

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

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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 .
Answer both sides of all " AND " & " OR " questions.	Calculate the overall score in percentage (to the nearest whole number) for sections (1) through (13) and enter in the box provided.
Issue points for " AND " questions only when both sides are positive .	Carry points from each section of the SCSA Supplemental to the "actual points" column on the evaluation summary sheet.
Issue point for " OR " questions only when one or both are positive .	Sections in the SCSA Supplemental must achieve at least 50% to meet standard.
Provide a labelled comment to justify all deficient items (every x).	Indicate " YES " for standard achieved and " NO " for standard not achieved for each item in the SCSA Supplemental Section.
Place comments only in the appropriate area at the bottom of each page.	Overall audit score must be at least 80% and all elements including SCSA Supplemental sections must achieve at least 50% to meet standard.
Keep comments brief and relevant to the findings on the audit.	Circle the appropriate "standard achieved" response (Yes or No) next to the overall audit score.
Initial all changes and/or corrections made to the audit.	Sign the evaluation summary sheet.
Cross out wrong entries with one or two straight lines and enter the correct entry adjacent. Initial the change.	Obtain the senior company officer's signature and a goal for the next audit.
Whiteout or correction tape is not permitted on an audit document.	Audits that score 80% overall, but fail up to (2) sections do not meet standard, however qualify for a limited scope .
Avoid writing over entries or scribbling entries out.	Submit only the original white copy of the audit to the SCSA .
Do not change a ✓ to an x. Use the proper correction technique.	The auditor must destroy all documents and notes associated with interviews.
Remove items that are not applicable to the audit.	Interviews are confidential and must not be discussed with anyone.
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 worksite 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.	Training Audit: An audit conducted for the purpose of attaining auditor certification either internal (self-audit) or external (supervised audit).
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.	Student Internal: A student auditor that is conducting a self-audit for the purpose of attaining internal auditor certification.
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.	Student External: A student auditor conducting a supervised audit for the purpose of attaining external auditor certification.
Orientation: A special training session used to orient new or transferred workers to an organization and / or to a particular work site.	Peer Auditor: An externally certified auditor on loan from his/her normal workplace to conduct an external COR maintenance audit.
Tool Box Meeting: A short routine meeting designed to address safety issues and training; also called Tail Gate Meeting .	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.
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.	Key Contact: Senior Management or designate responsible for the facilities under audit.
	Certification Number: An auditor's most recent SCSA Auditor certification number.
	Policy: Written detailed company protocol.
	Policy Statement: A brief description or reference to company protocol endorsed (signed and dated) by senior company management.
	Reciprocity: Reference to an agreement between certain Construction Safety Associations within Canada that promotes interprovincial trade while maintaining a defined minimum safety standard.

1	List all dates included in the audit.
2	List all the 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 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. 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	If a student is conducting this audit under supervision, list their name above the certified auditor's name with the word student (in brackets) beside the student's name. Do not enter any other information regarding the student.
9	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		
Internal	Student	Safety Management	Name	Date Completed
External	Internal	Leadership for Safety Excellence with Proficiency		
Training	External	Safety Auditor Training		
Baseline	Peer	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:** _____ **Fax:** _____ **E-mail:** _____

Key Contact: _____ **Current number of workers:** _____

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: _____

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 (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 (13) 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.

		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 and 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			
SS1	Physical Conditions (not required to be addressed in the safety manual)		
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 safety 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.
1.6	The health and safety policy must be posted in an obvious location at each company facility and on every worksite. For companies that do not have a job trailer or an area to post relevant information on site, the health and safety policy must be made readily available to all personnel, including sub-contractors. On site personnel can have access to this information in the form of employee handbook, policy manual, or accessible electronic policies. Verify through interviews that the employees know where to access a copy of the health and safety policy.
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. Verify through interviews that the employees know their responsibilities for health and safety as stated in the company policy.
1.8	The policy must include the statement of the employer's commitment to work in a spirit of consultation and cooperation with the workers.
1.9	Verify through interviews that the management and workers understand the objectives or goals that are stated within the health and safety policy.

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 worksites. The auditor should look for documentation of date and time of hazard assessments. Verify through interviews that all personnel are aware of how the company identifies, assesses and controls hazards.
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 hazards 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 this is not the only assessment process being used since it does not assess the overall project or operation. Verify through interviews that all personnel are aware of when the assessment process is to be completed.
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. Verify through interviews that the company involves workers, supervisors, management and sub-contractors during the formal hazard assessment process.
2.4	Documentation must show 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. Prioritization helps the assessment team understand the potential that each item has for injury or property damage.
2.6	The company must have a list or method to classify identified critical tasks. The critical tasks 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. Through observation, verify that controls have been put in place for identified hazards.
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. Verify through interviews that all personnel are made aware of the control strategies that are implemented.
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 company safety orientation (may be less detailed than a new hire orientation) and must participate in the safety program, either through safety meetings, hazards 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. While conducting the interviews verify how management/supervisors have been involved with the hazard assessment process through the review, evaluation and implementation of controls.

3.1	Documentation must show that the current written practices reflect activities that the company performs. During the observation tour, confirm that the developed practices reflect the activities of the company's current operations.
3.2	Documentation review, with the support of the observation tour, will determine if there are practices that should be developed and implemented into the health and safety management system. During observations, the auditor should look for major tools or processes that the company uses, then review their practices to ensure they have been written. For example, if the auditor observes large tanks of cement powder on each worksite, but safe work practices have not been developed for cement powder, points would not be awarded for this item. Other examples might include tools like pressure washers, jack hammers, air compressors, etc.
3.3	Through the interview, workers should be able to describe some of the key points contained in the written safe work practices.
3.4	Written practices must be accessible on all worksites either electronically or via hard copy and workers must know where or how to locate them. During observations the auditor should be able to locate the practices (hard copy or electronically) on all worksites. Verify through interviews that the personnel know how to access the practices on site.
3.5	If the auditor observes workers doing tasks, handling processes or using tools in an unsafe manner or other than prescribed in the written practice, the observation column would be marked deficient. Verify through interviews that the personnel are following the practices as they are written.
3.6	Review safety meetings to see if safe work practices 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 practices to be listed on the practice or on a review summary. Verify through interviews that management, supervisors and workers are involved in the development/review process.

4.1	The auditor must confirm through the documentation review that the current written procedures reflect the activities that the company performs. Verify through interviews that the personnel are able to list a few of the procedures listed in their manual that they would use.
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.
4.3	Through interview, workers should be able to describe the steps involved in procedures they are required to follow.
4.4	The auditor must observe workers following one or more procedures that have been written; this can include standard procedures and those developed for identified critical tasks. Verify through interviews that the personnel are following the procedures as they are written.
4.5	Written procedures must be accessible on all worksites either electronically or via hard copy and workers must know where or how to locate them. During observations the auditor should be able to locate the procedures (hard copy or electronically) on all worksites. Verify through interviews that the personnel know how to access the procedures on site.
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. Verify through interviews that management, supervisors and workers are involved in the development/review process.

5.1	The auditor must see a written list of rules.
5.2	The company rules must be posted in an obvious location at each company facility and on every worksite. For companies that do not have a job trailer or an area to post relevant information on site, the company rules must be made readily available to all personnel, including sub-contractors. On site personnel can have access to this information in the form of an employee handbook, policy manuals, and accessible electronic policies. Verify through interviews that employees know where to find the rules and/or when they are reviewed with the employee.
5.3	Workers should be able to describe a few rules and the reasons why they exist.
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. Verify through interviews that the employees know the progressive disciplinary process and that it is consistently applied to all employees.

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. Verify through interviews that supervisors/managers are aware of the process used to communicate PPE requirements to workers. Workers must know the basic PPE requirements of their company/worksites, and how they are made aware of other PPE requirements if needed (i.e. fall arrest, respiratory devices, etc.)
6.3	The auditor should observe a supply of basic PPE. The PPE available should be well maintained in serviceable condition and meet regulatory standards. Verify through interviews that employees know how to access basic PPE.
6.4	The auditor should observe a supply of specialized PPE. Specialized PPE must be well maintained in serviceable condition and meet regulatory standards. Verify through interviews that employees know how to access basic PPE.
6.5	The auditor should observe workers using basic and specialized PPE at all times when it is prescribed by policy, regulations and when in the judgment of the auditor, a danger to the worker exists where PPE would be a suitable precaution.
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. Verify through interviews that employees are provided appropriate training for the specialized PPE they must wear.
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 or daily hazard assessments, or documented otherwise.

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 machines, 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. Verify through management/supervisor interviews, in reference to the company policy, their understanding of the maintenance activities that are carried out to specifically meet manufacturers 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. Verify through interviews if all personnel are aware of the removal system.
7.6	During the observation tour look for evidence of the identified system provided in element 7.5 being used. If nothing is tagged out during observations, the auditor should look for a designated tag out area and the system that would be utilized. Verify through interviews that the written process is being used by all personnel.
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. Verify through interviews how the individuals that perform maintenance are competent to do that type of work.

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. Verify through interviews that all personnel received a safety orientation before starting work.
8.3	The formal orientation process must include a standardized format to ensure consistency of information.
8.4	The orientation documentation must provide for the signatures of both the student and trainer. If electronic orientations are used, there must be a process or 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. Verify through interviews that employees must provide their qualifications prior to starting their job with the company.
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. Verify through interviews that employees have correct training for their job tasks.
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 training programs are used, verify the content covers all requirements. Verify through interviews that supervisors have taken training in their legal responsibilities.
8.10	There should be records of tests or exams (written or electronic) associated with orientations and job specific training. Verify through interviews that employees wrote a test or exam with their orientation and/or training.
8.11	Records or minutes must be on file that show 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. Verify through interviews that employees know how often their safety meetings are held and what some topics of discussion are at the meetings.
8.12	Minutes of meetings must indicate that senior management attends periodically. Interviews must verify that senior management attend staff safety meetings 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. Interviews must indicate that employees have the opportunity and feel comfortable bringing forth any safety issues.
8.15	The auditor must check the policy manual and determine if the frequency of meetings is as per policy.

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. Verify through interviews that supervisors are performing inspections as required.
9.6	Inspection reports must indicate workers names that were involved in conducting the inspection. Verify through interviews that workers are involved in the inspection process.
9.7	The auditor must ensure that 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. Verify through interviews that employees know that deficient items noted during inspections are corrected in a timely manner.
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. Verify through interviews that employees know that senior management is involved in conducting formal site inspections, as well as reviews and signs inspection reports.
9.10	Inspection reports must be posted or communicated to workers through meetings. Verify through interviews that workers know how inspection report results are communicated to them.

10.1	There must be a written policy for investigations and reporting procedures.
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.
10.4	Verify through interviews that all personnel are aware of the types of incidents they are required to report.
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 the content. Verify through interviews that all supervisors have taken training specific to their responsibilities for conducting investigations.
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. Verify through interviews that employees are familiar with a reported and documented near miss.
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. Verify through interviews how corrective actions are implemented.
10.9	Verify through interviews that workers are aware of incidents that have occurred and what has been done to prevent them from happening again.
10.10	All investigation reports must be reviewed, dated and signed by senior management.

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. Verify through interviews that workers and supervisors are aware of their specific responsibilities/roles during an emergency.
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.
11.5	Proper fire extinguishers must be available, visible, and within correct distances of fire hazards, as per OH&S Regulations.
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. Observations would find filled out tags on the extinguishers.
11.7	An appropriate system of communication must be available to the workers at each worksite. The auditor must determine if the supplied emergency communication system is appropriate for the work location and activity being performed. Verify through interviews that employees are aware of how to contact emergency assistance and how to notify others, as per site requirements.
11.8	The auditor must observe that first aid supplies are compliant with OH&S legislation for the type and size of operation. The auditor should open first aid kits to ensure all required supplies are available in the kits and no contents have expired. Eyewash stations should be inspected to ensure they are clean and in usable condition, ensure that bottles are full and solution has not expired.
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. Verify through interviews that employees know how to identify who has first aid training.
11.10	The work site must have a method or access to a method to transport an injured worker to a medical facility. The auditor should look for an appropriate system in place for instances when employees are working alone or in remote areas. Interviews must verify that employees are aware of the policy for transporting injured workers to medical facilities.

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 measures 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. Verify through interviews that employees know specific items that were on the corrective action plan. Ensure the interviewee understands that the question is referring to the corrective action plan developed from the most recent COR internal/external audit.

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. Two or three word 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 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.	



Evaluation Summary Sheet					
Company		Auditor		Date	
Section Number	Section Title	Possible Points	Actual Points	Minimum Standard	Auditor Comments
1	Health and Safety Policy	27		14	
2	Hazard Assessment, Analysis and Control	42		21	
3	Safe Work Practices	17		9	
4	Safe Job Procedures	15		8	
5	Company Rules	9		5	
6	Personal Protective Equipment (PPE)	21		11	
7	Preventative Maintenance Program	12		6	
8	Training and Communication	42		21	
9	Inspections	30		15	
10	Investigations and Reporting	30		15	
11	Emergency Preparedness	27		14	
12	Statistics and Records	18		9	
13	Legislation	12		6	
Total		302			

<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 Yes No</p>	<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th colspan="5" style="text-align: center;">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 style="text-align: center;">SS1</td> <td>Physical Conditions</td> <td style="text-align: center;">18</td> <td></td> <td style="text-align: center;">Y / N</td> </tr> <tr> <td style="text-align: center;">SS2</td> <td>Harassment Policy</td> <td style="text-align: center;">8</td> <td></td> <td style="text-align: center;">Y / N</td> </tr> <tr> <td style="text-align: center;">SS3</td> <td>Committees/Representative</td> <td style="text-align: center;">12</td> <td></td> <td style="text-align: center;">Y / N</td> </tr> <tr> <td colspan="5">Auditor Comments</td> </tr> <tr> <td style="text-align: center;">SS1</td> <td colspan="4"></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;">Each supplemental section must attain a minimum of 50% to meet the SCSA certification standards.</td> </tr> </tbody> </table>	SCSA Supplemental Section					Section number	Section Name	Possible Points	Actual Points	Standard Achieved	SS1	Physical Conditions	18		Y / N	SS2	Harassment Policy	8		Y / N	SS3	Committees/Representative	12		Y / N	Auditor Comments					SS1					SS2					SS3					Each supplemental section must attain a minimum of 50% to meet the SCSA certification standards.				
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Auditor Signature	
Senior Company Officer Name	
Senior Company Officer Signature	
Goal For Next Audit	%

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

Audit Interviews

1	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.					
	Company Size (Employee Count)	Approximate % of Employees to Interview	Total Number of Interviews	# of Workers/ Sub-Contractors Interviews	# of Management/ Supervisor Interviews	
	200+	10%	calculate 10% of employees	 75% of Total Number of Interviews	 25% of Total Number of Interviews	
	100 - 199	20%	20 - 40	15 - 30	5 - 10	
	50 - 99	25%	12 - 25	9 - 19	3 - 6	
	25 - 49	35%	8 - 17	6 - 13	2 - 4	
	10 - 24	50%	5 - 12	3 - 9	2 - 3	
	1 - 9	100%	ALL	ALL	ALL	
2	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.					
3	Conduct interviews in a quiet, comfortable and private area.					
4	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.					
5	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.					
6	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).					
7	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.					
8	All documents used to conduct and analyze the interviews must be destroyed by the auditor except as in item 9 below.					
9	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.					
10	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			Interview Response	
No.	Reference Number	Manager and Supervisor Interview Questions	Negative	Positive
1	1.7	What responsibilities have you been assigned and held accountable for in regards to health and safety?		
2	1.9	What objectives are addressed in the health and safety policy?		
3	2.1	Describe the formal process this company uses to assess potential and existing hazards.		
4	2.2	When is the formal hazard assessment process applied?		
5	2.3	Who actually performs the formal hazard assessments?		
6	2.9	Who is responsible for ensuring that appropriate controls have been applied to the identified hazards?		
7	2.11	As a manager, how do you monitor the progress of and ensure the success of the hazard assessment process?		
8	3.4	If you needed to refer to a written safe work practice, where would you find that information on this site?		
9	3.5	How do you ensure your workers follow the safe work practices as they are written?		
10	3.6	What method do you have to review existing practices with your workers? How do you keep practices current? How do new practices get added to your system?		
11	4.1	Name a few of the procedures listed in your manual that your workers use.		
12	4.4	How do you ensure your workers follow the safe work procedures as they are written?		
13	4.5	If you needed to refer to a written safe work procedure, where would you find that information on this site?		
14	4.6	What method do you have to review existing procedures with your workers? How do you keep them current? How do new procedures get added to your system?		
Notes				

Question			Interview Response	
No.	Reference Number	Manager and Supervisor Interview Questions	Negative	Positive
15	5.2	How are the rules communicated to your workers?		
16	5.5	What is the procedure for non-compliance?		
17	6.2	How do you inform your workers of the requirements for using PPE?		
18	6.3	How do your workers get access to basic PPE?		
19	6.4	When your workers need specialized PPE, where do they get it?		
20	6.7	What type of training or instruction do you give your workers to help them understand the proper use, care, maintenance and limitations of PPE?		
21	6.8	What guidelines are used to select PPE?		
22	7.2	What are some of the maintenance activities that you carry out specifically to meet manufacturers recommendations or the requirements of legislation?		
23	7.6	What is the procedure for handling defective equipment on this site such as hand tools, equipment or machinery?		
24	7.7	Explain how the individuals that perform maintenance are competent to do that type of work.		
25	8.2	Is orientation given to all site personnel including clerical, supervisory staff and sub-contractors?		
26	8.5	How do you confirm that mandatory training requirements have been completed?		
27	8.7	Give some examples of specific training this company provides and documents.		
28	8.9	What formal training have you received to help you lead the company safety program?		
<p>Notes</p>				

Question			Interview Response	
No.	Reference Number	Manager and Supervisor Interview Questions	Negative	Positive
43	11.10	What method would you use to transport an injured worker to a medical facility from this location?		
44	12.8	What recommendations for corrective action were implemented as a result of the last audit?		
45	13.1	Where is the current OH&S legislation located on site?		
46	13.3	What are your three (3) basic rights under safety legislation?		
47	13.4	When would you report a dangerous occurrence to OH&S?		
48	SS3.1	Is an occupational health committee or representative in place with this company?		
49	SS3.2	Are both managers and workers represented on the committee?		
50	SS3.3	How often are committee meetings held?		
51	SS3.6	Are committee/representative recommendations typically followed?		
52	SS3.7	Describe some of the activities that your committee performs.		
Notes				

Audit Interviews

Worker Interview Questions

Question			Interview Response	
No.	Reference Number	Worker Interview Questions	Negative	Positive
1	1.6	Where would you find the company safety policy?		
2	1.7	What responsibilities for health and safety have been assigned to you under the company policy?		
3	1.9	What are the objectives of the company Health and Safety policy?		
4	2.1	How does the company identify, assess and control hazards?		
5	2.2	When are formal hazard assessments completed?		
6	2.3	Does the company involve management, as well as workers, in the formal hazard assessment process? What role do you play?		
7	2.9	How are you made aware of the control strategies that are implemented as follow-up to formal hazard assessments?		
8	2.11	How does management support the formal hazard assessment process?		
9	3.3	Describe briefly, a few written safe work practices that you use on a regular basis.		
10	3.4	If you needed to refer to a written safe work practice, where would you find it?		
11	3.5	Do you use the safe work practices as they are written?		
12	3.6	What input have you had into the development or review of the written safe work practices?		
13	4.1	Name a few safe job procedures that you would use.		
14	4.3	Describe briefly, one written safe work procedure that you use on a regular basis.		
Notes				

Question			Interview Response	
No.	Reference Number	Worker Interview Questions	Negative	Positive
43	10.8	What does this company typically do to follow-up an incident investigation?		
44	10.9	How is incident investigation follow-up communicated to the workers?		
45	11.2	What have you been trained to do in the event of an emergency on this site?		
46	11.7	How would you contact emergency assistance from this site?		
47	11.9	How would you determine who is qualified to administer first aid on this site?		
48	11.10	What process is in place to transport an injured worker to a medical facility?		
49	13.1	Where are the provincial occupational health and safety Act and Regulations located on this site?		
50	13.2	Does your supervisor refer to legislation periodically when assigning work? Give an example.		
51	13.3	Describe your three (3) basic rights as a worker.		
52	SS2.2	Are you aware of a company harassment policy?		
53	SS3.1	Has an OH Committee or Representative been established?		
54	SS3.2	Who is the Committee worker co-chair or the Representative?		
55	SS3.3	How often are committee meetings held? If there is no committee, how often does the Representative meet with the employer?		
56	SS3.6	If the Committee or the Representative makes a recommendation, is it typically followed?		
57	SS3.7	Describe some of the duties that your committee performs.		

Audit Interviews

Interview Summary Sheets

	Worker Interviews			Management and Supervisor Interviews			Result
Reference Number	Negative	Positive	Question number	Negative	Positive	Question number	✓ or X
1.6			1				
1.7			2			1	
1.9			3			2	
2.1			4			3	
2.2			5			4	
2.3			6			5	
2.9			7			6	
2.11			8			7	
3.3			9				
3.4			10			8	
3.5			11			9	
3.6			12			10	
4.1			13			11	
4.3			14				
4.4			15			12	
4.5			16			13	
4.6			17			14	

	Worker Interviews			Management and Supervisor Interviews			Result
Reference Number	Negative	Positive	Question number	Negative	Positive	Question number	✓ or X
5.2			18			15	
5.3			19				
5.5			20			16	
6.2			21			17	
6.3			22			18	
6.4			23			19	
6.7			24			20	
6.8			25			21	
7.2						22	
7.5			26				
7.6			27			23	
7.7			28			24	
8.2			29			25	
8.5			30			26	
8.7			31			27	
8.9						28	
8.10			32			29	

	Worker Interviews			Management and Supervisor Interviews			Result
Reference Number	Negative	Positive	Question number	Negative	Positive	Question number	✓ or X
8.11			33			30	
8.12			34			31	
8.14			35				
9.5						32	
9.6			36			33	
9.8			37			34	
9.9			38			35	
9.10			39			36	
10.2			40			37	
10.4			41				
10.5						38	
10.7			42			39	
10.8			43			40	
10.9			44				
11.2			45			41	
11.7			46			42	
11.9			47				

Reference Number	Worker Interviews			Management and Supervisor Interviews			Result
	Negative	Positive	Question number	Negative	Positive	Question number	✓ or X
11.10			48			43	
12.8						44	
13.1			49			45	
13.2			50				
13.3			51			46	
13.4						47	
SS2.2			52				
SS3.1			53			48	
SS3.2			54			49	
SS3.3			55			50	
SS3.6			56			51	
SS3.7			57			52	

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

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	OP1.2	Is there an active claims management program in place?		
2	OP1.3	Have you received training to help you with WCB Claims management?		
3	OP1.4	Did you have a pre-employment medical prior to starting work here?		
4	OP1.5	Are restricted duty programs in place for those who are injured on the job?		
5	OP2.2	Is there an environmental protection program in place?		
6	OP3.1	How do you pre-qualify sub-contractors health and safety programs?		
7	OP3.2	Does this company issue safety awards?		
8	OP3.3	(Specify)		
9	OP3.4	(Specify)		
		Worker Interviews		
1	OP1.4	Did you have a pre-employment medical prior to starting work here?		
2	OP1.5	Are restricted duty programs in place for those who are injured on the job?		
3	OP3.2	Is there a safety incentive program?		
4	OP3.3	(Specify)		
5	OP3.4	(Specify)		
Optional Programs are Not Required for SCSA COR Certification				

