SASKATCHEWAN CONSTRUCTION SAFETY ASSOCIATION

SECOR® Audit Tool Questions & Guidelines

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1.0 Safety & Health Policy

Does the employer have a written safety and health policy that:

1.1	**Is signed by the president, CEO or local senior management?** *Auditors must see a written policy statement on health and safety that is signed by current senior management.*
1.2	**Includes management's commitment to provide a safe and healthy work environment?** *The policy must contain a clear statement of the employer's commitment to provide a safe and healthy work environment.*
1.3	**Recognizes the right of workers to work in a safe and healthy work environment?** *The policy must contain a clear statement that refers to the workers' right to a safe and healthy work environment.*
1.4	**Is current and dated?** *The policy must be current and dated not more than three years past.*
1.5	**Is reviewed annually by management?** *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	**Addresses accountability and responsibility for health and safety for all workplace parties?** *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	**Expresses a commitment to work in a spirit of consultation and cooperation with the workers?** *The policy must contain a clear statement of the employer's commitment to work in a spirit of consultation and cooperation with the workers*

2.0 Hazard Assessment, Analysis and Control

2.1	**Are written hazard assessments conducted as required?** *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	**Does the employer use an on-going hazard assessment process?** *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	**Are appropriate personnel involved in the hazard assessment process?** *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	**Are hazards identified?** *Verify through documentation that all formal hazard assessments include the identification of hazards relevant to the task being performed.*
2.5	**Are hazards prioritized?** *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	**Is there a list of identified critical tasks?** *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	**Are controls developed for identified hazards?** *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	**Are controls implemented in a timely manner?** *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	**Are appropriate personnel involved / informed of the control strategies?** *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	**Does the company have a process for evaluating and monitoring sub-contractors?** *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	**Does management support the ongoing application of the hazard assessment process?** *Documentation review should show management's involvement in the hazard assessment process by either documented attendance records or management signature.*

3.0 Safe Work Practices

3.1	**Do the safe work practices accurately reflect the company's activities?** *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 practices have not been developed for extension ladders, points will not be awarded for this question.* *Note: review documentation to verify that developed safe work practices accurately reflect activities the company performs.*

3.2	**Have applicable safe work practices been written?** *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.*

3.6	**Have both management and workers participated in the development and/or review of safe work practices?** *Verify through interviews that safe work practices have been a relevant topic of discussion. Points can be awarded if the company has a formal process to regularly review/revise safe work practices that includes both management and employees.*

4.0 Safe Job Procedures

4.1	**Do the safe job procedures accurately reflect the employer's activities?** *The auditor must confirm through the documentation review that the current written procedures reflect the activities that the company performs.*

4.2	**Have all critical safe job procedures been written?** *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	**Have both management and workers participated in the development / review of these procedures?** *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.*

5.0 Company Rules

5.1	**Are the rules clearly stated in writing?** *The company auditor must see a written list of rules.*

5.4	**Does the program address non-conformance and progressive disciplinary actions?** *The company must have a written progressive discipline process.*

5.5	**Are rules applied / enforced consistently with all personnel?** *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.*

6.0 Personal Protective Equipment (PPE)

6.1	**Is there a written policy for PPE?** *There must be a policy describing the requirements for PPE. The policy should state what the minimum company PPE requirements are.*
6.2	**Are employees made aware of the requirements for PPE?** *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	**Are there written procedures for the proper fitting, care and use of specialized PPE?** *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	**Are personnel given instruction or training in the use of PPE as required?** *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	**Is there criteria used to select PPE?** *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	**Is there a system in place to regularly inspect and maintain basic / specialized PPE?** *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.*

7.0 Preventative Maintenance Program

Does the preventative maintenance program of facilities, tools, equipment, and vehicles include:

7.1	**Is there an inventory of items to be maintained?** *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	**Maintenance meeting manufacturer and regulatory standards?** *Review equipment records, check for equipment manuals on site, and verify that maintenance is done according to company, manufacturer and regulatory standards.*
7.3	**The use and completion of schedules and checklists as required?** *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	**Records with description of corrective actions taken?** *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	**A system to effectively remove defective tools, equipment and vehicles from service?** *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	**Does a qualified / competent person perform the inspection and maintenance?** *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.*

8.0 Training and Communication

8.1	**Does the employer have a formal orientation program?** *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	**Is orientation mandatory for all personnel before starting work?** *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	**Is there a standardized written orientation form?** *The formal orientation process must include a standardized format to ensure consistency of information.*
8.4	**Does the form provide for signatures of both workers and the person conducting the orientation?** *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	**Are mandatory training requirements verified or training provided before starting work?** *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	**Are training records maintained?** *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	**Is job specific training provided and documented as required?** *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	**Does a qualified person conduct job specific training?** *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	**Have supervisors received training in workplace inspections and health and safety responsibilities?** *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	**Is a system in place to measure knowledge and competency?** *There should be records of tests or exams (written or electronic) associated with orientations and job specific training.*
8.11	**Does the employer hold scheduled health and safety meetings?** *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	**Does senior management attend / participate in health and safety meetings?** *Minutes of meetings must indicate that senior management attends periodically.*
8.13	**Is a prepared agenda followed and are minutes and attendance of the meeting kept?** *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	**Does two-way communication exist during these meetings?** *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	**Are tailgate / toolbox meetings held regularly and documented as per policy?** *The auditor must check the policy manual and determine if the frequency of meetings is as per policy.*

9.0 Inspections

9.1	**Is there a written policy for inspections?** *There must be a written policy for inspections.*
9.2	**Does the policy include frequency of inspections?** *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	**Is the required frequency being met?** *Sufficient records of inspections must be on file for all worksite and company facilities as stated in the inspection policy.*
9.4	**Is there a form or checklist used for inspections?** *A standard format for site inspections must be available.*
9.5	**Are supervisors performing inspections as required?** *Inspection reports must indicate supervisor's names that were involved in conducting the inspection.*
9.6	**Are workers involved in the inspection process?** *Inspection reports must indicate workers names that were involved in conducting the inspection.*
9.7	**Are all areas inspected as required?** *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	**Are identified deficiencies corrected in a timely manner?** *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	**Does senior management participate / review the inspection process?** *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*

10.0 Investigation and Reporting

10.1	**Is there a written investigation policy and reporting procedure(s)?** *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	**Is the policy being followed?** *Incidents must be investigated, as stated in the company policy.*
10.3	**Are standardized forms readily available and used?** *Incident reports must be on a standard form designed for that purpose.*
10.5	**Have supervisors been trained in investigation and reporting procedures?** *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	**Are appropriate personnel involved in investigations?** *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	**Are near misses being reported?** *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	**Are recommendations for prevention / remedial action implemented in a timely manner?** *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	**Are investigation reports reviewed by senior management?** *All investigation reports must be reviewed, dated and signed by senior management.*

11.0 Emergency Preparedness

11.1	**Are the emergency preparedness plans appropriate to work activities** *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	**Does the plan include a requirement for training in emergency procedures, roles and responsibilities?** *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	**Has the emergency response plan been tested for deficiencies and corrective action taken?** *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	**Does the employer have a written fire response plan?** *When appropriate the employer must have a written fire response plan, which may be part of other emergency response plans.*
11.6	**Are extinguishers regularly inspected and maintained?** *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	**Are the required number of qualified first aid personnel trained?** *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.*

12.0 Statistics and Records

12.1	**Is there a process to organize and manage program documentation?** *The company must have a system that organizes and manages the safety program documentation.*
12.2	**Are adequate health and safety activity summaries developed and maintained?** *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	**Are health and safety statistical reports generated on an on-going / regular basis and readily available?** *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	**Does the company compare health and safety performance year to year?** *Statistics must provide sufficient information to compare safety performance from year to year.*
12.5	**Are the annual statistics analyzed and needs or trends identified?** *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	**Are adequate first aid treatment records kept?** *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	**Was an action plan developed based on the most recent audit?** *When applicable, there must be a written action plan available for review that was based on the results of the last audit.*
12.8	**Was that action plan communicated and implemented?** *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.*

13.0 Legislation

13.1	**Is reference to Saskatchewan OH&S Legislation mentioned in appropriate policies?** *Check to see if suitable and specific legislation is referenced throughout appropriate policies. This could be Personal Protective equipment, inspections, investigations etc.*
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?** *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	**Are personnel informed of their rights according to Saskatchewan OH&S legislation and how to exercise them?** *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	**Does the employer's safety management system include accident reporting requirements as outlined in Saskatchewan OH&S legislation?** *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.*

SS2 Harassment Policy

SS2.1	**Is there a written policy, signed, and dated by current senior management?** *There must be a policy statement for the prevention and control of harassment.*

SS2.4	**Does the policy and procedure conform to government standards?** *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.*

SS3 Occupational Health Representative

SS3.1	**Is an occupational health representative in place?** *The auditor must confirm that an Occupational Health Representative has been appointed as required.*

SS3.4	**Has the representative received training?** *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	**Are representative recommendations followed?** *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	**Is the representative fulfilling their legislated responsibilities?** *Refer to current legislation.*