, and justified with written comments?
- Are all errors/changes in the Audit Tool crossed out neatly and initialled?
- Are all areas of the Audit Tool filled out completely and appropriately?
- Are comments provided for each deficiency?

## Evaluation Summary Sheet

- Are all areas of the Evaluation Summary Sheet filled out completely and appropriately?
- Are comments provided for each element?
- Is the percentage obtained calculated to the nearest whole number?
- Have you indicated whether or not the standards have been achieved?
- Has the goal, determined by the company (Auditee), for the next audit been set?
- Is the Evaluation Summary Sheet signed by you (the Auditor) and by a senior company representative?

## Executive Summary

- Do the recommendations on the Auditor Executive Summary start and end on a positive note, and do they follow the executive summary completion guidelines while also addressing root causes?
- Is the written executive summary consistent with Audit findings?

**Be sure to...**

- Make a copy of the audit for your records.
- Include all parts of the Audit including Evaluation Information Sheet, Executive Summary, and Interview section including both Manager and Worker Interview Questions along with the Interview Summary Sheet.
- If applicable, submit the optional summary program.

***NOTE: If submitting executive summary on separate document, ensure it is signed and dated by Auditor and Senior Company Representative.***

***This form must be completed and submitted with the Self-Audit Proficiency.***

***REMINDER: Only one Auditor can sign off on Audit submissions.***

# PDF Fillable Audit Instructions

## Opening the Audit Tool

- 1) Save the Fillable SCSA Audit Tool to your computer (Select File, then Save As)
- 2) Once saved to the desired location, right click on document from the drop down list select “open with”
- 3) From the “Open With” drop down menu select whichever reader you have on your computer. For example, Adobe Acrobat Reader DC – This is a free program.
- 4) Save your work as you go, and when you are done.

**This is an Important Step, as the fillable option will not work if you do not save to your computer prior to beginning.**

## Functions of the Audit Tool

- 1) This tool automatically tally’s the score in the points awarded column when answers are marked.
- 2) These totals are then transferred to the Evaluation Summary Sheet
- 3) When recording the positive and negative answers to the interview questions, these totals are then transferred to the Interview Summary Sheets.
- 4) If needed, you can re-set the verification techniques using the re-set button on the first page.

## Filling out The Audit Tool

- 1) All spaces under verification techniques must be completed by selecting:  
 (✓)       (X)    OR    a value from a dropdown menu  
Acceptable    Deficient
- 2) All deficient items () must have a labelled comment to justify.
- 3) “**AND**” questions valued at three or less points, must have both acceptable answers to receive points.
- 4) “**AND**” questions valued a four or more points, refer to the question guidelines for possible partial points.
- 5) “**OR**” questions must have at least one acceptable answer to receive points.

## Submitting the Completed Audit Tool

- 1) On the cover page, there is a submit form button.
- 2) Once completed simply select and an email will generate attaching the completed document.
- 3) All signatures must be completed in order to complete this step.
- 4) If you are unable to complete the digital signatures and are printing the required pages to sign, you will have to attach the document to an email and send manually.

## Non-Applicable Items:

- 1) Sections not applicable must be supported with a detailed comment to justify the reasoning.
- 2) Using your document tools highlight the text you would like to strike through using your mouse cursor, right click and select strike through text.

SCSA National Standard Safety Program Evaluation	
Health and Safety	
12.0	<b>Statistics and Records</b>
12.1	Is there a process to organize and manage program documentation?
12.2	Are adequate health and safety activity summaries developed and maintained?
12.3	Are health and safety statistical reports generated on an on-going/regular basis?
12.4	<del>Does the company compare health and safety performance year to year?</del>
12.5	Are the annual statistics analyzed and needs or trends identified?
12.6	Are adequate first aid treatment records kept?

- 3) Click anywhere on the page, using your mouse right click and select edit text on the top bar, next select Add Text and put initials on the same line as the omitted questions.

The screenshot shows the 'Health and Safety Program Verification' table. A right-click context menu is open over the table header, with 'Edit Text' circled in red. Below the table, the 'Add Text' button in the top navigation bar is also circled in red.

- 4) Change the possible score for the omitted question to zero. This will auto-populate the total possible score as well as the scores on the Evaluation Summary Sheet.
- 5) You must leave the verification and points awarded areas blank.
- 6) If you have entered a checkmark or an X and want to “Clear” the entry before marking it Not Applicable, you must click on the “Clear” button located to the left of the question. Applicable in Section 12 & Section 14 only. Change possible points to zero.

## Audit Interviews

- 1) Select from either drop down list whether there is a negative or positive answer
- 2) For each additional answer go up by one number
- 3) Totals are transferred to the Interview Summary Sheet.

- 4) Determine if the answer is indicating a positive number (✓) or a negative number (\*).
- 5) Move the answers from the Interview Summary Sheet to the corresponding section in the audit.

## **Saskatchewan Construction Safety Association Inc. (SCSA)**

The Saskatchewan Construction Safety Association (SCSA) is an industry funded, non-profit organization committed to providing cost effective, affordable and accessible safety training to the construction industry in the province of Saskatchewan. The mandate of the SCSA is to provide proactive safety and safety-related programs and services to the construction industry that result in a sound foundation for a healthy and profitable industry.

### **Disclaimer**

The information presented in this publication is intended for general use and may not apply to every circumstance. It is not a definitive guide to government regulations and does not relieve persons using this publication from their responsibilities under applicable legislation. The Saskatchewan Construction Safety Association does not guarantee the accuracy of, nor assume liability for, the information presented in this evaluation package. Individual counselling and advice is available from the Association.

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## General Instructions

Enter ✓ for <b>acceptable</b> items and x for <b>deficient</b> items.	<b>Calculate</b> the overall score in percentage ( <b>to the nearest whole number</b> ) for sections <b>(1) through (14)</b> and <b>enter</b> in the box provided.
Enter the <b>points awarded</b> for each item in the " <b>points awarded</b> " column to the right.	<b>Carry points</b> from each section of the SCSA Supplemental to the "actual points" column on the evaluation summary sheet.
Answer <b>both sides</b> of all " <b>AND</b> " & " <b>OR</b> " questions.	Sections in the SCSA Supplemental must achieve <b>at least 50%</b> to meet standard.
Issue points for " <b>AND</b> " questions according to the guideline instructions.	Indicate " <b>YES</b> " for standard achieved and " <b>NO</b> " for standard not achieved for each item in the SCSA Supplemental Section. Indicate " <b>YES</b> " for standard achieved and " <b>NO</b> " for standard not achieved for each item in the SCSA Supplemental Section.
Issue point for " <b>OR</b> " questions only when <b>one or both are positive</b> .	Overall <b>audit score</b> must be at least <b>80%</b> and <b>all elements</b> including SCSA Supplemental sections must achieve <b>at least 50%</b> to meet standard.
Provide a <b>labelled comment</b> to justify all deficient items ( <b>every x</b> ).	<b>Circle</b> the appropriate "standard achieved" response ( <b>Yes or No</b> ) next to the overall audit score.
Place <b>comments</b> only in the <b>appropriate area</b> at the bottom of each page.	<b>Sign</b> the evaluation summary sheet.
Keep <b>comments</b> brief and <b>relevant</b> to the findings on the audit.	Obtain the <b>senior company officer's signature</b> and a <b>goal</b> for the next audit.
<b>Initial</b> all <b>changes</b> and/or <b>corrections</b> made to the audit.	Audits that score <b>80%</b> overall, but <b>fail up to (2) sections</b> do not meet standard, however qualify for a <b>limited scope</b> .
Cross out <b>wrong entries</b> with <b>one or two straight lines</b> and enter the correct entry adjacent. <b>Initial</b> the change.	The auditor must <b>destroy</b> all documents and notes associated with interviews.
Remove items that are <b>not applicable</b> to the audit and the scoring.	<b>Interviews</b> are <b>confidential</b> and must not be discussed with anyone.
<b>Cross out</b> items that are <b>not applicable</b> and mark with "N/A" and your <b>initials</b> .	The overall audit results and report provide <b>privileged information</b> available only to the <b>SCSA</b> , the <b>Auditor</b> and the <b>Auditee</b> senior management.
<b>Explain</b> why an item is <b>not applicable</b> in the comment section.	Summarize the results of the audit in the written <b>executive summary</b> .
<b>Carry adjusted scores</b> for not applicable items to the totals on <b>evaluation summary sheet</b> .	Include <b>mandatory information</b> in the executive summary.
<b>Complete all areas</b> on the evaluation summary sheet, including company name, auditor and audit date(s).	
<b>Comment</b> for <b>each section</b> on the <b>evaluation summary sheet</b> using brief comments that capture the key findings for that section.	
<b>Carry points</b> from each section of the audit to the " <b>actual points</b> " column on the <b>evaluation summary sheet</b> .	

## Definitions

<b>Auditee</b>	The organization or company whose safety program is being audited.	<b>Policy Statement</b>	A brief description or reference to company protocol endorsed (signed and dated) by senior company management.
<b>Management</b>	Individuals that have overall responsibility for one or more projects, locations or departments within an organization.	<b>Formal Inspection</b>	An observation of a worksite designed primarily to identify, record and correct existing unsafe acts and conditions.
<b>Senior Management</b>	Individuals that have responsibility for an entire operation within Saskatchewan or beyond.	<b>Near Miss</b>	An incident which did not, but which had the potential to, result in serious property damage or injury.
<b>Supervisor</b>	Individuals that have been authorized to direct the activities of one or more employees.	<b>Trends</b>	Determined through the analysis of safety statistics to show the rate of increase or decrease of leading and/or lagging indicators
<b>Posted</b>	Safety information made available to the supervisors and employees by posting it on a bulletin board used specifically for that purpose.	<b>Action Plan</b>	A specific, timely and written plan of action developed and implemented based on the results of a safety Audit.
<b>Contractor</b>	Person or company that carries out work for a company as part of a project.	<b>Executive Summary</b>	A Written report that summarizes the results of a safety Audit.
<b>Safe Work Practice</b>	Written guideline (do's and don'ts) on how to safely use or handle a tool, a piece of equipment, a chemical or a specific process.	<b>WCB</b>	Worker's Compensation Board
<b>Safe Job Procedure</b>	Written step by step instructions on how to safely perform a specific task.	<b>Internal Audit</b>	An Audit completely managed and conducted internally by the auditee.
<b>Job Hazard Analysis</b>	A process used to identify, assess and control the hazards associated with a particular task. Commonly used to develop job procedures.	<b>Student/Training Audit</b>	A student auditor that is conducting a self-audit for the purpose of attaining internal auditor certification.

## Definitions

<b>Basic PPE</b>	Personal protective equipment usually work at all times on a work site. Includes standard items such as hard hat, foot wear and safety glasses.	<b>Current Number of Employees</b>	The maximum number of employees the auditee has or is expected to have at the time of the audit, including contractors.
<b>Specialized PPE</b>	Personal protective equipment that is more specific to particular hazards on a work site. Includes items such as hearing protection, fall protection, respirators, monitors, etc.	<b>Key Contact</b>	The key contact is the person primarily concerned with the detailed administration of the safety program and may not necessarily be a senior company officer.
<b>Orientation</b>	A special training session used to orient new or transferred workers to an organization and / or to a particular work site.	<b>Certification Number</b>	An auditor's most recent SCSA Auditor Certification number.
<b>Tool Box Meeting</b>	A short routine meeting designed to address safety issues and training, also called Tail Gate Meeting.	<b>Reciprocity</b>	Reference to an agreement between certain Construction Safety Associations within Canada that promotes interprovincial trade while maintaining a defined minimum safety standard.
<b>Hazard Controls</b>	<b>(Recommendations / Follow up / Remedial Action)</b> Various terms used to refer to the action that has or will be taken to control hazards identified and assessed during hazard assessments, meetings, inspections, investigations, job hazard analysis and other processes defined in safety Policy.	<b>Service Provider</b>	Person or company that sells or supplies something such as goods or equipment.

## Evaluation Information

- 1 List all dates included in the Audit.
- 2 List all locations and worksites included in the audit
- 3 Check all boxes that apply for “Type of Audit” and “Type of Auditor”
- 4 List the name(s) of the most current trained individual(s) representing the Certificate of Recognition complete with the most recent training date. List only one name for each category. Individuals listed must be in full time or part time service to the employer.
- 5 Enter company information and include the e-mail address for the key contact. The key contact is the person primarily concerned with the detailed administration of the safety program and may not necessarily be a senior company officer.
- 6 List the number of workers at the time of the audit, include employees associated with employers under contract to the auditee. This number will be used to determine the interview sample size.
- 7 Enter auditor information only for the certified auditor. If information does not apply for certain fields enter “n/a”
- 8 Only 1 Auditor name can appear on the audit tool.
- 9 All fields on this form must be completed.

**Evaluation Information Sheet**

<b>Audit Dates d-mmm-yyyy</b>		<b>Locations Included in the Audit</b>		
<b>Type of Audit</b>	<b>Type of Auditor</b>	<b>Training Verification</b>		
			<b>Name</b>	<b>Date Completed</b>
Training/Self	Student	Safety Management		
		Leadership for Safety Excellence with Proficiency		
Personal Maintenance		Safety Auditor Training		
		WHMIS 2015 Train the Trainer or WHMIS 2015 Live on the Work Site or Basic Training Techniques		

**Company Information**

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ Province: \_\_\_\_\_

Postal Code: \_\_\_\_\_ Phone Number: \_\_\_\_\_ Email: \_\_\_\_\_

Key Contact: \_\_\_\_\_ Current Number of Employees: \_\_\_\_\_

WCB Account Number(s): \_\_\_\_\_ Nature and Type of Work: \_\_\_\_\_

WCB Industry Code(s): \_\_\_\_\_

**Auditor Information**

Name: \_\_\_\_\_ Office Number: \_\_\_\_\_

Company: \_\_\_\_\_ Cell Phone: \_\_\_\_\_

Address: \_\_\_\_\_ Fax Number: \_\_\_\_\_

City: \_\_\_\_\_ Email: \_\_\_\_\_

Province: \_\_\_\_\_ Cert #: \_\_\_\_\_

Postal Code: \_\_\_\_\_



## Manual Verification

Sections (1) through (14) make up the SCSA Standard Safety Program Evaluation Tool. The auditor must preview the safety manual and confirm that a written process exists for each of sections (1) through (12) and (14), section (13) is confirmed if adequate references to legislation appear throughout the document.

Sections (SS1) through (SS3) make up the SCSA Supplement to the SCSA Standard Safety Program Evaluation Tool and must be included in any audit conducted for the purpose of obtaining or maintaining a full SCSA Certificate of Recognition. Organizations from out of province that have been granted reciprocity and obtain work in Saskatchewan may be audited on the supplemental sections.

When the SCSA Supplement applies, the auditor must confirm that a written policy exists for section SS2. For section SS3, the auditor must confirm that a Committee or Representative has been established or a written process on how the organization will establish a Committee or Representative.

Verification of sections (1) through (14) and sections (SS2) and (SS3), when applicable, must be completed prior to the audit. If any of the required written processes or policies cannot be confirmed the auditor and the auditee may consider postponing the audit until sufficient documentation is in place.

The programs listed in sections (OP1) through (OP3) are recommended; however are optional and not required for SCSA certification or reciprocity. These sections are included for SCSA member internal use only. Auditors must not include these optional sections in the audit report or score.

Confirm or deny each section by placing a check under the appropriate column.

## Safety Manual Verification

<b>MISSING SECTIONS</b>	Does the Company's Health and Safety Program contain the following?	YES	NO
If any of the listed sections cannot be confirmed (Sections 1 through 14 and SS2 / SS3) the auditor and auditee may consider postponing the audit until sufficient documentation is in place.	1. Health and Safety Policy		
	2. Hazard Assessment, Analysis and Control		
	3. Safe Work Practices		
	4. Safe Job Procedures		
	5. Company Rules		
	6. Personal Protective Equipment		
	7. Preventative Maintenance Program		
	8. Training and Communication		
	9. Inspections		
	10. Investigations and Reporting		
	11. Emergency Preparedness		
	12. Statistics and Records		
	13. Legislation (Look for references to legislation throughout the safety manual)		
	14. Procurement and Contractor Management		

<b>SASKATCHEWAN SUPPLEMENTAL</b>			
These are required to achieve COR <sup>®</sup> Certification	SS1. Physical Conditions (Not required to be addressed in the safety manual)		
	SS2. Harassment Policy		
	SS3. Occupational Health Committee / Representative		

<b>OPTIONAL PROGRAMS</b>			
The programs listed in Sections OP1 through OP3 are recommended; however are optional and not required for SCSA certification or reciprocity.	OP1. WCB Claims Management		
	OP2. Environmental Protection Policy		
	OP3. Miscellaneous Programs		

<b>1</b>	<b>Guidelines – Safety and Health Policy</b>
<b>1.1</b>	The policy must state management's commitment to providing a safe and healthy work environment.
<b>1.2</b>	The policy must include a statement of the employer's commitment to work in a spirit of consultation and cooperation with their employees or clearly express the commitment to work jointly with their workforce in the development and implementation of their safety and health program.
<b>1.3</b>	The policy should include individual safety and health obligations and make reference to documented safety and health responsibilities of workplace parties (management, supervisors, employees, safety and health representatives, contractors, etc.). This information could be contained in a document separate from the company safety policy. - Award two (2) points for the written assignment of safety and health responsibilities. - Award two (2) points based on the majority of positive interview responses.
<b>1.4</b>	The policy must be signed by current senior management with a current date. Note: Not more than 3 years passed.
<b>1.5</b>	During worksite observations, verify the safety and health policy has been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to employees (in the form of a handbook, safety and health manual, or other accessible electronic formats).
<b>1.6</b>	The majority of interview responses must confirm that all personnel understand the safety and health policy.



Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
1	Safety and Health Policy		D	O	I	
	<i>Senior management shall establish, implement, monitor, and maintain a documented occupational safety and health policy appropriate to the scale and nature of the organization's operations and activities, and associated risks. Does the employer have a written safety and health policy that:</i>					
1.1	Includes management's commitment to provide a safe and healthy work environment?	3				
1.2	Expresses a commitment to work in a spirit of consultation and cooperation with the employees?	3				
1.3	Addresses accountability and responsibility for safety and health for workplace parties?	4		AND		
1.4	Is signed by current senior management and appropriately dated?	2				
1.5	Is visibly posted in the workplace and/or made readily available to all workplace parties.	3		O R		
1.6	Is communicated to workplace parties?	3				
<b>COR® total points possible/ awarded</b>		<b>18</b>				

**Deficiency Statements/ Auditor Comments:**

Comments are mandatory for all deficient items. Label comments with the appropriate reference number.

SCSA National Standard Safety Program Evaluation Tool

2	<b>Guidelines – Hazard Assessment, Analysis and Control</b>
2.1	<p>An employer is required to complete formal hazard assessments that encompass all aspects of company operations, including both routine tasks and non-routine work. Hazard assessments could also include primary scopes of work undertaken by the company, task inventories, or occupational exposures. The hazard assessments should be based on the work performed and should result in the identification of hazards and implementation of control measures.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on documentation of completed formal hazard assessments as per company policy/directive.</li> <li>- Award three (3) points based on observations that the formal hazard assessments accurately reflect the activities on site and are made readily available.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
2.2	<p>Completed hazard assessments must clearly report/describe existing and potential hazards and the majority of interview responses must confirm employees' review of the information on hazard assessments. Both documentation and interviews must be confirmed to award points.</p>
2.3	<p>Completed hazard assessments must show that risks are assessed/evaluated prior to work being performed. An example of an assessment/evaluation could include hazard ranking using frequency, severity, and/or probability ranking.</p>
2.4	<p>Documentation must show that risks on hazard assessments are reassessed/re-evaluated when people, equipment, material, environment, or processes are changed. The frequency of this type of assessment will depend on how often changes occur. The hazard assessment commonly used before each day, or each task, is a good example of an ongoing risk assessment process.</p> <ul style="list-style-type: none"> <li>- Award three (3) points based on documentation of completed ongoing risk assessments from the same worksite location as applicable.</li> <li>- Award three (3) points based on the majority of positive interview responses.</li> </ul>
2.5	<p>Documented hazard assessments must include consideration of design and layout of the work area, ergonomics, machinery, or processes to award points for this section. The risk of musculoskeletal injury and appropriate prevention control (safe job procedures, tailored work schedules, personal protective equipment, etc.) would be an example for awarding points.</p>
2.6	<p>The names of the individuals involved in hazard assessments must be identified on the documentation. Employees, supervisors/management, and any other individuals on site must be involved in the hazard assessment process.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on verification of appropriate signatures on completed hazard assessments.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul> <p>Note: All levels of employees within the company should be involved in the hazard assessment process.</p>
2.7	<p>Verify training has been completed for individuals involved in the hazard assessments to confirm their competency.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on verification of training for individuals identified on completed hazard assessments.</li> <li>- Award two (2) points based on the majority of positive interview responses of those responsible.</li> </ul>
2.8	<p>Verify a critical task list has been completed (a list of tasks involving the potential for serious injury or death — for which related safe job procedures should be developed). Points may also be awarded if critical tasks are identified on completed hazard assessments as well as having the applicable safe work procedure included as the control.</p>
2.9	<p>Once hazards are identified, appropriate controls must be put in place. Verify the methods of control follow the hierarchy of controls (elimination, substitution, engineering controls, administrative controls, personal protective equipment).</p> <p>Verify through documentation showing hierarchy of controls was used to determine the appropriate control method. Points may also be awarded by verifying employees are following the controls identified on the hazard assessment for the job/task.</p>
2.10	<p>Verify through documentation and interviews that appropriate individuals/roles are assigned the responsibility to implement the control. Both documentation and interviews must be confirmed to award points.</p>
2.11	<p>When a control involves a time requirement or additional effort to implement, there must be a process or timeline indicating when the control is implemented.</p> <p>Verify through documentation that the control has been implemented (typically through a signature and completion date) or through observation that the identified controls have been implemented.</p>

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
2	Hazard Assessment, Analysis and Control		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s) and / or guideline(s) for assessing, analyzing, and controlling hazards that is appropriate to the nature of the hazards and level of risk.</i>					
2.1	Do formal hazard assessments include all aspects of company operations, including routine and non-routine where work is performed?	7				
2.2	During hazard assessments are both existing and potential hazards identified and reported?	3		AND		
2.3	Are risks assessed/evaluated prior to work being performed?	3				
2.4	Are risks reassessed/re-evaluated as when people, equipment, material, environment, or processes are changed?	6		AND		
2.5	Are design and layout of the work area, ergonomics, machinery, and processes considered in the assessments?	3				
2.6	Are appropriate personnel involved in the hazard assessment process?	4		AND		
2.7	Are the personnel competent to participate in the hazard assessment process?	4		AND		
2.8	Has a list of critical tasks or activities been created and/or included within the hazard assessments?	4				
2.9	Are controls developed for identified hazards using the hierarchy of controls?	4		OR		
2.10	Are individuals / roles assigned to implement the controls identified?	3		AND		
2.11	Is there a process / timeline for indicating when the control is implemented?	4		OR		
<b>COR® total points possible/ awarded</b>		<b>45</b>				

**2 Hazard Assessment, Analysis and Control - Continued**

**Deficiency Statements/ Auditor Comments:**

Comments are mandatory for all deficient items. Label comments with the appropriate reference number.

<b>3</b>	<b>Guidelines – Safe Work Practices</b>
<b>3.1</b>	<p>During worksite observations, look for tools or tasks and review the safe work practices to ensure the appropriate practices have been written. For example, if the auditor observes extension ladders in use at the worksite but safe work practices have not been developed for extension ladders, points would not be awarded for this question.</p> <p>Note: Review documentation to verify that developed safe work practices accurately reflect activities the company performs.</p>
<b>3.2</b>	<p>Verify through interviews that the majority of employees are able to demonstrate an understanding of the company’s safe work practices by describing some of the key points they contain.</p>
<b>3.3</b>	<p>Applicable safe work practices must be readily available at each worksite and employees should be able to identify their location.</p> <p>Note: If electronic documentation is used, verify they are readily accessible in order to award points.</p>
<b>3.4</b>	<p>Confirm that employees are performing tasks/using tools in a manner consistent with the safe work practices.</p>
<b>3.5</b>	<p>Verify through interviews that safe work practices have been a relevant topic of discussion. Points can also be awarded if the company has a formal process to regularly review/revise safe work practices that includes both management and employees.</p>

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
3	Safe Work Practices		D	O	I	
	<i>Safe work practices are generalized “do’s and don’ts” of how to carry out a task or use equipment. Practices inform the employee about the hazards that are present and provide direction on how to safeguard against the hazards. They are general guidelines (safety tips) only and do not need to follow any specific order.</i>					
<b>3.1</b>	Have safe work practices applicable to operations been written?	<b>2</b>	<b>AND</b>			
<b>3.2</b>	Are they understood by employees?	<b>2</b>				
<b>3.3</b>	Are they readily available?	<b>2</b>		<b>AND</b>		
<b>3.4</b>	Are safe work practices followed by employees?	<b>4</b>				
<b>3.5</b>	Have both management and employees participated in the development/review of these practices?	<b>2</b>		<b>OR</b>		
<b>COR® total points possible/ awarded</b>		<b>12</b>				
<b>Deficiency Statements/ Auditor Comments:</b>						
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.						

<b>4</b>	<b>Guidelines – Safe Job Procedures</b>
<b>4.1</b>	<p>Confirm through documentation and observation that written safe job procedures accurately reflect activities that the company performs. An index of safe job procedures must be submitted.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on verification that written safe job procedures accurately reflect activities the company performs.</li> <li>- Award two (2) points based on verification that high-risk or critical tasks identified by the company have a written safe job procedure.</li> <li>- Award two (2) points based on observations that the written safe job procedures accurately reflect the company's worksite activities.</li> </ul>
<b>4.2</b>	<p>Employees must be able to give an example(s) of safe job procedures they are required to follow with respect to critical tasks. Critical tasks are high-risk activities in which employees must be able to identify and understand they need to follow the step-by-step procedures.</p>
<b>4.3</b>	<p>Ensure copies of the company's safe job procedures are at each worksite and readily available to employees. The majority of employee interview responses must confirm an understanding of where safe job procedures are kept.</p> <p>Note: If electronic documentation is used, verify they are readily accessible in order to award points.</p>
<b>4.4</b>	<p>Confirm that employees are performing tasks in a manner consistent with the safe job procedure(s).</p>
<b>4.5</b>	<p>Review safety meeting minutes to verify safe job procedures have been a relevant topic of discussion and confirm both management and workers have participated.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on documentation that verifies both management and worker participation in the development or formal review/revision of safe job procedures.</li> <li>- Award two (2) points based on the majority of positive interview responses confirming workers have received instruction or training in safe job procedures.</li> </ul>

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
4	Safe Job Procedures		D	O	I	
	<i>Safe job procedures are written, step-by-step instructions for completing specific tasks safely. Safe job procedures must clearly identify the steps required to complete the task (in proper order), the hazards the employee could be exposed to, the control measures, and what to do in an emergency (i.e.: spill containment, shut down).</i>					
4.1	Do the safe job procedures accurately reflect the employer's current work activities, including high risk or critical tasks?	6	AND			
4.2	Are they understood by employees?	4				
4.3	Are these procedures available and easily accessible to employees?	3		AND		
4.4	Are safe job procedures followed by employees?	4				
4.5	Have both management and employees participated in the development/review of these procedures?	4		AND		
<b>COR® total points possible/ awarded</b>		<b>21</b>				
<b>Deficiency Statements/ Auditor Comments:</b>						
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.						



<b>5</b>	<b>Guidelines – Company Safety Rules</b>
<b>5.1</b>	Documentation must clearly state responsibilities for setting, implementing and complying with company rules.
<b>5.2</b>	<ul style="list-style-type: none"> <li>- Award two (2) points based on documentation that confirms both written company rules and project specific rules are available to employees on site</li> <li>- Award two (2) points based on the majority of positive interview responses confirming both company and site specific rules are made available to employees on site.</li> </ul>
<b>5.3</b>	During worksite observations, verify the company rules have been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm they have been made readily available to employees (in the form of a handbook, safety and health manual, or accessible electronic format).
<b>5.4</b>	The majority of employees interviewed must be able to give examples of some of the company safety rules or project safety rules.
<b>5.5</b>	Documentation must clearly address non-conformance and progressive disciplinary action.
<b>5.6</b>	Verify through documentation that non-conformance is enforced consistently with all personnel. Points may also be awarded based upon the majority of interview responses confirming that rules are applied and enforced consistently with all personnel.

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
5	Company Safety Rules		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s) and / or guideline(s) for company safety rules.</i>					
5.1	Does the policy, procedure or guideline include responsibilities for setting, implementing, and complying with company rules.	2				
5.2	Are both company and project (work location) specific rules available?	4		AND		
5.3	Are the rules written and prominently posted or provided to each employee?	2			OR	
5.4	Are company and project specific rules clearly explained and understood?	2				
5.5	Does the program address non-conformance and progressive disciplinary actions?	2				
5.6	Are all rules applied/enforced consistently with all personnel?	3		OR		
<b>COR® total points possible/ awarded</b>		<b>15</b>				
<b>Deficiency Statements/ Auditor Comments:</b>						
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.						

6	<b>Guidelines – Personal Protective equipment (PPE)</b>
6.1	<p>To determine the criteria used for basic and specialized personal protective equipment (PPE) selection, review hazard assessment forms, safety data sheets, codes of practice and company PPE policy requirements for reference to CSA or other legislated standards. Confirm employee understanding through the interview process.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on documentation to verify the company has established criteria for the selection of protective equipment.</li> <li>- Award two (2) points based on the majority of positive interview responses confirming an understanding of the criteria used for selection of protective equipment.</li> </ul> <p>Note: Each applicable Safe Work Practice and Safe Job Procedure must state the required PPE.</p>
6.2	<p>Verify through documentation that the employer has developed and made written instructions readily available to employees with respect to the proper fitting, care and use of basic and specialized PPE such as ear plugs, respiratory devices, fall protection, etc.</p>
6.3	<p>Verify that employees have been made aware of requirements/provided instructions with respect to the proper fitting, care and use of basic and specialized PPE prior to beginning work.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on completed employee orientations and/or training records confirming the review of PPE requirements.</li> <li>- Award two (2) points based on the majority of positive interview responses confirming an understanding of the company's requirements for PPE.</li> </ul>
6.4	<p>Verify that appropriate PPE is provided and/or made available for specific activities. PPE that is required during specific activities may include but is not limited to, fall protection, respiratory protection, face shields, welding shields/goggles, chemical goggles, fire retardant coveralls, chemical suits and task specific gloves.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on the observation of appropriate PPE for specific activities is available.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
6.5	<p>Employees should be observed using basic and specialized PPE at all times as prescribed by company criteria, SDS, CSA, or other legislated standards.</p> <p>Note: When no policy or regulation(s) exist, it can be to the Auditor's judgment when a danger to the employee exists and PPE would have been a suitable means of precaution.</p>
6.6	<p>Basic PPE inspections and maintenance may be conducted and recorded as part of a safety meeting or be included as an item on the company's inspection checklist. Specialized PPE will require documented inspection(s) and compliance with manufacturers' recommendations.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on supplied documentation that verifies regular inspection and maintenance of PPE.</li> <li>- Award two (2) points based on the observation that PPE is well maintained, in serviceable condition, and meets regulatory standards.</li> </ul>

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
6	Personal Protective Equipment		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s) and / or guideline(s) for Personal Protective Equipment (PPE).</i>					
6.1	Are activities requiring PPE documented and is specific criteria used to select appropriate PPE for those activities?	4		AND		
6.2	Are there written rules and/or guidelines for the proper fitting, care and use of PPE?	2				
6.3	Are employees made aware of PPE requirements and provided instruction/training for the proper fitting, care and use of PPE?	4		AND		
6.4	Is appropriate PPE provided and/or made available to employees for specific activities when required?	4			AND	
6.5	Is appropriate PPE used by employees as required?	4				
6.6	Is there a system in place to regularly inspect and maintain PPE?	4		AND		
<b>COR® total points possible/ awarded</b>		<b>22</b>				

**Deficiency Statements/ Auditor Comments:**

Comments are mandatory for all deficient items. Label comments with the appropriate reference number.

<b>7</b>	<b>Guidelines – Preventative Maintenance Program</b>
<b>7.1</b>	Verify there is an inventory list of facilities/equipment/tools/vehicles that require ongoing maintenance.
<b>7.2</b>	<p>Verify through documentation, the completion of established maintenance schedules including all the items on the inventory list as well as a system to enable the recording of pre-operational checklists for equipment such as forklifts, man lifts, excavators, suspended platforms, vehicles, etc.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on documentation to verify completed pre-operational checklists and maintenance records are retained on file.</li> <li>- Award two (2) points based on observations confirming completed pre-operational checklists are kept with equipment in use.</li> </ul>
<b>7.3</b>	<p>Documented records should include a description of corrective actions taken when a deficiency of a maintenance requirement has been identified through inspection (i.e. service records, lockout/tagout tags, repair invoicing, etc.)</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on documentation to verify corrective actions have been completed.</li> <li>- Award two (2) points based on observations confirming that documented corrective actions have been completed.</li> </ul>
<b>7.4</b>	Documented records should indicate that equipment is being maintained by recognized service facilities. Training records or other documentation should support qualifications and prove competency of in-house maintenance personnel. Verify through interviews how the individuals that perform maintenance are competent to do that type of work.
<b>7.5</b>	The company must develop a written system to prevent defective tools and equipment from being used and provide instruction to employees with respect to the course of action to be followed. A lockout/tagout system is the most common. This question could also be verified through interviews.
<b>7.6</b>	Verify through observation that the company follows its system to prevent defective tools and equipment from being used.

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
7	Preventative Maintenance Program		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a preventative maintenance program.</i>					
7.1	Is there an inventory of items to be maintained?	3				
7.2	Are preventative maintenance schedules and checklists used and completed as required, including manufacturers' and legislated specifications?	4		AND		
7.3	Are records maintained that include a description of corrective actions taken?	4		AND		
7.4	Does a qualified/competent person perform the inspection and maintenance?	2		OR		
7.5	Does the preventative maintenance program of facilities, tools, equipment and vehicles include a system that effectively removes defective tools, equipment and vehicles from service?	2		OR		
7.6	Is the system in 7.5 followed?	2				
<b>COR® total points possible/ awarded</b>		<b>17</b>				
<b>Deficiency Statements/ Auditor Comments:</b>						
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.						

<b>8</b>	<b>Guidelines – Training and Communication</b>
<b>8.1</b>	<p>The policy/procedure/guideline includes a method for selecting training of employees. Examples include legislative training requirements; manufacturers’ training requirements; job-specific and high-risk activities; identifying competencies for each task and/or role; and identifying the effectiveness of training.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on documentation.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
<b>8.2</b>	<p>Are employees evaluated to measure the effectiveness of training and the retention of the information as it pertains to the company safety and health program? Records of written and/or performance evaluations, tests, or examinations associated with job-specific training and/or orientations can help determine the effectiveness of training and awarding points for this question.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on documentation.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
<b>8.3</b>	<p>Review training records to ensure supervisors or other individuals with safety and health responsibilities have received training in their legislative requirements.</p> <p>Documentation and interviews must both be verified in order to award points.</p> <p>Note: Employees must receive training in roles and responsibilities as stated in legislation. SCSA Leadership for Safety Excellence, Supervision &amp; Safety Workshop, are some examples – if other training is provided, the auditor must verify that the content meets all requirements.</p>
<b>8.4</b>	<p>Review training records to ensure employees have received job-specific training in high-risk activities or for specific company roles (supervisor, safety rep, etc.).</p> <ul style="list-style-type: none"> <li>- Award three (3) points based on training records confirming workers have been trained in job-specific requirements (including high-risk activities and/or manufacturer requirements).</li> <li>- Award three (3) points based on training records confirming supervisors have been trained in tasks specific to their role (i.e.: hazard identification, inspections, communications, etc.).</li> </ul> <p>Note: Supervisors must receive training in workplace inspections, hazard identification, communications, etc. SCSA Leadership for Safety Excellence, Supervisions &amp; Safety Workshop would meet this requirement – if other training is provided, the auditor must verify that the content meets all requirements.</p>
<b>8.5</b>	<p>Mandatory training as specified by legislation, policy, or project requirements must be confirmed and/or provided prior to beginning work.</p> <ul style="list-style-type: none"> <li>- Award three (3) points based on training records confirming.</li> <li>- Award three (3) points based on the majority of positive interview responses.</li> </ul> <p>Examples of mandatory training would include WHMIS, TDG, first aid, H2S, etc. Examples of policy or project requirements would include training identified in hazard assessments, fall protection plans, confined space permits, etc. to ensure that only people with proper training are performing the work.</p>
<b>8.6</b>	<p>Verify that management ensures the persons providing training have been deemed competent or qualified by the employer. Examples could include verification of trade certification, experience, education, or training conducted by an outside agency.</p>

8.7	Verify the company has a method to record and maintain training records. Examples could be hard copy, electronic copy, or a training matrix used to record and maintain employee training ensuring job-specific, recertification, and refresher training are taking place.
8.8	The company safety program must have a formal process for providing company and worksite orientations to employees and contractors. Verify through documentation and interview that an orientation is provided to all workers. Documentation would include company or site-specific orientations, checklists, quizzes, etc. Verify through interviews that all workers have received an orientation before starting work. Documentation and interviews must both be verified in order to award points.
8.9	Verify that the orientation program addresses new and young workers as well as returning employees.
8.10	As per company policy statement, procedure(s), and/or guideline(s), safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings/tailgate meetings and scheduled safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Minutes of safety meetings must verify senior management's participation/regular attendance. Documentation and interviews must both be verified in order to award points.
8.11	As per company policy statement, procedure(s), and/or guideline(s), safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings/tailgate meetings and scheduled safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Minutes of safety meetings must indicate employees' regular attendance.
8.12	Are all personnel given the opportunity to present their concerns and discuss corrective actions? Meetings should be a positive place for discussing identified safety concerns where all input is welcomed to determine the best course of action. This question is verified through interviews.
8.13	As per company policy statement, procedure(s), and/or guideline(s) safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings/tailgate meetings and scheduled safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Records or minutes must be on file that shows regular company, corporate, and/or toolbox meetings are being held. - Award two (2) points based on documentation from multiple locations that meetings are held as per legislation or policy as applicable. - Award two (2) points based on the majority of positive interview responses. Note: Safety and Health meetings and tool box talks have separate functions and can not be combined.



Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
8	Training and Communication		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s) and / or guideline(s) for training and communication of safety and health information.</i>					
8.1	Is there a method for the selection of safety and health training of employees?	4		AND		
8.2	Is there a method for the evaluation and monitoring of the knowledge, competency and effectiveness of safety and health training of employees?	4		AND		
8.3	Have appropriate individuals been trained in legislated requirements?	2		AND		
8.4	Have appropriate individuals been trained in job specific and/or manufacturer requirements?	6				
8.5	Are mandatory training requirements verified or training provided before starting the task?	6		AND		
8.6	Does a qualified / competent person conduct training?	2				
8.7	Are training records maintained?	4				
8.8	Is there a mandatory orientation program that is completed prior to starting work, if a change of location and/or operational change?	4		AND		
8.9	Is it applicable to new and young employees or returning employees?	2				
8.10	Does senior management attend/participate in safety and health meetings?	4		AND		
8.11	Do employees attend/participate in safety and health meetings?	2				
8.12	Is there a process for employee input and communication of safety and health information?	2				
8.13	Are safety and health meetings held regularly and documented as per legislation, company, or project requirements?	4		AND		
<b>COR® total points possible/ awarded</b>		<b>46</b>				

**8 Training and Communication - Continued**

**Deficiency Statements/ Auditor Comments:**

Comments are mandatory for all deficient items. Label comments with the appropriate reference number.

<b>9</b>	<b>Guidelines - Inspections</b>
<b>9.1</b>	Along with the actual equipment, process and site-specific areas identified, ensure that other areas such as yards, offices, shop, storage facilities, etc. are not being excluded from the inspection process.
<b>9.2</b>	A standardized method, form, or checklist should be completed for all inspections. The method, form, or checklist should include equipment, processes, and site activities; identification of the area and items inspected; hazard classification; recommended corrective actions; the person responsible for the action; and a date for expected completion/follow-up. This question may also be verified through interviews.
<b>9.3</b>	<p>A review of past inspection methods/forms/checklists will confirm if the corrective action has been completed as assigned. Determine whether corrections have been completed in a timely manner, paying particular attention to unsafe acts and/or conditions with the potential to cause injury or serious property damage.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on the completed documentation verifying that deficiencies noted during an inspection are corrected in a timely manner.</li> <li>- Award two (2) points based on the majority of positive interview responses confirming that identified inspection deficiencies are corrected in a timely manner.</li> </ul>
<b>9.4</b>	A standardized method, form, or checklist should be completed for pre-use inspections. The method, form, or checklist should include equipment, tools, and/or vehicles; identification of the items inspected; recommended corrective actions; the person responsible for the action; and a date for expected completion/follow-up. This question may also be verified through interviews.
<b>9.5</b>	A review of past pre-use inspection methods/forms/checklists will confirm if the corrective action has been completed as assigned. Determine whether corrections have been completed in a timely manner, paying particular attention to unsafe conditions with the potential to cause injury or serious property damage.
<b>9.6</b>	<p>Are supervisors and other responsible individuals meeting the required frequency for inspections as outlined in the company policy statement, procedure(s), and/or guideline(s)? The frequency must be stated as monthly, weekly, daily, etc. The words, “on a regular basis,” are not acceptable.</p> <p>Consecutive records must be submitted to support the adherence to the identified frequency of inspections for all work locations that apply.</p>
<b>9.7</b>	<p>Check inspection methods, forms, and/or checklists to verify that employees, safety representatives, supervisors, and senior management have taken an active role and are involved in the formal (and informal) inspection process.</p> <ul style="list-style-type: none"> <li>- Award three (3) points based on the supplied documentation that includes names of individuals at all levels within the company.</li> <li>- Award three (3) points based on the majority of positive interview responses.</li> </ul>
<b>9.8</b>	During worksite observations, verify the inspection reports have been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to employees, safety representatives, supervisors, and senior management or through other accessible electronic format.

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
9	Inspections		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s) and / or guideline(s) for workplace and pre-use inspections.</i>					
9.1	Are all areas inspected as required?	3				
9.2	Are specific methods, forms or checklists used to identify deficiencies for workplace inspections?	3		OR		
9.3	Are corrective actions assigned to individuals and implemented as specified?	4		AND		
9.4	Are specific methods, forms or checklists used to identify deficiencies for pre-use inspections?	3		OR		
9.5	Are corrective actions assigned to individuals and implemented as specified?	4				
9.6	Is the required frequency of inspections being met by the supervisor and other responsible individuals?	3				
9.7	Does the inspection process include participation of all levels within the company?	6		AND		
9.8	Are inspection reports posted and/or communicated to appropriate personnel?	4		OR		
<b>COR® total points possible/ awarded</b>		<b>30</b>				
<b>Deficiency Statements/ Auditor Comments:</b>						
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.						

10	Guidelines – Investigations and Reporting
10.1	<p>Verify that the company has formal documentation that clearly identifies the roles and responsibilities of workplace parties for reporting incidents and conducting investigations in a timely manner and that all parties understand these roles and responsibilities.</p> <ul style="list-style-type: none"> <li>- Award three (3) points based on documentation.</li> <li>- Award three (3) points based on the majority of positive interview responses.</li> </ul>
10.2	<p>Verify that investigation reports show management/supervisors, employees, and/or safety representatives/workplace safety committees are involved in the investigation process. The investigation report/forms should clearly identify the appropriate personnel involved.</p>
10.3	<p>Verify supervisors and other appropriate individuals have taken training specific to incident investigations. The Leadership for Safety Excellence course or equivalent would be acceptable for the awarding of points.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on documentation confirming supervisor training.</li> <li>- Award two (2) points based on documentation confirming other appropriate individuals have received training.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul> <p>Note: Supervisors must receive training in incident investigations and reporting procedures. SCSA Leadership for Safety Excellence, Supervision &amp; Safety Workshop, and OHC Level 2 would meet this requirement – if other training is provided the auditor must verify that the content meets all requirements.</p>
10.4	<p>A system to communicate, implement, and follow up on corrective actions is required. Corrective actions must be specific to preventing recurrence and clearly show when the stated corrected actions have been implemented.</p> <p>Verify through documentation and interviews that this process is in place and that corrective actions are implemented within an acceptable time frame.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on documentation verifying corrective actions are appropriate to prevent reoccurrence (i.e.: they must be specific and measurable — “be careful,” “use caution,” or other generic statements would not be acceptable).</li> <li>- Award two (2) points based on documentation verifying corrective actions have been implemented.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
10.5	<p>Verify through documentation or interviews that investigation results and corrective actions are communicated to appropriate parties. Examples could include documented lessons learned, toolbox talks, safety committee meetings, etc., that include investigation results and corrective actions. Points may also be awarded if the majority of interview responses confirm investigation results and corrective actions are communicated to appropriate parties.</p>
10.6	<p>Verify records of incidents, near misses, and investigation reports are completed according to company policy/procedures. Both documentation and interviews must be confirmed to award points.</p>

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
10	Incident Investigation and Reporting		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s) and / or guideline(s) for reporting and investigating incidents, including near misses.</i>					
10.1	Do workplace parties know their responsibilities and the reporting procedures?	6		AND		
10.2	Are appropriate personnel involved in investigations?	4				
10.3	Have appropriate individuals been trained in legislative and company specific reporting requirements and investigation procedures?	6		AND		
10.4	Are recommendations for prevention/remedial action implemented as per legislation and/or company requirements?	6		AND		
10.5	Are investigation results and corrective/preventative actions communicated to appropriate parties?	4		OR		
10.6	Are the investigation reports completed according to company policy and procedures?	4		AND		
<b>COR® total points possible/ awarded</b>		<b>30</b>				
<b>Deficiency Statements/ Auditor Comments:</b>						
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.						

11	<b>Guidelines – Emergency Preparedness</b>
11.1	<p>The goal of an effective emergency preparedness plan is to return to normal working operations as soon as possible. Appropriate emergency response plans should be developed specific to work activities.</p> <ul style="list-style-type: none"> <li>- Award one (1) point based on documentation to verify that the company has developed a generalized plan/procedure with respect to legislative requirements for emergency response (i.e.: fire, first aid, transportation, communication).</li> <li>- Award two (2) points based on documentation if evidence of site-specific written plans have been developed to meet the activities being performed (i.e.: chemical spill, rescue, confined space testing and retrieval, muster points, etc.).</li> <li>- Award three (3) points based on observation that site-specific emergency response plans have been posted/made readily available at each worksite and are appropriate to the work activities being performed.</li> </ul>
11.2	Verify through observation that emergency equipment is readily available, marked, and visible in work areas. Examples include defibrillators, spill kits, first aid supplies, and rescue equipment for confined space or fall arrest.
11.3	Verify through either documentation or observation that emergency equipment is regularly inspected and maintained as per legislated, manufacturer, and/or company requirements. Examples could include inspection tags, invoices, or completed inspections.
11.4	Confirm that the number of qualified first aid personnel meet legislated requirements. Points can be awarded through observation of qualified first aid personnel names are posted. Points may also be awarded upon positive interviews confirming awareness of first aid personnel on site.
11.5	Verify through observation that an emergency communication system is available. This would include a means to communicate to onsite personnel as well as contacting outside agencies for assistance. Verify through interviews that employees are familiar with the site-specific instructions necessary to contact appropriate personnel/agencies for emergency assistance. Observation and interviews must both be verified in order to award points.
11.6	Verify through observation that the organization would have the means to transport an injured employee to a medical facility should an emergency occur. This may also involve calling in emergency personnel for transport. A majority of interview responses must confirm an understanding of the process for transporting injured employees.
11.7	Fire extinguishers must be readily available, marked, and visible in all work areas. Note: Confirm the required number are available and correct distances such as when hot work is performed.
11.8	Verify through documentation that employees have received training in emergency procedures, roles, and responsibilities.
11.9	Award points based on confirmation through interviews that employees understand site-specific requirements and their responsibilities in the event of an emergency.
11.10	Verify through documentation that emergency plans have been tested as per company policy or legislated requirements. Records must indicate the results of the tests and what corrective actions were taken to correct deficiencies.
11.11	Records must show that the company’s emergency response directives/plans have been reviewed annually. The records must indicate the results of the review and what corrective actions were taken (or reasons for no action being taken) to correct identified deficiencies.
11.12	Verify through interviews that appropriate parties have a clear understanding of the relevant information regarding the emergency response plans.

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
11	Emergency Preparedness		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s) and / or guideline(s) for emergency preparedness and response.</i>					
11.1	Are the emergency preparedness plans appropriate to work activities and legislative requirements?	6	AND			
11.2	Is emergency equipment readily available and well-marked?	2				
11.3	Is emergency equipment regularly inspected and maintained?	2	OR			
11.4	Are the required number of qualified first aid personnel on site?	2		OR		
11.5	Is an appropriate emergency communication system available?	2		AND		
11.6	Is there a means to transport an injured employee to a medical facility?	2		AND		
11.7	Are fire extinguishers readily available, marked, and visible?	2				
11.8	Have employees received training in emergency procedures, roles and responsibilities?	2				
11.9	Do employees know their roles and responsibilities?	4				
11.10	Has the emergency response plan(s) been tested for deficiencies and corrective action taken?	2				
11.11	Has the emergency procedures and response plans been reviewed, and revised as appropriate, at least annually?	2				
11.12	Is relevant information regarding the emergency response plans communicated to the appropriate parties?	2				
<b>COR® total points possible/ awarded</b>		<b>30</b>				



11

**Emergency Preparedness- Continued**

**Deficiency Statements/ Auditor Comments:**

Comments are mandatory for all deficient items. Label comments with the appropriate reference number.

12	<b>Guidelines – Statistics and Records</b>
12.1	Verify the company is following its document control system. Through observation, verify that current versions of documents are readily available and used.
12.2	Documentation should clearly support that safety and health documentation is retained according to legislation or other requirements. Note: The COR Standard requires a system that organizes and manages the safety program documentation. Legislated examples would include incident investigations, WCB Claims, Audiometric Testing, etc.
12.3	Statistics must provide sufficient information to verify the company is following its system for analyzing safety and health performance (at a minimum annually). Examples could include reports, meeting minutes, or other records that confirm incidents, first aid records, safety activities, and past performance are being reviewed to identify trends. Note: Verify that trend identification is being used to affect required changes for program improvements.
12.4	Award one (1) point if leading performance measures are included in the safety and health performance measurement. - Award one (1) point if lagging performance measures are included in the safety and health performance measurement. Note: Leading indicators can be part of the safety activity summaries (Inspections scheduled/Inspections conducted, training sessions completed, orientations, safety meetings scheduled/safety meetings held, senior management participation, etc.) Lagging indications could include breakdown of bodily injuries, frequency/severity calculations, LTI's, etc.
12.5	Documentation must confirm that first aid records are being recorded and retained for all injuries.
12.6	There must be an action plan developed to address deficiencies in the audit. Note: Typically this would be from the most recent audit conducted.
12.7	Documented evidence must show that an action plan was communicated. This question must also be verified through interviews. - Award two (2) points based on documentation to verify implementation of the audit corrective action plan. - Award two (2) points based on the majority of positive interview responses confirming the audit action plan has been communicated.

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
12	Statistics, Records and Documentation		D	O	I	
	<i>The organization shall establish implement, monitor, and maintain a documented policy statement, procedure(s) and / or guideline(s) to effectively control documents and records, including regular measurement of safety and health performance.</i>					
12.1	Are approved and current versions of applicable documents readily available at the point of use?	4				
12.2	Are relevant safety and health records kept as per legislative requirements?	2				
12.3	Does the company analyze current safety and health performance with past performance to identify trends as per the required frequency?					
12.4	Are leading and lagging performance measured?	2				
12.5	Are adequate first aid treatment records kept?	2				
12.6	Are corrective action plans developed to address audit results?					
12.7	Are results and analyses communicated to relevant workplace parties as per company policy, procedure(s) or guideline(s)?			AND		
<b>COR® total points possible/ awarded</b>						
<b>Deficiency Statements/ Auditor Comments:</b>						
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.						

<b>13</b>	<b>Guidelines - Legislation</b>
<b>13.1</b>	Verify through observation that relevant legislation has been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to employees (via hardcopy or other accessible electronic format).
<b>13.2</b>	Verify through documentation or interviews that legislative review is part of the management/supervisor's regular job planning process.
<b>13.3</b>	The majority of interview responses must confirm that employees and supervisory/management personnel are aware of their legal duties and responsibilities.

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
13	Legislation		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s) and / or guideline(s) to identify, comply and ensure all personnel have access to relevant legislation.</i>					
13.1	Are copies of relevant Legislation posted and/or readily available at each workplace as required?	2		O R		
13.2	Does the management/supervisor regularly refer to relevant Legislation and Regulations during job planning to ensure compliance?	4		OR		
13.3	All personnel trained and aware of their legislated rights and responsibilities?	4				
<b>COR® total points possible/ awarded</b>		<b>10</b>				
<b>Deficiency Statements/ Auditor Comments:</b>						
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.						

<b>14</b>	<b>Guidelines – Procurement and Contractor Management</b>
<b>14.1</b>	<p>When selecting contractors and service providers, a company must include safety and health as an integral part of their activities.</p> <ul style="list-style-type: none"> <li>- Award three (3) points based on the establishment of a criteria for the evaluation and selection of contractors and service providers (i.e.: COR®, Contractor Compliance Declaration/Agreement, etc.).</li> <li>- Award three (3) points based on the establishment of a system to regularly monitor contractors and service providers (i.e.: review/submission of safety meetings, safety inspection reports, orientations, verification of applicable worker training/certification, etc.).</li> </ul>
<b>14.2</b>	Award points if the criteria in 14.1 includes a documented process to verify the competency of contractors and service providers to identify, communicate, and control hazards (i.e. COR® or other safety and health management system, such as a prime or general contractor's process that clearly includes this ability). Points may also be awarded if the majority of interview responses are positive.
<b>14.3</b>	Verify through documentation that the criteria identified in 14.1 and 14.2 have been followed. The majority of interview responses must also be positive in order to award points.
<b>14.4</b>	A company acting as the prime/general contractor is required to develop, implement, and monitor a system to manage safety and health compliance at the worksite. A company acting as a contractor must be aware of their legal obligations to share required information that may affect the safety and health of any other person. Examples of information to be shared could include completed hazard assessments, inspections, site safety orientations, toolbox/safety/start-up meeting minutes, utility clearances, permits, SDSs, incident investigation reports, etc. Documentation of required information shared between the prime and contractors can be retained on file and produced in support of the audit. Points may also be awarded if this information is shared and clearly posted or made readily available at the worksite (if no suitable means of posting is available, points can also be awarded if other accessible electronic format is readily available).
<b>14.5</b>	Award points based on verification that the company has a process that considers the impact to safety and health when selecting products with potential to create a hazard.
<b>14.6</b>	Award points upon verification that the company is following their process (i.e.: completed hazard assessment, analysis, and control). Points may also be awarded if the majority of interview responses are positive.

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
14	Procurement and Contractor Management		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s) and / or guideline(s) for procured products and services, including contractor management/outsourcing.</i>					
14.1	Does the company have criteria for the selection, evaluation, and monitoring of contractors and service providers?	6				
14.2	Does the evaluation, selection and monitoring include the ability and competency of the contractor to identify, communicate, and control hazards that may impact their own employees, your employees, as well as any other person?	4		OR		
14.3	Has the criteria for the selection, evaluation, and monitoring of contractors and service providers been followed?			AND		
14.4	Is there a system in place to coordinate safety and health requirements, roles, and responsibilities when multiple contractors / employers are working under your control?		O	R		
14.5	Does the company have a criteria for the selection, evaluation and procurement of products that have the potential to create a hazard?	2				
14.6	Has the criteria for the selection, evaluation, and procurement of products been followed?			OR		
<b>COR® total points possible/ awarded</b>						
<b>Deficiency Statements/ Auditor Comments:</b>						
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.						

<b>SS1</b>	<b>Guidelines – Physical Conditions</b>
<b>SS1.1</b>	The auditor must make a judgement based on the industry standards and the potential for adverse health effects. Examples could be overflowing garbage, tables/floors not clean, housekeeping, cleanliness of port-o-potties, etc.
<b>SS1.2</b>	Observations should show that workers have sufficient lighting to perform all tasks safely. Workers must not be active in areas with insufficient lighting.
<b>SS1.3</b>	Observations should show a mechanical ventilation system in place for major fumes and/or dust. Reference exposure limits if needed. There should be a way to control temperature extremes indoors as well. Pay close attention to areas such as garages, work sheds, enclosed work spaces outdoors, outdoor hoardings, etc.
<b>SS1.4</b>	The auditor must judge whether housekeeping is adequate to reduce the risk of fire, slips, trips and falls. Consideration must be given to worker mobility during an emergency.
<b>SS1.5</b>	Observations on this point should be treated like a safety inspection, looking for major hazards or items that go against the safety manual. Examples may be barricades, storage of overhead material, hand rails, control of ground conditions, condition of ladders, storage of fall protection devices, storage and labelling of chemicals and compressed gases, access to electrical panels, etc.
<b>SS1.6</b>	All work areas must have adequate entrance and exit facilities.
<b>SS1.7</b>	Every exit sign shall be visible on approach to the exit. There must not be any obstructions in front of exits and the path should be clear with appropriate lighting.



Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
SS1	Physical Conditions		D	O	I	
	<i>SCSA Saskatchewan Supplemental Section.</i>					
SS 1.1	Are the lunchroom and sanitary facilities kept in a clean and hygienic condition?	2				
SS 1.2	Are lighting levels sufficient in all working areas?	2				
SS 1.3	Does ventilation control airborne contaminants and temperature extremes?	2				
SS 1.4	Do housekeeping practices reduce potential for falls, trips and fires?	2				
SS 1.5	Are physical hazards identified and controlled?	2				
SS 1.6	Are there sufficient entrances / exists including emergency exits provided?	6				
SS 1.7	Are all exits clearly marked and kept clear?	2				
<b>COR® total points possible/ awarded</b>		<b>18</b>				
<b>Deficiency Statements/ Auditor Comments:</b>						
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.						

<b>SS2</b>	<b>Guidelines – Harassment Policy</b>
<b>SS2.1</b>	There must be a policy statement for the prevention and control of harassment.
<b>SS2.2</b>	Employees must be aware of the harassment policy.
<b>SS2.3</b>	The harassment policy must be posted in an obvious location at each company facility and every worksite. For companies that do not have a job trailer or an area to post relevant information on site, the harassment policy must be made readily available to all personnel, including subcontractors. On site personnel can have access to this information in the form of an employee handbook, policy manuals, and/or electronic policies.
<b>SS2.4</b>	The policy must conform to legislative requirements. This includes the proper definition from the Saskatchewan Employment Act procedures 3-1(l) and must also meet all requirements under OH&S Regulation 3-25.

Safety and Health Program Verification		Score Weighting	Technique Employed			Points Awarded
SS2	Harassment Policy		D	O	I	
	<i>SCSA Saskatchewan Supplemental Section.</i>					
<b>SS 2.1</b>	Is there a written policy, signed and dated by current senior management?	<b>2</b>				
<b>SS 2.2</b>	Are employees aware of the policy objectives?	<b>2</b>				
<b>SS 2.3</b>	Is the policy posted on all worksites?	<b>2</b>	O	R		
<b>SS 2.4</b>	Does the policy and procedure conform to government standards?	<b>2</b>				
<b>COR® total points possible/ awarded</b>		<b>8</b>				
<b>Deficiency Statements/ Auditor Comments:</b>						
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.						

<b>SS3</b>	<b>Guidelines – Occupational Health Committee</b>
<b>SS3.1</b>	The auditor must confirm that an OH Committee has been established or a Representative appointed as required. Verify through interviews that employees know if there is an OHC or Representative in place.
<b>SS3.2</b>	The names of committee members must be posted, usually on the report form. The auditor must confirm that workers and management are represented in appropriate numbers, and that the interests of affected parties are represented. Verify through interviews that employees know who their OHC worker Co-Chair or Representative is.
<b>SS3.3</b>	Committee reports must confirm that meetings are held at the required minimum frequency. The committee must hold its first meeting within two weeks after being established; hold three subsequent meetings at intervals not exceeding one month, and after that hold regular meetings at intervals not exceeding three months. Verify through interviews that employees know how often OHC meetings are held in their company.
<b>SS3.4</b>	OHC Co-Chairperson's or the Representative (5-9 employees) must have received training in relation to their committee role and responsibilities, as well as in workplace inspections and workplace incident investigations. This training is typically referred to as WorkSafe Saskatchewan Level 1 OHC Training and Level 2 OHC Training.
<b>SS3.5</b>	Committee reports must be posted where they are readily accessible to all employees.
<b>SS3.6</b>	Committee reports should indicate the recommendations that are made and if the appropriate action has been taken. If the company chooses not to act as requested then written and reasonable justification must be provided. Verify through interviews that OHC recommendations are addressed.
<b>SS3.7</b>	Refer to current legislation. Verify through interviews that employees know the purpose and activities of their OHC.



## Evaluation Summary Sheet Guidelines

**Carry Adjusted Scores** for not applicable items to the totals on **evaluation summary sheet**.

**Complete all areas** on the evaluation summary sheet, including company name, auditor and audit date(s)

**Comment** for **each section** on the **evaluation summary sheet**. Two or three word comments that capture the key findings for that section.

**Carry points** from each section to the audit to the **“actual points”** column on the **evaluation summary sheet**.

**Calculate** the overall score in the percentage **(to the nearest whole number)** for sections **(1) through (14)** and enter in the box provided.

Sections in the SCSA Supplemental must achieve **at least 50%** to meet standard.

Indicate **“YES”** for standard achieved and **“NO”** for standard not achieved for each item in the SCSA Supplement.

Overall **audit score** must be at least **80%** and **all elements** including SCSA Supplemental sections must achieve **at least 50%** to meet standard.

Circle the appropriate “standard achieved” response **(Yes or no)** next to the overall audit score.

**Sign** the evaluation summary sheet.

Obtain the company’s **senior officer’s signature** an a **goal** for the next audit.

Audits that score **80%** overall but **fail up to (2) sections** do not meet standard however, qualify for a **limited scope** audit.

Summarize the results for the audit in the written **executive summary**.

Evaluation Summary Sheet					
Company		Auditor			Date
Section Number	Section Title	Possible Points	Actual Points	Minimum Standard	Auditor Comments
1	Safety and Health Policy	18		9	
2	Hazard Assessment, Analysis and Control	45		23	
3	Safe Work Practices	12		6	
4	Safe Job Procedures	21		11	
5	Company Rules	15		8	
6	Personal Protective Equipment (PPE)	22		11	
7	Preventative Maintenance Program	17		9	
8	Training and Communication	46		23	
9	Inspections	30		15	
10	Investigations and Reporting	30		15	
11	Emergency Preparedness	30		15	
12	Statistics and Records			11	
13	Legislation	10		5	
14	Procurement and Contractor Management			11	
Total				172	
Minimum standard = 80% overall score and 50% minimum in each of sections 1 through 14.					
<b>Actual Points X 100 =</b> _____ % <b>Possible Points</b>					
<b>Standard Achieved</b> Yes      No					
Auditor Signature					
Senior Company Officer Name					
Senior Company Officer Signature					
Goal For Next Audit					%

  

SCSA Supplemental Section				
Section Number	Section Name	Possible Points	Actual Points	Standard Achieved
SS1	Physical Conditions	18		Y / N
SS2	Harassment	8		Y / N
SS3	Committees	12		Y / N
Auditor Comments				
SS1				
SS2				
SS3				
Each supplemental section must attain a minimum of 50% to meet the SCSA certification				



Guidelines for Completing Your Executive Summary	
Mandatory Information	General Guidelines
A description of the <b>audit tool</b> - "SCSA National Standard Safety Program Evaluation Tool using the three-step process of observation, documentation and interview".	<b>Thank</b> the auditee for the opportunity to conduct the audit.
The location of all <b>worksites</b> included in the audit.	Remain <b>positive</b> throughout.
The total number of <b>interviews</b> conducted; how many were managers, how many were employees. How many of the total interviews are employees from <b>contractors</b> .	Reinforce the importance of <b>management</b> support.
The <b>date</b> or dates of the audit.	Do not reference the <b>Certificate of Recognition</b> in the audit summary. The audit is only one step in several required for COR.
Describe the sections or aspects of the safety program that were revealed by the audit as being <b>handled very well</b> .	Do not discuss auditor involvement (if any) in development of the program being audited. Auditors should be <b>temporarily detached</b> while auditing.
Describe the sections or aspects of the safety program that were revealed by the audit as <b>requiring improvement</b> .	When the executive summary is complete, conduct a <b>closeout meeting</b> with the auditee.
Reveal the <b>mark</b> obtained and whether or not the standard has been achieved. Explain when necessary.	
Ask for an <b>action plan</b> based on the audit to be developed, implemented and a copy forwarded to the SCSA within (30) days.	
When the summary is written on a separate document ensure that the auditor and the senior company officer both <b>sign and date</b> it.	



**Auditor Executive Summary Sheet**

**Auditor Executive Summary Sheet**

**Auditor Signature** \_\_\_\_\_

(physical signature or secure digital signature such as Adobe Acrobat Sign)

<b>1</b>	The interview sample size is based on the number of workers associated with the auditee at the time of the audit. Include workers and supervisors in service to other employers under contract to the auditee at the time of the audit. Use the chart below as a guide to determine the minimum number of workers and supervisors to interview.					
	<b>Company Size</b> (Employee Count)	<b>Approximate % of Employees to Interview</b>	<b>Total Number of Interviews</b>	<b># of Worker/ Sub-Contractor Interviews</b>	<b># of Management/ Supervisor Interviews</b>	
	<b>200+</b>	10%	calculate 10% of employees	75% of Total Number of Interviews	25% of Total Number of Interviews	
	<b>100 - 199</b>	20%	20 - 40	15 - 30	5 - 10	
	<b>50 - 99</b>	25%	12 - 25	9 - 19	3 - 6	
	<b>25 - 49</b>	35%	8 - 17	6 - 13	2 - 4	
	<b>10 - 24</b>	50%	5 - 12	3 - 9	2 - 3	
	<b>1 - 9</b>	100%	ALL	ALL	ALL	
<b>2</b>	Select interview candidates with the intent to sample a broad range of worker and supervisor experience. Employee rosters can be useful in selecting candidates. Auditors may wish to select some candidates based on worksite observations or entries and references found in safety program documentation.					
<b>3</b>	Conduct interviews in a quiet, comfortable and private area.					
<b>4</b>	Question each candidate on all items in the appropriate list of prepared audit questions. Evaluate each response and record the result as a single check mark under the appropriate column immediately to the right of each question.					
<b>5</b>	When all interviews have been completed, transfer the number of positive and negative responses to the interview summary pages. Total the positives and negatives from left to right. Indicate the overall result as a ✓ (positive) or an X (negative) in the results column.					
<b>6</b>	Transfer the results to the audit tool as either a check or an X in the "Interview" technique column. When the number of positive responses is equal to the number negative responses enter the result as a ✓ (positive).					
<b>7</b>	The names of interview subjects are not to be recorded on any of the audit documents or notes. Interviews are confidential and must not be discussed with anyone.					
<b>8</b>	All documents used to conduct and analyze the interviews must be destroyed by the auditor except as in <b>item 9</b> below.					
<b>9</b>	Student auditors conducting their self-audit must submit the interview working documents to the SCSA to demonstrate their understanding of the evaluation process. Student auditors must not reveal these documents to the auditee. The SCSA will discard these references.					
<b>10</b>	All auditors must record the total number of interviews in the executive summary, how many were supervisors/managers, how many were workers and how many of the total were sub-contractors.					

# **Audit Interviews**

## **Management and Supervisor Interview Questions**

Question		Manager and Supervisor Interview Questions	Interview Response	
No.	Reference Number		Negative	Positive
1	1.3	What are your safety and health responsibilities? How are you held accountable for them?		
2	1.6	In your own words, what does the safety and health policy say?		
3	2.1	Describe the process your company uses to conduct formal hazard assessments. What type of tasks are included in the formal hazard assessment process?		
4	2.4	How are hazards reassessed as the job progresses or changes occur?		
5	2.6	How are you involved in the hazard assessment process?		
6	2.7	How do you verify employees are competent to participate in hazard assessments?		
7	2.10	Who is responsible for implementation of controls?		
8	3.3	How do your employees have access to safe work practices when on site(s)?		
9	3.5	What is your formal process to development or review safe work practices?		
10	4.3	How do your employees have access to safe job procedures when on site(s)?		
11	4.5	What is your formal process for development or review safe job procedures?		
12	5.3	How are company safety rules provided to your employees?		
13	5.6	Explain the disciplinary process that is used when employees are not following company rules?		
14	6.1	What criteria is used to select appropriate PPE for company specific tasks?		
Notes				

Question		Interview Response		
No.	Reference Number	Manager and Supervisor Interview Questions	Negative	Positive
15	6.3	What type of training is provided to your employees to help them understand the proper fitting, care and use of PPE?		
16	6.4	How do your employees have access to appropriate PPE when needed?		
17	7.4	How are the individuals that perform maintenance on equipment or tools competent to do so?		
18	7.5	What is your company's system to remove defective tools or equipment from service?		
19	8.1	What is your company's method for the selection of safety & health training of employees?		
20	8.2	What is your company's method for evaluating and monitoring the knowledge, competency and effectiveness regarding the safety & health training provided to employees?		
21	8.3	What training have you received in your legislated requirements?		
22	8.5	How do you verify mandatory training requirements for employees are completed prior to starting work?		
23	8.6	How do you verify the training provided is conducted by a qualified/competent person?		
24	8.8	What types of orientation are provided and when?		
25	8.10	When did you last attend a safety and health meeting? How often do you actively participate in them?		
26	8.13	How does your company ensure safety and health meetings are scheduled to meet legislation, company or project requirements?		
27	9.2	What specific method, form or checklist is used for workplace inspections?		
28	9.3	How are identified deficiencies assigned to individuals and corrected as required?		
Notes				

Question		Manager and Supervisor Interview Questions	Interview Response	
No.	Reference Number		Negative	Positive
29	9.4	What specific method, form or checklist is used for pre-use inspections?		
30	9.7	What is your role in the formal or informal inspection process?		
31	9.8	How are the inspection reports posted and/or communicated to you?		
32	10.1	What is the process for reporting an incident? What are your responsibilities?		
33	10.3	What training have you received to conduct investigations? Did that training include both legislative and company-specific reporting and investigation procedures?		
34	10.4	Once an incident investigation has been completed, how are corrective actions implemented and followed up for effectiveness?		
35	10.6	Following an incident, are the investigation reports completed as per company policy/procedure that includes incidents, near misses and investigation reports? Can you give an example?		
36	11.4	How do you communicate who is a qualified first aid personnel on this site? How do you verify the number of qualified first aid personnel meets legislative requirements?		
37	11.5	How do you alert everyone onsite in the event of an emergency? How do you contact appropriate personnel/agencies for emergency assistance?		
38	11.6	If someone gets injured how would they be transported to a medical facility?		
39	11.12	How do you communicate site specific emergency response plans to your employees?		
40	12.7	Can you give me an example of corrective actions or improvements that have been made to your Safety & Health program from your most recent audit/ statistics review?		
41	13.1	Where are copies of the Saskatchewan Act and Regulations on this site?		
42	13.2	Do you regularly refer to relevant legislation and regulations during job planning to ensure compliance? Can you give an example?		
Notes				

Question		Manager and Supervisor Interview Questions	Interview Response	
No.	Reference Number		Negative	Positive
43	<b>13.3</b>	What are your 3 basic rights, and can you briefly explain what they mean?		
44	<b>14.2</b>	How does the evaluation, selection and monitoring of contractors take into consideration their ability and competency to identify, communicate and control hazards that may impact all workers on site?		
45	<b>14.3</b>	How do you ensure your criteria for selection/ evaluation and monitoring of contractors is being followed?		
46	<b>14.6</b>	How do you ensure your criteria for selection and evaluation of procured products is being followed?		
47	<b>SS3.1</b>	Is an occupational health committee or representative in place with this company?		
48	<b>SS3.2</b>	Are both managers and workers represented on the committee?		
49	<b>SS3.3</b>	How often are committee meetings held?		
50	<b>SS3.6</b>	Are committee/representative recommendations typically followed?		
51	<b>SS3.7</b>	Describe some of the activities that your committee performs.		
Notes				



# **Audit Interviews**

## **Employee Interview Questions**

Question		Employee Interview Questions	Interview Response	
No.	Reference Number		Negative	Positive
1	1.3	What are your safety and health responsibilities? How are you held accountable for them?		
2	1.5	Where would you find a copy of the safety and health policy?		
3	1.6	In your own words, what does the safety and health policy say?		
4	2.1	Describe the process your company uses to conduct formal hazard assessments. What type of tasks are included in the formal hazard assessment process?		
5	2.2	How are completed formal hazards assessments reviewed with you?		
6	2.4	How are hazards reassessed as the job progresses or changes occur?		
7	2.6	How are you involved in the hazard assessment process?		
8	2.7	How have you been trained to identify and control hazards?		
9	2.10	Who is responsible for implementation of controls		
10	3.2	Describe some of the key points of a safe work practice applicable to your work.		
11	3.3	How do you have access to safe work practices when on site?		
12	3.5	Can you give me an example of how a safe work practice has been reviewed or discussed?		
13	4.2	Describe the step by step process of a safe job procedure for a critical task that is applicable to your work.		
14	4.3	How do you have access to safe job procedures when on site?		

Notes

Question		Interview Response		
No.	Reference Number	Employee Interview Questions	Negative	Positive
15	4.5	Can you give me an example of how a safe job procedure has been reviewed or discussed?		
16	5.2	Where can you find both company and project (work location) specific rules?		
17	5.3	How are company safety rules provided or made available to you?		
18	5.4	Can you give me an example of a few company and/or site specific rules that you need to follow?		
19	5.6	How are the company rules enforced?		
20	6.1	How do you know what PPE is required to perform a specific task?		
21	6.3	What type of training did you receive to understand the proper fitting, care and use of your PPE?		
22	6.4	How do you have access to appropriate PPE when needed?		
23	7.5	What is your company's system to remove defective tools or equipment from service?		
24	8.2	After training, how are you evaluated for your retention of information regarding the company safety and health program?		
25	8.5	How was your mandatory training verified or provided to you prior to starting work?		
26	8.8	When was your orientation provided? Have you received a re-orientation?		
27	8.12	How are you given the opportunity to give input and communicate safety and health concerns?		
28	8.13	How often does your company hold scheduled safety meetings?		
Notes				

Question		Employee Interview Questions	Interview Response	
No.	Reference Number		Negative	Positive
29	9.3	How are identified deficiencies assigned to individuals and corrected as required?		
30	9.4	What specific method, form or checklist is used for pre-use inspections?		
31	9.7	What is your role in the formal or informal inspection process?		
32	9.8	How are the inspection reports posted and/or communicated to you?		
33	10.1	What is the process for reporting an incident? What are your responsibilities?		
34	10.4	Once an incident investigation has been completed, how are corrective actions implemented?		
35	10.5	How are corrective actions communicated to you after an incident occurs?		
36	10.6	What incidents do you report? Do you report near misses? Please give an example of a near miss?		
37	11.4	How do you know who is a qualified to administer first aid on this site?		
38	11.5	How do you alert everyone onsite in the event of an emergency? How do you contact appropriate personnel/agencies for emergency assistance?		
39	11.9	Can you give me an example(s) of an emergency plan for this site? What are your specific roles and responsibilities?		
40	11.12	How have site specific emergency plans been communicated to you?		
41	13.1	Where are copies of the Saskatchewan Act and Regulations on this site?		
42	13.2	Does your supervisor regularly discuss relevant regulations and legislation when assigning work? Can you give an example?		
Notes				



# Audit Interviews

## Interview Summary Sheets

Interview Summary Sheet							
	Employee Interviews			Management and Supervisor Interviews			Result
Reference Number	Negative	Positive	Question number	Negative	Positive	Question number	✓ or x
1.3			1			1	
1.5			2				
1.6			3			2	
2.1			4			3	
2.2			5				
2.4			6			4	
2.6			7			5	
2.7			8			6	
2.10			9			7	
3.2			10				
3.3			11			8	
3.5			12			9	
4.2			13				
4.3			14			10	
4.5			15			11	
5.2			16				
5.3			17			12	

Interview Summary Sheet							
Reference Number	Employee Interviews			Management and Supervisor Interviews			Result
	Negative	Positive	Question number	Negative	Positive	Question number	✓ or x
5.4			18				
5.6			19			13	
6.1			20			14	
6.3			21			15	
6.4			22			16	
7.4						17	
7.5			23			18	
8.1						19	
8.2			24			20	
8.3						21	
8.5			25			22	
8.6						23	
8.8			26			24	
8.10						25	
8.12			27				
8.13			28			26	
9.2						27	



Interview Summary Sheet							
Reference Number	Employee Interviews			Management and Supervisor Interviews			Result
	Negative	Positive	Question number	Negative	Positive	Question number	✓ or x
9.3			29			28	
9.4			30			29	
9.7			31			30	
9.8			32			31	
10.1			33			32	
10.3						33	
10.4			34			34	
10.5			35				
10.6			36			35	
11.4			37			36	
11.5			38			37	
11.6						38	
11.9			39				
11.12			40			39	
12.7						40	
13.1			41			41	
13.2			42			42	
13.3			43			43	

Interview Summary Sheet							
Reference Number	Employee Interviews			Management and Supervisor Interviews			Result
	Negative	Positive	Question Number	Negative	Positive	Question Number	✓ or x
14.2						44	
14.3						45	
14.6						46	
SS2.2			44				
SS3.1			45			47	
SS3.2			46			48	
SS3.3			47			49	
SS3.6			48			50	
SS3.7			49			51	

Optional Sections OP1, OP2 & OP3 - Not Required For SCSA COR Certification

Reference Number	Employee Interviews			Management and Supervisor Interviews			Result
	Negative	Positive	Question Number	Negative	Positive	Question Number	✓ or x
OP1.2						1	
OP1.3						2	
OP1.4			1			3	
OP1.5			2			4	
OP2.2						5	
OP3.1						6	
OP3.2			3			7	
OP3.3			4			8	
OP3.4			5			9	

# Optional Programs

Question		Optional Programs - Interview Questions	Interview Response	
No.	Reference Number	Manager and Supervisor Interviews	Negative	Positive
1	<b>OP1.2</b>	Is there an active claims management program in place?		
2	<b>OP1.3</b>	Have you received training to help you with WCB Claims management?		
3	<b>OP1.4</b>	Did you have a pre-employment medical prior to starting work here?		
4	<b>OP1.5</b>	Are restricted duty programs in place for those who are injured on the job?		
5	<b>OP2.2</b>	Is there an environmental protection program in place?		
6	<b>OP3.1</b>	How do you pre-qualify sub-contractors health and safety programs?		
7	<b>OP3.2</b>	Does this company issue safety awards?		
8	<b>OP3.3</b>	(Specify)		
9	<b>OP3.4</b>	(Specify)		
		<b>Employee Interviews</b>		
1	<b>OP1.4</b>	Did you have a pre-employment medical prior to starting work here?		
2	<b>OP1.5</b>	Are restricted duty programs in place for those who are injured on the job?		
3	<b>OP3.2</b>	Is there a safety incentive program?		
4	<b>OP3.3</b>	(Specify)		
5	<b>OP3.4</b>	(Specify)		
<b>Optional Programs are Not Required for SCSA COR Certification</b>				

SCSA Optional – OP1, OP2, OP3		Possible Score	Technique Employed			Points Awarded	
Safety and Health Program Verification			D	O	I		
<b>OP1</b>	<b>WCB Claims Management</b>						
<b>OP1.</b>	Is a WCB Claims Management Policy in place, signed and dated?	2	<input type="checkbox"/>	<input type="checkbox"/>			
<b>OP1.</b>	Is there an active WCB claims management program in place?	1	<input type="checkbox"/>	<input type="checkbox"/>	AND	<input type="checkbox"/>	<input type="checkbox"/>
<b>OP1.</b>	Have key personnel received WCB Claims Management training?	2	<input type="checkbox"/>	<input type="checkbox"/>	AND	<input type="checkbox"/>	<input type="checkbox"/>
<b>OP1.</b>	Is pre-employment/placement screening performed?	2	<input type="checkbox"/>	<input type="checkbox"/>	AND	<input type="checkbox"/>	<input type="checkbox"/>
<b>OP1.</b>	Are alternate work programs in place?	1	<input type="checkbox"/>	<input type="checkbox"/>	AND	<input type="checkbox"/>	<input type="checkbox"/>
<b>Total Points Possible</b>		<b>8</b>	<b>Total Points Awarded</b>				
<b>OP2</b>	<b>Environmental Protection Policy</b>						
<b>OP2.</b>	Is an environmental policy in place, signed and dated?	2	<input type="checkbox"/>	<input type="checkbox"/>			
<b>OP2.</b>	Is there an environmental protection program in place?	1	<input type="checkbox"/>	<input type="checkbox"/>	AND	<input type="checkbox"/>	<input type="checkbox"/>
<b>Total Points Possible</b>		<b>3</b>	<b>Total Points Awarded</b>				
<b>OP3</b>	<b>Miscellaneous Programs</b>						
<b>OP3.</b>	Is a system in place to pre-qualify sub-contractors	3	<input type="checkbox"/>	<input type="checkbox"/>	AND	<input type="checkbox"/>	<input type="checkbox"/>
<b>OP3.</b>	Are incentive/recognition programs in place for safety?	1	<input type="checkbox"/>	<input type="checkbox"/>	AND	<input type="checkbox"/>	<input type="checkbox"/>
<b>OP3.</b>	(Specify)						
<b>OP3.</b>	(Specify)						
<b>Total Points Possible</b>		<b>4</b>	<b>Total Points Awarded</b>				

**Auditor's Comments**

Optional programs are provided as a convenience to the SCSA membership only and must not be included in the scoring of SCSA certification audits.