



SECOR® Audit Tool

Version 5.0

©2021 SCSA

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:

☐ ☒ OR ☐ ☒
(Acceptable) (Deficient)

- 2) All deficient items (☒) must have a labelled comment to justify.
- 3) **“AND”** questions must have both acceptable answers to receive points
- 4) **“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	Statistics and Records
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	Does the company compare health and safety performance year to year?
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.

Health and Safety Program Verification	
12.0	Statistics and Records
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	Does the company compare health and safety performance year to year?
12.5	Are the annual statistics analyzed and needs or trends identified?
12.6	Are adequate first aid treatment records kept?

- 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.

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.

Copyright

This publication is the property of the Saskatchewan Construction Safety Association. Reproduction in any form, by any means, in whole or in part or use of this publication by other than the Saskatchewan Construction Safety Association is prohibited without the express written consent of the Association.

The audit must be completed in ink.	Carry adjusted scores for not applicable items to the totals on evaluation summary sheet .
Enter ✓ for acceptable items and x for deficient items.	Complete all areas on the evaluation summary sheet, including company name, auditor and audit date(s).
Enter the points awarded for each item in the " points awarded " column to the right	Comment for each section on the evaluation summary sheet . Two or three word comments that capture the key findings for that section.
Issue only full points or zero points for each item.	Carry points from each section of the audit to the " actual points " column on the evaluation summary sheet .
Provide a labeled comment to justify all deficient items (every x).	Carry points from each section of the SCSA Supplemental to the " actual points " column on the evaluation summary sheet.
Place comments only in the appropriate area at the bottom of each page.	Calculate the overall score in percentage (to the nearest whole number) for sections (1) through (13) and enter in the box provided.
Keep comments brief and relevant to the findings on the audit.	Sections in the SCSA Supplemental must achieve at least 50% to meet standard.
Initial all changes and /or corrections made to the audit.	Indicate " YES " for standard achieved and " NO " for standard not achieved for each item in the SCSA Supplemental.
Cross out wrong entries with one or two straight lines and enter the correct entry adjacent. Initial the change.	Overall audit score must be at least 80% and all elements including SCSA Supplemental sections must achieve at least 50% to meet standard.
Whiteout or correction tape is not permitted on an audit document.	Circle the appropriate "standard achieved" response (Yes or No) next to the overall audit score.
Avoid writing over entries or scribbling entries out.	Sign the evaluation summary sheet.
Remove items that are not applicable to the audit.	Obtain the senior company officer's signature and 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.
Cross out items that are not applicable and mark with "N/A" and your initials .	The overall audit results and report provide privileged information available only to the SCSA , the Auditor and the Auditee senior management.
Explain why an item is not applicable in the comment section.	Summarize the results of the audit in the written executive summary .
Remove items that are not applicable to the audit from the scoring .	Include mandatory information in the executive summary.

Definitions	
Auditee: The organization or company whose safety program is being audited.	Formal Inspection: An observation of a work site designed primarily to identify, record and correct existing unsafe acts and conditions.
Management: Individuals that have overall responsibility for one or more projects, locations or departments within an organization.	Near Miss: An incident which did not, but which had the potential to, result in serious property damage or injury.
Senior Management: Individuals that have responsibility for an entire operation within Saskatchewan or beyond.	Trends: Determined through the analysis of safety statistics to show the rate of increase or decrease of various types of injury or incident.
Supervisor: Individuals that have been authorized to direct the activities of one or more workers.	Action Plan: A specific, timely and written plan of action developed and implemented based on the results of a safety audit.
Posted: Safety information made available to the supervisors and workers by posting it on a bulletin board used specifically for that purpose.	Executive Summary: A written report that summarizes the results of a safety audit.
Sub-Contractor: An employer under contract to the Contractor on a multi-employer site.	WCB: Workers Compensation Board
Safe Work Practice: Written guideline on how to safely use or handle a tool, a piece of equipment, a chemical or a specific process.	Internal Audit: An audit completely managed and conducted internally by the auditee.
Safe Job Procedure: Written step by step instructions on how to safely perform a specific task.	External Audit: An audit conducted in cooperation with an auditee by an auditor that is not associated with the auditee.
Job Hazard Analysis: A process used to identify, assess and control the hazards associated with a particular task. Commonly used to develop job procedures.	Student Internal: A student auditor that is conducting a self-audit for the purpose of attaining internal auditor certification.
Basic PPE: Personal protective equipment usually worn at all times on a work site. Includes standard items such as hard hat, foot wear and safety glasses.	Current Number of Workers: The maximum number of workers the auditee has or is expected to have at the time of the audit, including sub-contractors.
Specialized PPE: 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.	Key Contact: Senior Management or designate responsible for the facilities under audit.
Orientation: A special training session used to orient new or transferred workers to an organization and /or to a particular work site.	Certification Number: An auditor's most recent SCSA Auditor certification number.
Tool Box Meeting: A short routine meeting designed to address safety issues and training; also called Tail Gate Meeting .	Policy: Written detailed company protocol.
Hazard controls / Recommendations / Follow up / Remedial Action: 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.	Policy Statement: A brief description or reference to company protocol endorsed (signed and dated) by senior company management.

1	List all dates included in the audit.
2	Check all boxes that apply for "Type of Audit" and "Type of Auditor".
3	Audit reviewer, please verify training records from learner report to determine if meeting qualifications and if training is current.
4	List the name(s) of the most current trained individual(s) representing the Small Employer Certificate of Recognition complete with the most recent training date. List only one name for each category. Individuals listed must be in full 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 workers associated with employers under contract to the auditee.
7	Enter auditor information only for the certified auditor. If information does not apply for certain fields enter "n/a".
8	All fields on this form must be completed.

Audit Dates (dd-mm-yy)		Locations Included in the Audit			
Type of Audit	Type of Auditor	Training Verification			
			Name		Date Completed
Internal	Internal	Safety Management			
External	External	Leadership for Safety Excellence w Proficiency			
Baseline		Safety Auditor Training			
		SCOT or approved equivalent	All Full-Time Employees		

*Please provide a current list of ALL employees

Company Information

Legal Name: _____

Address: _____ City: _____ Province: _____

Postal Code: _____ Phone: _____ Fax: _____ e-mail: _____

Current number of full-time company workers: _____

Key Contact: _____ Current number of part time workers: _____

WCB Account Number(s): _____ Current number of subcontractor workers: _____

WCB Industry Code(s): _____ Nature and Type of work: _____

Auditor Information

Name: _____ Office Number: _____

Company: _____ Cell Number: _____

Address: _____ Fax: _____

City: _____ Email: _____

Province: _____ Auditort Cert #: _____

Postal Code: _____

Sections (1) through (13) 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). Section (13) is confirmed if adequate references to legislation appear throughout the document.

Sections (SS2) and (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 Small Employer Certificate of Recognition.

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 (13) and sections (SS2) & (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.

		Yes	No
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 (PPE)		
7	Preventative Maintenance Program		
8	Training and Communication		
9	Inspections		
10	Investigations and Reporting		
11	Emergency Preparedness		
12	Statistics & Records		
13	Legislation (look for references to legislation throughout the safety manual)		
Saskatchewan Construction Safety Association Inc. Supplement to the National Standard Safety Program Evaluation Tool			
SS2	Harassment Policy		
SS3	Occupational Health Committee / Representative		
Saskatchewan Construction Safety Association Inc. Optional Sections to the National Standard Safety Program Evaluation Tool			
OP1	WCB Claims Management		
OP2	Environmental Protection Policy		
OP3	Miscellaneous Programs		

1.1	Auditors must see a written policy statement on health and safety that is signed by current senior management.
1.2	The policy must contain a clear statement of the employer's commitment to provide a safe and healthy work environment.
1.3	The policy must contain a clear statement that refers to the workers' right to a safe and healthy work environment.
1.4	The policy must be current and dated not more than three years past.
1.5	The auditor should look for documents that indicate an annual review has taken place OR a dated policy by current senior management that is not more than one year past.
1.7	The policy manual must contain clear statements of responsibility for health and safety for all levels in the organization including senior management, supervision, workers and sub-contractors.
1.8	The policy must contain a clear statement of the employer's commitment to work in a spirit of consultation and cooperation with the workers.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
1.0	Health & Safety Policy		D	
	Does the employer have a written health and safety policy that:			
1.1	Is signed by the president, CEO or local senior management?	3		
1.2	Includes management's commitment to provide a safe and healthy work environment?	3		
1.3	Recognizes the right of workers to work in a safe and healthy work environment?	2		
1.4	Is current and dated?	2		
1.5	Is reviewed annually by management?	2		
1.7	Addresses accountability and responsibility for health and safety for all workplace parties?	3		
1.8	Expresses a commitment to work in a spirit of consultation and cooperation with the workers?	3		
Total Points Possible		18	Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

2.1	Documentation must show that hazard assessments are being conducted as stated in the safety program. Look for existing and (primarily) potential hazards on all work sites. The auditor should look for documentation of date and time of hazard assessments.
2.2	The auditor should find pre-job hazard assessments as well as milestone assessments. These assessments will depend largely on what type of operation is being audited. Construction companies may do hazard assessments before start up on a project and then again after major milestones (ex. building erected, power installed, etc.). Milestone assessments are required because new types of hazards are introduced as the project matures. Organizations that have fixed work conditions, such as manufacturers or maintenance shops may perform hazard assessments pre-start-up or as part of their safety program development and then periodically after that to assess any change in the operation. The frequency of this type of assessment will depend on how often their process changes. A daily hazard or risk assessment commonly used before each day or each task is a good example of an on-going hazard assessment process, however auditors must ensure that it is not the only assessment process being used since it does not assess the overall project or operation.
2.3	The names of the individuals involved in hazard assessments must be on the documentation. Look for the involvement of workers, supervisors, management and sub-contractors during the hazard assessment process.
2.4	Verify through documentation that all formal hazard assessments include the identification of hazards relevant to the task being performed.
2.5	All formal hazard assessment documents must include a system to identify a prioritization method based on level of risk. The prioritization helps the assessment team understand the potential that each item has to cause injury or property damage.
2.6	The company must have a list or method to classify identified critical tasks. A critical task poses a higher level of risk than normal day to day operations and are specific to the company and will vary depending on the scope of work performed. This list is then used to develop procedures using a job risk analysis process.
2.7	Once hazards are identified they must be controlled. The auditor must be able to find evidence through the review of the hazard assessment documents to show each identified hazard has received an appropriate control. Look for the use of engineering, elimination, substitution, administrative controls, personal protective equipment or a combination of control measures.
2.8	All hazard assessment forms must clearly indicate date and time when the controls were put in place. The auditor will judge if the action was timely; however, the intention is to control hazards before the work begins.
2.9	Affected workers, supervision and sub-contractors that will be on the job site must perform and/or be informed of the hazard assessment results. This may include hazard assessments being reviewed during health and safety meetings with attendance sheets or through the participation in various levels of the hazard assessment process.
2.10	Look for a sub-contractor evaluation policy/process and review applicable documents to identify their participation in the safety program. All sub-contractors must receive a sub-contractor orientation (may be less detailed than a new hire orientation) and must participate in the safety program, either through safety meetings, hazard assessments or inspections. Other documentation may include performance records, pre-qualification for work, etc. Confirm that an on-going process is in place. If sub-contractors are not used, the question must be deemed not applicable.
2.11	Documentation review should show management's involvement in the hazard assessment process by either documented attendance records or management signature.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
2.0	Hazard Assessment, Analysis and Control		D	
2.1	Are written hazard assessments conducted as required?	4		
2.2	Does the employer use an on-going hazard assessment process?	4		
2.3	Are appropriate personnel involved in the hazard assessment process?	3		
2.4	Are hazards identified?	3		
2.5	Are hazards prioritized?	2		
2.6	Is there a list of identified critical tasks?	3		
2.7	Are controls developed for identified hazards?	3		
2.8	Are controls implemented in a timely manner?	3		
2.9	Are appropriate personnel involved / informed of the control strategies?	3		
2.10	Does the company have a process for evaluating and monitoring sub-contractors?			
2.11	Does management support the ongoing application of the hazard assessment process?	3		
Total Points Possible			Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

3.1	The auditor must confirm through the documentation review that the current written practices reflect activities that the company performs.
3.2	The documentation review will determine if all practices required for the health and safety management system have been developed and implemented.
3.6	Review safety meetings to see if safe work practices have been a regular and relevant topic of discussion. Look for the names of the individuals that have developed or reviewed practices to be listed on the practice or on a review summary.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
3.0	Safe Work Practices		<i>D</i>	
3.1	Do the safe work practices accurately reflect the company's activities?	2		
3.2	Have applicable safe work practices been written?	3		
3.6	Have both management and workers participated in the development and/or review of safe work practices?	2		
Total Points Possible		7	Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

4.1	The auditor must confirm through the documentation review that the current written procedures reflect the activities that the company performs.
4.2	The documentation review will determine if all critical safe job procedures required for the health and safety management system have been developed and implemented.
4.6	Review safety meetings to see if safe job procedures have been a regular and relevant topic of discussion. The auditor can also look for the names of the individuals that have developed or reviewed procedures to be listed on the procedures or on a review summary.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
4.0	Safe Job Procedures		<i>D</i>	
4.1	Do the safe job procedures accurately reflect the employer's activities?	2		
4.2	Have all critical safe job procedures been written?	3		
4.6	Have both management and workers participated in the development / review of these procedures?	2		
Total Points Possible		7	Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

5.1	The auditor must see a written list of rules.
5.4	The company must have a written progressive discipline process.
5.5	The auditor must see documented evidence that the discipline process is being used. If no major infractions have occurred there should, at minimum, be a record of verbal warnings given. If no documentation of progressive disciplinary process is found, marks would not be awarded.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
5.0	Company Rules		D	
5.1	Are the rules clearly stated in writing?	2		
5.4	Does the program address non-conformance and progressive disciplinary actions?	2		
5.5	Are the rules applied/enforced consistently with all personnel?	2		
Total Points Possible		6	Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

6.1	There must be a policy describing the requirements for PPE. The policy should state what the minimum company PPE requirements are.
6.2	The basic PPE requirements should be stated in their safety orientation. PPE requirements may also be described when reviewing practices and/or procedures.
6.6	The company must have written procedures on the proper fitting, care, and use of specialized PPE such as fall protection, respiratory devices, air monitors, etc.
6.7	The auditor should find documentation showing training from a certified or competent source specific to specialized PPE. This could include Fall Protection training, H2S, Respiratory Fit Testing, etc. Basic PPE training may be covered in safety meetings or orientations.
6.8	The auditor should look for documentation that states appropriate PPE for the scope of work. Each practice or procedure should state PPE required; it may be stated on formal hazard assessments as well. Appropriate PPE should be chosen based on legislation, site rules, WHMIS, etc.
6.9	The auditor should look for documentation on critical devices such as air monitoring equipment, air packs, fall protection devices, air filter systems, etc. Inspections should be based on manufacturer's recommendations or better. Basic PPE inspections and maintenance may be conducted and recorded as part of a safety meeting, daily hazard assessments, or documented otherwise.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
6.0	Personal Protective Equipment (PPE)		D	
6.1	Is there a written policy for PPE?	2		
6.2	Are employees made aware of the requirements for PPE?	2		
6.6	Are there written procedures for the proper fitting, care and use of specialized PPE?	2		
6.7	Are personnel given instruction or training in the use of PPE as required?	3		
6.8	Is there criteria used to select PPE?	2		
6.9	Is there a system in place to regularly inspect and maintain basic/specialized PPE?	3		
Total Points Possible		14	Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

7.1	The auditor must see an inventory list of critical equipment that the organization has control of. The inventory list may include but is not limited to company vehicles, skid steers, forklifts, aerial work platforms, generators, overhead cranes, power actuated tools, welding equipment, specialized PPE, fire extinguishers, etc.
7.2	Review equipment records, check for equipment manuals on site, and verify that maintenance is done according to company, manufacturer and regulatory standards.
7.3	Look for a maintenance schedule that includes all the critical equipment identified on the inventory list. The auditor must determine the criteria that was used to develop the maintenance schedule. Look for checklists for the identified equipment that meet the requirements stated in the company policy, equipment manuals and regulatory requirements.
7.4	Review the equipment inspections for identified deficiencies. The auditor should check equipment records to verify corrective actions have been completed. The equipment inspections or corrective actions should include a description of the maintenance that was conducted to correct the identified problem and include date, time and signature.
7.5	Review the health and safety management program to determine if there is a written system for removal of defective tools or equipment from service.
7.7	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.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
7.0	Preventative Maintenance Program		D	
	Does the preventative maintenance program of facilities, tools, equipment and vehicles include:			
7.1	An inventory of items to be maintained?	1		
7.2	Maintenance meeting manufacturer and regulatory standards?	3		
7.3	The use and completion of schedules and checklists as required?	1		
7.4	Records with a description of corrective actions taken?	2		
7.5	A system to effectively remove defective tools, equipment and vehicles from service?	2		
7.7	Does a qualified/competent person perform the inspection and maintenance?	2		
Total Points Possible		11	Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

8.1	The company safety program must have a formal process for providing safety orientation to workers. All key elements of the health and safety management system should be covered in the orientation program.
8.2	An orientation record must be available for all new and existing personnel throughout the organization. Orientation records should include but are not limited to; clerical, supervisory staff, management, workers, and sub-contractors. A modified site orientation may be used for sub-contractors. Records may be paper or electronic.
8.3	The formal orientation process must include a standardized format to ensure consistency of information.
8.4	The orientation form must provide for the signatures of both the student and trainer. If electronic orientations are used, there must be a method to verify who the competent trainer was that administered it.
8.5	Training records must support the requirements mandated by policy such as WHMIS, TDG, and H2S. Cross reference with other documentation (i.e. hazard assessments, fall protection work plans, confined space permits, etc.) to ensure that only people with proper training are performing the work.
8.6	The company must have training records on file for all personnel. They may be hard copy, electronic, or a training matrix with supporting certificates.
8.7	Training records must show that training is provided for jobs specific tasks. This type of training should include procedures and practices. Other job specific training would be required to use certain equipment or perform certain work. Examples are Fall Protection, Confined Space, PME certification, etc.
8.8	Training records must specify who conducted the training. When in-house training is provided records must verify that the trainer is competent to provide that specific training. (i.e OHC Level 1 Train The Trainer, Fall Protection certification, etc.)
8.9	All supervisors must have taken training specific to their responsibilities as stated in OH&S legislation, as well as the company responsibilities. SCSA's Leadership for Safety Excellence (LSE) class would satisfy this. If other programs are used, verify the content covers all requirements.
8.10	There should be records of tests or exams (written or electronic) associated with orientations and job specific training.
8.11	Records or minutes must be on file that shows safety meetings are held regularly, as per the company policy. Safety meetings should include all staff, and are separate from daily meetings (Toolbox Talks/FLRAs) or Occupational Health Committee meetings.
8.12	Minutes of meetings must indicate that senior management attends periodically.
8.13	There must be documented agenda and minutes detailing the content discussed at each safety meeting (general and daily), with legible attendance records. The auditor should critique the content of the meetings to determine what safety topics are being discussed.
8.14	The minutes of the meeting must include a portion where the comments and suggestions of workers are discussed, recorded, and appropriate action taken.
8.15	The auditor must check the policy manual and determine if the frequency of meetings is as per policy.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
8.0	Training and Communication		D	
8.1	Does the employer have a formal orientation program?	4		
8.2	Is orientation mandatory for all personnel before starting work?	3		
8.3	Is there a standardized written orientation form?	2		
8.4	Does the form provide for signatures of both workers and the person conducting the orientation?	2		
8.5	Are mandatory training requirements verified or training provided before starting work?	2		
8.6	Are training records maintained?	2		
8.7	Is job specific training provided and documented as required?	2		
8.8	Does a qualified person conduct job specific training?	2		
8.9	Have supervisors received training in workplace inspections and health and safety responsibilities?	4		
8.10	Is a system in place to measure knowledge and competency?	3		
8.11	Does the employer hold scheduled health and safety meetings?	3		
8.12	Does senior management attend / participate in health and safety meetings?	2		
8.13	Is a prepared agenda followed and are minutes and attendance of the meeting kept?	3		
8.14	Does two-way communication exist during these meetings?	3		
8.15	Are tailgate / toolbox meetings held regularly and documented as per policy?	3		
Total Points Possible		40	Total Points Awarded	
Auditor's Comments				
<p>Comments are mandatory for all deficient items. Label comments with the appropriate reference number.</p>				

9.1	There must be a written policy for inspections.
9.2	The policy must make reference to the frequency of inspections, or how the frequency of inspections will be determined at company facilities and each job site. If the frequency is determined at each job site, the auditor should request the additional information verifying the determined frequency. The auditor should determine if the stated frequency is appropriate for the work being performed.
9.3	Sufficient records of inspections must be on file for all worksite and company facilities as stated in the inspection policy.
9.4	A standard format for site inspections must be available.
9.5	Inspection reports must indicate supervisor's names that were involved in conducting the inspection.
9.6	Inspection reports must indicate workers names that were involved in conducting the inspection.
9.7	The auditor must ensure that the areas such as yards, offices, basements, storage facilities, etc. are not being excluded from the inspection process.
9.8	Records must indicate when corrective action has been taken, including date, time and signature. The auditor must judge if corrections are timely based on the potential to cause injury or serious property damage.
9.9	Senior management must review, date and sign inspection reports and occasionally participate in the inspections. The site supervisor would typically report to this level of management.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
9.0	Inspections		D	
9.1	Is there a written policy for inspections?	2		
9.2	Does the policy include frequency of inspections?	3		
9.3	Is the required frequency being met?	3		
9.4	Is there a form or checklist used for inspections?	3		
9.5	Are supervisors performing inspections as required?	3		
9.6	Are workers involved in the inspection process?	3		
9.7	Are all areas inspected as required?	3		
9.8	Are identified deficiencies corrected in a timely manner?	3		
9.9	Does senior management participate / review the inspection process?	3		
Total Points Possible		26	Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

10.1	There must be a written policy for investigations and reporting. Policy should set out the objectives of investigations; criteria to establish a requirement for investigation, including near misses; investigation procedures; responsibility to carry out investigations; and criteria to report to OH&S.
10.2	Incidents must be investigated, as stated in the company policy.
10.3	Incident reports must be on a standard form designed for that purpose.
10.5	All supervisors must have taken training specific to their responsibilities for conducting investigations. SCSA's Leadership for Safety Excellence, OH&S Better Supervision, and OHC Level 2 would satisfy this. If in house training is used, verify content.
10.6	The auditor should check records to ensure that management, as well as workers or the workers representatives (committee) are involved in the investigation process. The investigation report form should clearly show who the investigation was conducted by.
10.7	Near misses must be reported. Near misses of a less serious nature may be reported and discussed at safety meetings. Incidents that have the potential to cause serious injury or property damage must be investigated. There needs to be sufficient records to support that near misses are being reported.
10.8	Reports must indicate details around corrective action, including date, time and signature. The auditor must judge if corrective action is timely based on the potential to cause serious injury or property damage. Corrective actions must be specific to how reoccurrence will be prevented, as well clearly show when the stated items have been completed.
10.10	All investigation reports must be reviewed, dated and signed by senior management.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
10.0	Investigations and Reporting		D	
10.1	Is there a written investigation policy and reporting procedure(s)?	2		
10.2	Is the policy being followed?	4		
10.3	Are standardized forms readily available and used?	2		
10.5	Have supervisors been trained in investigation and reporting procedures?	3		
10.6	Are appropriate personnel involved in investigations?	2		
10.7	Are near misses being reported?	4		
10.8	Are recommendations for prevention / remedial action implemented in a timely manner?	4		
10.10	Are investigation reports reviewed by senior management?	3		
Total Points Possible		24	Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

11.1	The auditor must judge if emergency plans are appropriate based on the company's scope of work, size of company, physical locations, number/frequency of personnel, etc.
11.2	The emergency procedure or policy must assign specific roles and responsibilities to personnel (i.e worker, supervisors, sub-contractors) and provide appropriate training regarding emergency response plans. The emergency response policy must clearly state that training will be provided.
11.3	There must be documentation that shows emergency plans have been tested, as per company policy or at minimum annually. The record must indicate the results of that test and what corrective actions were taken to correct deficiencies.
11.4	When appropriate the employer must have a written fire response plan, which may be part of other emergency response plans.
11.6	Documentation must show that fire extinguishers are inspected and serviced, as per the manufacturer's specifications. Refer to manufacturer recommendations on extinguishers to ensure appropriate service and routine inspections are being met.
11.9	The names of qualified first aid attendants must be posted or readily available. The auditor must determine if the numbers are adequate for the size, type and location of the worksite.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
11.0	Emergency Preparedness		D	
11.1	Are the emergency preparedness plans appropriate to work activities	4		
11.2	Does the plan include a requirement for training in emergency procedures, roles and responsibilities?	2		
11.3	Has the emergency response plan been tested for deficiencies and corrective action taken?	3		
11.4	Does the employer have a written fire response plan?	2		
11.6	Are extinguishers regularly inspected and maintained?	2		
11.9	Are the required number of qualified first aid personnel trained?	3		
Total Points Possible		16	Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

12.1	The company must have a system that organizes and manages the safety program documentation.
12.2	The company must produce a periodic summary of safety program activity. The report will include information such as the number of safety meetings, inspections, investigations, orientations, training sessions, etc. that were conducted or held over a period of time.
12.3	Appropriate statistics which track incidents and may include frequency, injury cause, body part injured, time loss and no time loss, must be available that measure the frequency and severity of recordable injuries.
12.4	Statistics must provide sufficient information to compare safety performance from year to year.
12.5	Statistics must provide sufficient information to identify trends. The auditor should look for documentation showing that this is used to effect required changes for improvement.
12.6	First aid records must be recorded on an on-going basis. Refer to company policy as records could be in the first aid kits or company first aid report forms. If employees are using company first aid supplies, some type of record must be kept.
12.7	When applicable, there must be a written action plan available for review that was based on the results of the last audit.
12.8	The auditor must find documented evidence that the action plan was implemented. If the action plan has sign off dates that items were completed this would meet the requirement – auditor should also look at supporting company documentation to see the implementation.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
12.0	Statistics and Records		<i>D</i>	
12.1	Is there a process to organize and manage program documentation?	2		
12.2	Are adequate health and safety activity summaries developed and maintained?	2		
12.3	Are health and safety statistical reports generated on an on-going / regular basis and readily available?	2		
12.4	Does the company compare health and safety performance year to year?			
12.5	Are the annual statistics analyzed and needs or trends identified?			
12.6	Are adequate first aid treatment records kept?	3		
12.7	Was an action plan developed based on the most recent audit?			
12.8	Was that action plan communicated and implemented?			
Total Points Possible			Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

13.1	Check to see if suitable and specific legislation is referenced throughout appropriate policies. This could be Personal Protective equipment, inspections, investigations etc.
13.2	SWP/SJP must reference applicable appropriate and specific legislation. This could be references to fall protection, PPE, ladders, confined space, power tools, ergonomics, etc.
13.3	Employees rights and how to exercise them must be documented in the safety manual, specifically looking for 3 Basic Rights. Look for this to be communicated during orientations or safety meetings.
13.4	The employer's safety management program must identify what is considered a dangerous occurrence and when a dangerous occurrence must be reported to the Saskatchewan OH&S.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
13.0	Legislation		<i>D</i>	
13.1	Is reference to Saskatchewan OH&S Legislation mentioned in appropriate policies?	2		
13.2	Is reference to Saskatchewan OH&S Legislation specific to each applicable Safe Work Practice and applicable Safe Job Procedures stated in the written practices and procedures?	3		
13.3	Are personnel informed of their rights according to Saskatchewan OH&S legislation and how to exercise them?	2		
13.4	Does the employer's safety management system include accident reporting requirements as outlined in Saskatchewan OH&S legislation?	2		
Total Points Possible		9	Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

SS2.1	There must be a policy statement for the prevention and control of harassment.
SS2.4	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.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
SS2	Harassment Policy		D	
SS2.1	Is there a written policy, signed and dated by current senior management?	2		
SS2.4	Does the policy and procedure conform to government standards?	2		
Total Points Possible		4	Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

SS3.1	The auditor must confirm that an Occupational Health Representative has been appointed as required.
SS3.4	The OHC Representative (5-9 employees) must have received training in relation to their committee role and responsibilities, as well as in workplace inspections / workplace incident investigations. This training is typically referred to as WorkSafe Saskatchewan Level 1 OHC Training and Level 2 OHC Training.
SS3.6	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.
SS3.7	Refer to current legislation.

Health and Safety Program Verification		Possible score	Technique Employed	Points Awarded
SS3	Occupational Health Representative		D	
SS3.1	Is an occupational health representative in place?			
SS3.4	Has the representative received training?			
SS3.6	Are representative recommendations followed?			
SS3.7	Is the representative fulfilling their legislated responsibilities?			
Total Points Possible			Total Points Awarded	
Auditor's Comments				
Comments are mandatory for all deficient items. Label comments with the appropriate reference number.				

Carry adjusted scores for not applicable items to the totals on evaluation summary sheet .	Sign the evaluation summary sheet.
Complete all areas on the evaluation summary sheet, including company name, auditor and audit date(s).	Obtain the company's senior officer's signature and a goal for the next audit.
Comment for each section on the evaluation summary sheet . Provide brief comments that capture the key findings for that section.	Audits that score 80% overall but fail up to (2) sections do not meet standard however qualify for a limited scope audit.
Carry points from each section of the audit to the " actual points " column on the evaluation summary sheet .	Summarize the results of the audit in the written executive summary .
Calculate the overall score in percentage (to the nearest whole number) for sections (1) through (13) and enter in the box provided.	Include mandatory information in the executive summary.
Carry points from each section of the SCSA Supplemental to the "actual points" column on the evaluation summary sheet.	
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 Supplemental.	
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.	

Evaluation Summary Sheet																																																							
Company		Auditor		Date																																																			
Section Number	Section Title	Possible Points	Actual Points	Minimum Standard	Auditor Comments																																																		
1	Health and Safety Policy	18		9																																																			
2	Hazard Assessment, Analysis and Control																																																						
3	Safe Work Practices	7		4																																																			
4	Safe Job Procedures	7		4																																																			
5	Company Rules	6		3																																																			
6	Personal Protective Equipment (PPE)	14		7																																																			
7	Preventative Maintenance Program	11		6																																																			
8	Training and Communication	40		20																																																			
9	Inspections	26		13																																																			
10	Investigations and Reporting	24		12																																																			
11	Emergency Preparedness	16		8																																																			
12	Statistics and Records																																																						
13	Legislation	9		5																																																			
Total																																																							
<div style="display: flex; justify-content: space-between;"> <div style="width: 40%;"> <p>Minimum standard = 80% overall score <u>and</u> 50% minimum in each of sections 1 through 13.</p> <p>Actual Points X 100 = <input style="width: 50px; border: 1px solid black;" type="text"/> Possible Points</p> <p>Standard Achieved <input style="width: 50px; border: 1px solid black;" type="text"/></p> <p>Auditor Signature <input style="width: 100%; border: 1px solid black;" type="text"/></p> <p>Senior Company Officer Name <input style="width: 100%; border: 1px solid black;" type="text"/></p> <p>Senior Company Officer Signature <input style="width: 100%; border: 1px solid black;" type="text"/></p> <div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div>Goal For Next Audit</div> <div style="border: 1px solid black; width: 40px; height: 30px; text-align: center; line-height: 30px;">%</div> </div> </div> <div style="width: 55%;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="5" style="text-align: center; background-color: #f2f2f2;">SCSA Supplemental Section</th> </tr> <tr> <th style="text-align: center;">Section number</th> <th style="text-align: center;">Section Name</th> <th style="text-align: center;">Possible Points</th> <th style="text-align: center;">Actual Points</th> <th style="text-align: center;">Standard Achieved</th> </tr> </thead> <tbody> <tr> <td colspan="5" style="background-color: black;"></td> </tr> <tr> <td style="text-align: center;">SS2</td> <td>Harassment Policy</td> <td style="text-align: center;">4</td> <td></td> <td></td> </tr> <tr> <td style="text-align: center;">SS3</td> <td>Committees / Representative</td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="5" style="background-color: black;">Auditor Comments</td> </tr> <tr> <td colspan="5" style="background-color: black;"></td> </tr> <tr> <td style="text-align: center;">SS2</td> <td colspan="4"></td> </tr> <tr> <td style="text-align: center;">SS3</td> <td colspan="4"></td> </tr> <tr> <td colspan="5" style="text-align: center; background-color: #f2f2f2;">Each supplemental section must attain a minimum of 50% to meet the SCSA certification standards.</td> </tr> </tbody> </table> </div> </div>						SCSA Supplemental Section					Section number	Section Name	Possible Points	Actual Points	Standard Achieved						SS2	Harassment Policy	4			SS3	Committees / Representative				Auditor Comments										SS2					SS3					Each supplemental section must attain a minimum of 50% to meet the SCSA certification standards.				
SCSA Supplemental Section																																																							
Section number	Section Name	Possible Points	Actual Points	Standard Achieved																																																			
SS2	Harassment Policy	4																																																					
SS3	Committees / Representative																																																						
Auditor Comments																																																							
SS2																																																							
SS3																																																							
Each supplemental section must attain a minimum of 50% to meet the SCSA certification standards.																																																							

Guidelines for Completing Your Executive Summary	
Mandatory Information	General Guidelines
A description of the audit tool - "SCSA Standard Safety Program Evaluation Tool using the documentation process".	Thank the auditee for the opportunity to conduct the audit.
The date or dates of the audit.	Remain positive throughout.
Describe the sections or aspects of the safety program that were revealed by the audit as being handled very well .	Reinforce the importance of management support.
Describe the sections or aspects of the safety program that were revealed by the audit as requiring improvement .	Do not reference the Small Employer Certificate of Recognition in the audit summary. The audit is only one step in several required for SECOR.
Reveal the mark obtained and whether or not the standard has been achieved. Explain when necessary.	Do not discuss auditor involvement (if any) in development of the program being audited. Auditors should be temporarily detached while auditing.
Ask for an action plan , based on the audit, to be developed, implemented and a copy forwarded to the SCSA within (30) days.	When the executive summary is complete, conduct a closeout meeting with the auditee.
Indicate "YES" for standard achieved and "NO" for standard not achieved for each item in the SCSA Supplemental.	
When the summary is written on a separate document ensure that the auditor and the senior company officer both sign and date it .	

Executive Summary Sheet

Auditor Signature

