

**SELF AUDIT**  
for  
**Internal Auditor Certification**  
**NOT ACCEPTABLE AS A COR AUDIT**

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

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

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

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

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

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

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

**Location(s) Audited:**

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

**NOTE:** Please attach this form to the original completed audit document and submit to a Saskatchewan Construction Safety Association Inc. office nearest you.

498 Henderson Drive  
Regina, SK S4N 6E3

2606 Koyl Avenue  
Saskatoon, SK S7L 5X9



# Audit Evaluation Checklist

Review the following guide, and ensure all components are met prior to submitting your audit to the SCSA for review.

- Is the audit hand written neatly?
- Is the evaluation information sheet filled out completely? (No blanks).
- Is the type of evaluation indicated? (Baseline Yes or No? Self-Audit and/or Internal Audit or External Audit) \*Note: More than one may apply.
- Only one Auditor can be listed on an Audit Tool being submitted.
- Are all boxes within the audit document filled completely and appropriately?
- Are all errors/changes in the audit tool crossed out neatly and initialled by the auditor(s)?
- Are all unused sections correctly marked not applicable (N/A) and all non-applicable points explained properly?
- Are labelled comments recorded for each deficient item? Have brief comments been recorded for each section on the Evaluation summary sheet?
- Is the Supplemental section scored (Each supplemental section must attain a minimum of 50% to meet the SCSA certification standards)?
- Is the Evaluation Summary Sheet, completed correctly? (Indicating the name of the company, auditor(s) and evaluation date, supplemental section, changes initial, scores transferred from the document and properly added, percentage indicated, comments by auditor, signature of auditor and signature of senior officer with a goal for next audit (as determined by the company).
- Do the recommendations on the Auditor Executive Summary, start and end on a positive note and follow the new executive summary completion guidelines?
- Do the recommendations address root causes of problem areas identified in the audit?
- Have you completed the audit to the best of your ability?
- Have you made a copy of the audit for your records?

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Self-Auditor Signature

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Date

***This form MUST be completed and submitted with the self-audit.***



# SASKATCHEWAN CONSTRUCTION SAFETY ASSOCIATION INC. NATIONAL STANDARD AUDIT TOOL

NAME OF INSTRUCTOR: \_\_\_\_\_

NAME OF AUDITOR: \_\_\_\_\_

SELF AUDIT



Saskatchewan Construction Safety Association Inc.



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

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

### **Disclaimer**

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

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The audit must be <b>completed in ink</b> .	<b>Carry adjusted scores</b> for not applicable items to the totals on <b>evaluation summary sheet</b> .
Enter <b>✓</b> for <b>acceptable</b> items and <b>x</b> for <b>deficient</b> items.	<b>Complete all areas</b> on the evaluation summary sheet, including company name, auditor and audit date(s).
Enter the <b>points awarded</b> for each item in the "points awarded" column to the right.	<b>Comment</b> for <b>each section</b> on the <b>evaluation summary sheet</b> . Two or three word comments that capture the key findings for that section.
Issue only <b>full points</b> or <b>zero points</b> for each item.	<b>Carry points</b> from each section of the audit to the " <b>actual points</b> " column on the <b>evaluation summary sheet</b> .
Answer <b>both sides</b> of all <b>AND &amp; OR</b> questions.	<b>Calculate</b> the overall score in percentage ( <b>to the nearest whole number</b> ) for sections <b>(1) through (13)</b> and <b>enter</b> in the box provided.
Issue points for <b>AND</b> questions only when <b>both sides are positive</b> .	<b>Carry points</b> from each section of the <b>SCSA Supplemental</b> to the "actual points" column on the evaluation summary sheet.
Issue points for <b>OR</b> questions only when <b>one or both are positive</b> .	Sections in the SCSA Supplemental must achieve <b>at least 50%</b> to meet standard.
Provide a <b>labeled comment</b> to justify all deficient items ( <b>every x</b> ).	Indicate " <b>YES</b> " for standard achieved and " <b>NO</b> " for standard not achieved for each item in the SCSA Supplemental.
Place <b>comments</b> only in the <b>appropriate area</b> at the bottom of each page.	Overall <b>audit score</b> must be at least <b>80%</b> and <b>all elements</b> including SCSA Supplemental sections must achieve <b>at least 50%</b> to meet standard.
Keep <b>comments</b> brief and <b>relevant</b> to the findings on the audit.	<b>Circle</b> the appropriate "standard achieved" response ( <b>Yes or No</b> ) next to the overall audit score.
<b>Initial</b> all <b>changes</b> and /or <b>corrections</b> made to the audit.	<b>Sign</b> the evaluation summary sheet.
Cross out <b>wrong entries</b> with <b>one or two straight lines</b> and enter the correct entry adjacent. <b>Initial</b> the change.	Obtain the <b>senior company officer's signature</b> and a <b>goal</b> for the next audit.
<b>Whiteout</b> or <b>correction tape</b> is <b>not permitted</b> on an audit document.	Audits that <b>score 80%</b> overall but <b>fail up to (2) sections</b> do not meet standard however qualify for a <b>limited scope</b> audit.
Avoid <b>writing over</b> entries or <b>scribbling</b> entries out.	Submit only the original <b>white copy</b> of the audit to the <b>SCSA</b> .
<b>Do not</b> change a <b>✓</b> to an <b>x</b> . Use the proper correction technique.	The auditor must <b>destroy</b> all documents and notes associated with <b>interviews</b> .
Remove items that are <b>not applicable</b> to the audit.	<b>Interviews</b> are <b>confidential</b> and must not be discussed with anyone.
<b>Cross out</b> items that are <b>not applicable</b> and mark with "N/A" and your <b>initials</b> .	The overall audit results and report provide <b>privileged information</b> available only to the <b>SCSA</b> , the <b>Auditor</b> and the <b>Auditee</b> senior management.
<b>Explain</b> why an item is <b>not applicable</b> in the comment section.	Summarize the results of the audit in the written <b>executive summary</b> .
<b>Remove</b> items that are <b>not applicable</b> to the audit <b>from the scoring</b> .	Include <b>mandatory information</b> in the executive summary.



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

<b>1</b>	List all dates included in the audit.
<b>2</b>	List all locations and worksites included in the audit.
<b>3</b>	Check all boxes that apply for "Type of Audit" and "Type of Auditor".
<b>4</b>	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.
<b>5</b>	Enter company information, 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.
<b>6</b>	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.
<b>7</b>	Enter auditor information only for the certified auditor. If information does not apply for certain fields enter "n/a".
<b>8</b>	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.
<b>9</b>	All fields on this form must be completed.

Audit date(s)	Locations included in the audit

Type of Audit Check all that apply		Type of Auditor Check all that apply		Training Verification	
				Name	Date
<input type="checkbox"/>	Internal	<input type="checkbox"/>	Student	Safety Management	
<input type="checkbox"/>	External	<input type="checkbox"/>	Internal	Leadership for Safety Excellence with Proficiency	
<input type="checkbox"/>	Training	<input type="checkbox"/>	External	Safety Auditor Training	
<input type="checkbox"/>	Baseline	<input type="checkbox"/>	Peer	WHMIS Train the Trainer 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** \_\_\_\_\_ **Phone Number** \_\_\_\_\_

**Company** \_\_\_\_\_ **E-mail** \_\_\_\_\_

**Address** \_\_\_\_\_ **City** \_\_\_\_\_ **Province** \_\_\_\_\_

**Cell Phone** \_\_\_\_\_ **Cert#:** \_\_\_\_\_ **Postal Code** \_\_\_\_\_ **Fax Number** \_\_\_\_\_

**Sections (1) through (13) make up the National 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 National 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) & (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	<b>Health and Safety Policy</b>			
2	<b>Hazard Assessment, Analysis and Control</b>			
3	<b>Safe Work Practices</b>			
4	<b>Safe Job Procedures</b>			
5	<b>Company Rules</b>			
6	<b>Personal Protective Equipment (PPE)</b>			
7	<b>Preventative Maintenance Program</b>			
8	<b>Training and Communication</b>			
9	<b>Inspections</b>			
10	<b>Investigations and Reporting</b>			
11	<b>Emergency Preparedness</b>			
12	<b>Statistics &amp; Records</b>			
13	<b>Legislation</b> (look for references to legislation throughout the safety manual)			
<b>Saskatchewan Construction Safety Association Inc. Supplement to the National Standard Safety Program Evaluation Tool</b>				
SS1	<b>Physical Conditions</b> (not required to be addressed in the safety manual)			
SS2	<b>Harassment Policy</b>			
SS3	<b>Occupational Health Committee / Representative</b>			
<b>Saskatchewan Construction Safety Association Inc. Optional Sections to the National Standard Safety Program Evaluation Tool</b>				
OP1	<b>WCB Claims Management</b>			
OP2	<b>Environmental Protection Policy</b>			
OP3	<b>Miscellaneous Programs</b>			

<b>1.1</b>	Auditors must see a written policy statement on health and safety that is signed by current senior management.
<b>1.2</b>	The policy must include a statement of the employer's commitment to provide a safe and healthy work environment.
<b>1.3</b>	The policy must refer to the worker's right to a safe and healthy work environment.
<b>1.4</b>	The policy must be current and dated not more than three years past.
<b>1.5</b>	The auditor should look for documents that indicate an annual review has taken place or a policy dated not more than one year past by current senior management.
<b>1.6</b>	The policy should be posted in an obvious location on each worksite or made readily available to the workers in the form of employee handbooks or an adequate number of policy manuals distributed throughout the organization.
<b>1.7</b>	The policy manual must contain clear statements of responsibility for health and safety for all levels in the organization including senior management, supervision and workers.
<b>1.8</b>	The policy must include a statement of the employer's commitment to work in a spirit of consultation and cooperation with the workers.
<b>1.9</b>	Interviews must show that management and workers understand the policy objectives.



2.1	The auditor must find documentation for hazard assessments that have been conducted as stated in the safety program looking for existing and (primarily) potential hazards on worksites.
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 (pre-job) and then again after the basic building has been erected or when power or gas has been introduced. 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 would perform hazard assessments pre-startup or as part of their safety program development and then periodically (annually) after that to assess any change in the operation. The frequency of this type of assessment will depend on how often their process changes. The field level 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. Experienced workers, OH Committee members, supervisors and management should be involved in the hazard assessments.
2.4	Documentation must describe the hazard relevant to the type of hazard assessment.
2.5	Documents must show that each hazard has been prioritized. Prioritization helps the assessment team understand the potential that each item has for injury or property damage.
2.6	Part of the assessment process is to identify the critical tasks on the hazard assessment documentation that will be performed. This list may then be used to develop procedures using a job risk analysis process.
2.7	The auditor must be able to find documents to show how each identified hazard has been controlled.
2.8	The controls must be dated. The auditor will judge if the action was timely however the intention is to control hazards before the work begins.
2.9	All workers and supervision including sub-contractors that will be on the job site must be informed of the hazard assessment results.
2.10	The auditor should look for the coordination of all the employers safety programs which includes evidence of joint committees, group safety meetings, safety audit reports, orientations, etc.
2.11	The auditor should look for management's involvement in the hazard assessment process.



Health and Safety Program Verification		Possible score	Technique Employed			Points Awarded
			D	O	I	
<b>2.0</b>	<b>Hazard Assessment, Analysis and Control</b>					
2.1	Are written hazard assessments conducted as required?	7		AND		
2.2	Does the employer use an on-going hazard assessment process?	6		AND		
2.3	Are appropriate personnel involved in the hazard assessment process?	5		AND		
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	OR			
2.9	Are appropriate personnel involved / informed of the control strategies?	3		AND		
2.10	Does the company have a process for evaluating and monitoring sub-contractors?	4				
2.11	Does management support the ongoing application of the hazard assessment process?	3		AND		
<b>Total Points Possible</b>		<b>42</b>	<b>Total Points Awarded</b>			

**Auditor's Comments**


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

3.1	The auditor must confirm that the written practices reflect activities that the company performs.
3.2	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	Workers should be able to describe some of the key points contained in the written safe work practices.
3.4	Written practices must be available on the worksite and workers must know where they are.
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.
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.











<b>6.1</b>	There must be a policy describing the company's philosophy towards PPE.
<b>6.2</b>	The basic PPE requirements should be part of an orientation that workers attend prior to beginning work. PPE requirements may also be described when reviewing practices and procedures at meetings.
<b>6.3</b>	The auditor should observe a supply of basic PPE. The PPE available should be well maintained and in serviceable condition.
<b>6.4</b>	The auditor should observe a supply of specialized PPE. Specialized PPE must be well maintained and in serviceable condition.
<b>6.5</b>	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.
<b>6.6</b>	There must be written instructions on the proper fitting, care and use of special PPE such as ear plugs, respiratory devices, fall protection, etc.
<b>6.7</b>	Look for specific training on specialized equipment such as Respiratory Protective Devices Training, Fall Protection, Air Monitor use, care and calibration, etc.. Instruction on the use of basic PPE such as hard hats, glasses, dust masks, etc. may be covered at meetings.
<b>6.8</b>	Each practice and procedure should describe what type of PPE must be used as a precaution. Some PPE may be required by legislation, site rules or mandated by owners or other parties that have a stake in the work process.
<b>6.9</b>	The auditor should look for logs and service tags on critical devices such as air monitoring equipment, air packs, fall protection devices, air filter systems, etc. Basic PPE inspections and maintenance may be conducted and recorded as part of a safety meeting.









<b>8.1</b>	The company safety program must have a formal process for providing orientation to workers.
<b>8.2</b>	An orientation record must be available for all personnel, including sub-contractors.
<b>8.3</b>	The formal orientation process must include a standard format for recording the training.
<b>8.4</b>	The orientation form must provide for the signatures of both student and trainer.
<b>8.5</b>	Training records must support the requirements mandated by policy such as CSTS, WHMIS, TDG, H2S, etc.
<b>8.6</b>	The company must have training records on file for all personnel.
<b>8.7</b>	Training records must show that training is provided for job specific tasks. This type of training should include procedures and practices. Job specific training may also include training required to use equipment, materials or processes relevant to their business.
<b>8.8</b>	Training records must specify who conducted the training.
<b>8.9</b>	All supervisors must have taken training specific to their responsibilities for health and safety.
<b>8.10</b>	These should be records of tests or exams associated with job specific training and also with orientations.
<b>8.11</b>	Records or minutes must be on file that show regular safety meetings are being held.
<b>8.12</b>	Minutes of meetings must indicate that senior management attends periodically.
<b>8.13</b>	An agenda should be attached to each meeting record. A pre-set format where the agenda is the same for each meeting is acceptable, however the auditor should critique the content.
<b>8.14</b>	The meeting record must include a portion where the comments and suggestions of workers are discussed and appropriate action taken.
<b>8.15</b>	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
			D	O	I	
<b>8.0</b>	<b>Training and Communication</b>					
8.1	Does the employer have a formal orientation program?	4				
8.2	Is orientation mandatory for all personnel before starting work?	3		AND		
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		AND		
8.6	Are training records maintained?	2				
8.7	Is job specific training provided and documented as required?	2		AND		
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?	6		AND		
8.10	Is a system in place to measure knowledge and competency?	3		AND		
8.11	Does the employer hold scheduled health and safety meetings?	3		AND		
8.12	Does senior management attend / participate in health and safety meetings?	2		AND		
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		AND		
8.15	Are tailgate / toolbox meetings held regularly and documented as per policy?	3				
<b>Total Points Possible</b>		<b>42</b>	<b>Total Points Awarded</b>			

### Auditor's Comments


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

<b>9.1</b>	There must be a written policy for inspections.
<b>9.2</b>	The policy must make reference to the frequency of inspections or how the frequency of inspections will be determined at each job site.
<b>9.3</b>	Sufficient records of inspections must be on file to support the required frequency.
<b>9.4</b>	A standard format for site inspections must be available.
<b>9.5</b>	Records must show that supervisors are involved in the inspection process.
<b>9.6</b>	Records must show that workers are involved in the inspection process.
<b>9.7</b>	The auditor must ensure that areas such as yards, offices, basements, storage facilities, etc. are not being excluded from the inspection process.
<b>9.8</b>	Records must indicate when corrective action has been taken. The auditor must judge if corrections are timely based on the potential to cause injury or serious property damage.
<b>9.9</b>	Senior management must review and sign inspection reports and occasionally participate in the inspections. The site supervisor would typically report to this level of management.
<b>9.10</b>	Inspection reports must be posted or communicated to workers through meetings.



<b>10.1</b>	There must be a written policy for investigations and reporting.
<b>10.2</b>	The auditor must find reports of incidents.
<b>10.3</b>	Incident reports must be on a standard form designed for that purpose.
<b>10.4</b>	Workers must know what they are to report, when and to whom.
<b>10.5</b>	All supervisors must have taken training specific to their responsibilities for conducting investigations.
<b>10.6</b>	The auditor should check records to ensure that management as well as workers or the workers representatives (committee) are involved in the investigation process.
<b>10.7</b>	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.
<b>10.8</b>	Reports must indicate details around corrective action. The auditor must judge if corrective action is timely based on the potential to cause serious injury or property damage.
<b>10.9</b>	Workers must know about incidents that have occurred and what has been done to prevent them from happening again.
<b>10.10</b>	Investigation reports must be reviewed and signed by senior management.





<b>11.1</b>	The auditor must judge if emergency plans are appropriate.
<b>11.2</b>	Policy or procedure must assign responsibility to provide training to personnel for emergency response plans.
<b>11.3</b>	Records must show that emergency plans have been tested. The record must indicate the results of that test and what corrective actions were taken to correct deficiencies.
<b>11.4</b>	When appropriate the employer must have a written fire response plan which may be part of other emergency response plans.
<b>11.5</b>	Proper fire extinguishers must be available and visible when required.
<b>11.6</b>	Fire extinguishers must be inspected and serviced as per the manufacturer's specifications.
<b>11.7</b>	An appropriate system of communication must be available to the workers at each worksite.
<b>11.8</b>	The auditor must observe that first aid supplies are adequate for the type and size of operation.
<b>11.9</b>	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.
<b>11.10</b>	The work site must have a method or access to a method to transport an injured worker to a medical facility.



<b>12.1</b>	The company must have a system that organizes and manages the safety program documentation.
<b>12.2</b>	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.
<b>12.3</b>	Appropriate statistics must be available that measures the frequency and severity of recordable injuries.
<b>12.4</b>	Statistics must provide sufficient information to compare safety performance from year to year.
<b>12.5</b>	Statistics must provide sufficient information to identify trends and required changes that will effect improvement.
<b>12.6</b>	First aid records must be recorded on an on-going basis.
<b>12.7</b>	When applicable, there must be a written action plan available for review that was based on the results of the last audit.
<b>12.8</b>	The auditor must find documented evidence that an action plan was implemented.





















<b>Carry adjusted scores</b> for not applicable items to the totals on <b>evaluation summary sheet</b> .	<b>Sign</b> the evaluation summary sheet.
<b>Complete all areas</b> on the evaluation summary sheet, including company name, auditor and audit date(s).	Obtain the company's <b>senior officer's signature</b> and a <b>goal</b> for the next audit.
<b>Comment</b> for <b>each section</b> on the <b>evaluation summary sheet</b> . Two or three word comments that capture the key findings for that section.	Audits that <b>score 80%</b> overall but <b>fail up to (2) sections</b> do not meet standard however qualify for a <b>limited scope</b> audit.
<b>Carry points</b> from each section of the audit to the " <b>actual points</b> " column on the <b>evaluation summary sheet</b> .	Summarize the results of the audit in the written <b>executive summary</b> .
<b>Calculate</b> the overall score in percentage ( <b>to the nearest whole number</b> ) for sections <b>(1) through (13)</b> and <b>enter</b> in the box provided.	Include <b>mandatory information</b> in the executive summary.
<b>Carry points</b> from each section of the <b>SCSA Supplemental</b> to the "actual points" column on the evaluation summary sheet.	
Sections in the SCSA Supplemental must achieve <b>at least 50%</b> to meet standard.	
Indicate " <b>YES</b> " for standard achieved and " <b>NO</b> " for standard not achieved for each item in the SCSA Supplemental.	
Overall <b>audit score</b> must be at least <b>80%</b> and <b>all elements</b> including SCSA Supplemental sections must achieve <b>at least 50%</b> to meet standard.	
<b>Circle</b> the appropriate "standard achieved" response ( <b>Yes or No</b> ) 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	
<b>Total</b>		302			

Minimum standard = 80% overall score and 50% minimum in each of sections 1 through 13.

Actual Points X 100 =  %  
 Possible Points  
 Standard Achieved      **Yes**      **No**

<b>Auditor Signature</b>	
<b>Senior Company Officer Name</b>	
<b>Senior Company Officer Signature</b>	
<b>Goal For Next Audit</b>	<b>%</b>

SCSA Supplemental Section				
Section number	Section Name	Possible Points	Actual Points	Standard Achieved
SS1	Physical Conditions	18		Yes/No
SS2	Harassment Policy	8		Yes/No
SS3	Committees / Representative	12		Yes/No
Auditor Comments				
SS1				
SS2				
SS3				

Each supplemental section must attain a minimum of 50% to meet the SCSA certification standards.

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





# Auditor Executive Summary

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

# Audit Interviews

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

# Audit Interviews

## Management Interview Questions

Question			Interview Response	
No.	Reference number		Negative	Positive
<b>Manager and Supervisor Interview Questions</b>				
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?		
<b>Notes</b>				

Question		Manager and Supervisor Interview Questions	Interview Response	
No.	Reference number		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 job specific training this company provides and documents.		
28	8.9	What formal training have you received to help you lead the company safety program?		

Notes

Question			Interview Response	
No.	Reference number		Negative	Positive
<b>Manager and Supervisor Interview Questions</b>				
29	8.10	When you provide an orientation or other training to a new or existing worker do you administer a written quiz or exam to confirm their understanding?		
30	8.11	How often do you hold safety meetings? When did you last attend? What topics have been discussed at some of your most recent meetings?		
31	8.12	Does senior management attend safety meetings occasionally?		
32	9.5	When did you last take part in a formal site inspection?		
33	9.6	Who normally participates in these formal inspections?		
34	9.8	How do you handle the deficiencies discovered during the formal inspections?		
35	9.9	Does senior management review and sign inspection reports?		
36	9.10	How are inspection results communicated to management and workers?		
37	10.2	What are your responsibilities in regards to your company's incident investigation policy?		
38	10.5	Have you been trained to investigate incidents?		
39	10.7	Briefly describe a few near misses that were recently reported.		
40	10.8	How is corrective action implemented following an investigation? Give an example of corrective action that was implemented as a result of an investigation.		
41	11.2	Explain how your workers are trained to respond in an emergency.		
42	11.7	How would you alert your workers to an emergency situation on this site?		

Notes



Question			Interview Response	
No.	Reference number		Negative	Positive
<b>Manager and Supervisor Interview Questions</b>				
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 (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.		
<b>Notes</b>				

# **Audit Interviews**

## **Worker Interview Questions**

Question			Interview Response	
No.	Reference number		Negative	Positive
<b>Worker Interview Questions</b>				
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 job procedure that you use on a regular basis.		

**Notes**

Question			Interview Response	
No.	Reference number		Negative	Positive
<b>Worker Interview Questions</b>				
15	4.4	Are procedures followed as written?		
16	4.5	If you needed to refer to a written procedure, where would you find it?		
17	4.6	What input have you had into the development or review of the written safe work procedures?		
18	5.2	How are you made aware of the company rules?		
19	5.3	Describe a couple rules that apply to this site and why they have been implemented.		
20	5.5	What happens when the company rules are not followed? Is discipline applied consistently?		
21	6.2	What personal protective equipment is required to work on this site? How were you informed of that requirement?		
22	6.3	When you need basic PPE how do you access it?		
23	6.4	When you need specialized PPE how do you access it?		
24	6.7	What type of instruction or training have you received to help you understand the proper use, care and maintenance of your PPE?		
25	6.8	How do you find out what PPE is recommended or required for a particular task or work area?		
26	7.5	What has this company asked you to do with defective tools or equipment?		
27	7.6	Do all workers do as asked in regards to defective tools or equipment?		
28	7.7	Who performs equipment and tool maintenance for this company?		

**Notes**

Question		Worker Interview Questions	Interview Response	
No.	Reference number		Negative	Positive
29	8.2	Did you receive a safety orientation before starting work at this site?		
30	8.5	Were you asked to provide proof or documentation to support your qualifications before starting work here? Have you been asked to demonstrate your ability to do a particular task?		
31	8.7	What on-the-job or task specific training have you received with this company?		
32	8.10	Did you write an exam or quiz following your safety orientation?		
33	8.11	How often are safety meetings held at this site? When do you last attend?		
34	8.12	Does senior management attend safety meetings periodically?		
35	8.14	Do these meetings give you a fair opportunity to present your concerns?		
36	9.6	Who participates in formal site inspections? Do you or other workers participate?		
37	9.8	What typically happens to deficiencies that are noted on inspections?		
38	9.9	Does senior management participate in the inspection process periodically?		
39	9.10	How are the results of inspections communicated to the workers?		
40	10.2	What action does this company take in response to serious injury or property damage or an event that could have produced serious injury or property damage.		
41	10.4	What type of incidents have you been asked to report?		
42	10.7	Briefly describe a near miss that was reported either by yourself or your co-workers.		

Notes

Question		Worker Interview Questions	Interview Response	
No.	Reference number		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 (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**

Reference number	Worker Interviews			Management / Supervisor Interviews			Result
	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	



Reference number	Worker Interviews			Management / Supervisor Interviews			Result
	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	

Reference number	Worker Interviews			Management / Supervisor Interviews			Result
	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 / 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 / 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)		
		<b>Worker Interviews</b>		
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)		
<b>Optional Programs Are Not Required For SCSA COR Certification</b>				



