



## Small Employer Certificate of Recognition (SECOR) Assessor Audit Protocol

*Note: This document is not for use to submit a SECOR Audit to Energy Safety Canada. The ESC SECOR Online Audit Tool is to be used for audit submissions.*

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## SUMMARY OF CHANGES

This Summary shows:

- All changes from last approved and published document
- The location within the document where the changes have been made

Version	Date	Author(s)	Revision Notes
1.0	September 13, 2022	Miranda Frasz Stephen Heinpalu	Modified to new 2023 SECOR standards.  This document will replace the SAC-CFT-076 at the end of 2022.

## SUMMARY OF REVIEWERS

The following people were involved in the review of this document.

Name	Position
Miranda Frasz	Quality Assurance, Safety Audits & Certifications
Stephen Heinpalu	Quality Assurance, Safety Audits & Certifications
Courtney Christie	Audit Specialist, Safety Audits & Certifications
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## Element A - Management Involvement and Commitment

Question #	Audit Question	Instructions
A1	<p>Is there a written health and safety policy that includes:</p> <ul style="list-style-type: none"> <li>• General health &amp; safety responsibilities for each level (i.e., manager, supervisor, workers, contractors, and visitors).</li> <li>• A reference to the company's goals, aims, responsibilities and commitment to health and safety that addresses physical, psychological, and social well-being.</li> <li>• Requirement to comply with applicable government regulations and the company's health and safety standards.</li> <li>• Signature of the current owner, including date.</li> </ul>	<p>Attach a copy of the health and safety policy that shows that the requirements of the question are included. The signature must be of the current owner.</p>
A2	<p>Are employees made aware of the content within the health and safety policy?</p>	<p>Attach documentation showing how employees at each level are made aware of the health and safety policy.</p> <p>Possible documentation to attach:</p> <ul style="list-style-type: none"> <li>• signed orientation forms</li> <li>• signed safety meeting minutes</li> <li>• signed copies of the health and safety policy</li> </ul> <p>Submit one document for each applicable level.</p> <p>This question is not applicable (N/A) to Owner/Operators (O/O).</p>

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Question #	Audit Question	Instructions
A3	<p>Have health and safety roles and responsibilities been written for <b>manager(s)</b>?</p> <p>Have health and safety roles and responsibilities been written for <b>supervisor(s)</b>?</p> <p>Have health and safety roles and responsibilities been written for <b>worker(s)</b>?</p>	<p>Attach copies of the health and safety roles and responsibilities for the workers, supervisors, and managers.</p> <p>This information is a more detailed explanation of the safety roles and responsibilities than what is included in the H&amp;S policy.</p> <p>Depending on size or nature of the organization, one or more of these categories may not be applicable (N/A).</p> <p>If this is an Owner/Operator (O/O) company, then they are considered the Manager for this question.</p>
A4	<p>Are employees at the <b>manager level</b> aware of their health and safety roles and responsibilities? (2 points)</p> <p>Are employees at the <b>supervisor</b> level aware of their health and safety roles and responsibilities? (2 points)</p> <p>Are employees at the <b>worker</b> level aware of their health and safety roles and responsibilities? (2 points)</p>	<p>Attach documentation showing how employees at each level are made aware of their health and safety roles and responsibilities.</p> <p>Possible documentation to attach:</p> <ul style="list-style-type: none"> <li>• signed orientation forms</li> <li>• signed copies of health and safety roles and responsibilities</li> </ul> <p>Submit one document for each applicable level.</p> <p>Depending on size or nature of the organization, one or more of these categories may not be applicable (N/A).</p> <p>If this is an Owner/Operator (O/O) company, then they are considered the Manager for this question.</p>
A5	<p>Are employees aware of legislation that is applicable to the scope of their work?</p>	<p>Attach a list of occupational health and safety legislation that applies to the company's operations and how employees access it.</p>

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		<p>The accessibility can be explained within the additional comments.</p> <p>This may include federal, provincial, or municipal legislation, as applicable to your operation.</p> <p>Do not upload the actual legislation. Identify only the parts, sections and/or codes that apply.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
A6	<p>How are employees advised of their OHS rights and responsibilities?</p> <p>a. Managers?            b. Supervisors?            c. Workers?</p>	<p>Attach supporting documents for each applicable employee level (e.g., orientations, safety meeting minutes)</p> <p>Answer the audit question in the notes on how employees are advised of their legislated right to know, right to participate, and right to refuse dangerous work.</p> <p>Depending on the size and nature of the organization, one or more of these employee types may not be applicable (N/A). The employer will be considered a manager.</p>

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## Element B – Hazard Identification and Risk Assessment

Question #	Audit Question	Instructions
B1	Is there a written policy or procedure outlining the requirements of formal hazard assessments?	<p><b>DEFINITION: Formal Hazard Assessment System</b></p> <p>A formal hazard assessment takes a close look at the overall operations of an organization to identify hazards, measure risk (to help prioritize hazards), and develop, implement, and monitor related controls. Worker jobs or types of work are broken down into separate tasks. Formal hazard assessments are detailed, can involve many people, and will require time to complete.</p> <p><b>GUIDANCE:</b></p> <p>Attach company policies or procedures that verify a process is in place for conducting Formal Hazard Assessments.</p> <p>A formal hazard assessment involves a detailed look at an organization's overall operations. It's meant to identify hazards, measure risk (to help prioritize hazards), and develop, implement, and monitor related controls.</p>

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Question #	Audit Question	Instructions
B2	Have all company positions or disciplines been inventoried for formal hazard assessment purposes?	<p><b>GUIDANCE:</b>            Attach a list of all positions/disciplines in the company.            Possible documentation to attach:</p> <ul style="list-style-type: none"> <li>• Organizational chart</li> <li>• Job description inventories</li> <li>• Employee lists</li> </ul> <p>For example:            A list of all positions within the company: administration staff, field technician, truck driver, etc.            Not applicable (N/A) cannot be applied to this question.</p>
B3	Do all positions/disciplines have tasks identified within the formal hazard assessments?	<p><b>GUIDANCE:</b>            Attach a list of tasks (not general responsibilities) for each position/discipline in the company. The reviewer cannot award a higher percentage of points than what was awarded in question B2.            Not applicable (N/A) cannot be applied to this question.</p>
B4	Have both health and safety hazards for each task been identified in question B2, including (as appropriate) hazards presented by: <ul style="list-style-type: none"> <li>• Operations</li> <li>• Equipment</li> <li>• Vehicles</li> <li>• Materials or products</li> </ul>	<p><b>DEFINITION:</b>            Health Hazards - include hazards that could result in an illness, such as pneumonia or cancer.            Safety Hazards - include hazards that could result in an injury, such as trauma or burns.  <b>GUIDANCE:</b></p>

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Question #	Audit Question	Instructions
	Working conditions/environment	<p>Attach all the formal hazard assessments for the tasks identified in question B3.</p> <p>The reviewer cannot award a higher percentage of points than what was awarded in question B3.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
B5	<p>Have both health and safety hazards for each task been assessed for risk, using any combination of severity, probability, frequency, or similar measurement to determine order of importance for implementing controls?</p>	<p><b>GUIDANCE:</b></p> <p>The formal hazard assessments need to have all health and safety hazards risk rated using a combination of values.</p> <p>These will be assessed based on the formal hazard assessments attached for question B4 by verifying that they include the criteria found in this question.</p> <p>Each hazard should be risk rated individually. Hazards should not be grouped together to assign an overall risk rating.</p> <p>The reviewer cannot award a higher percentage of points than what was awarded in question B4.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
B6	<p>Is there a system to create, review, and revise Formal Hazard Assessments:</p> <ul style="list-style-type: none"> <li>• On a pre-determined frequency, designed to keep the result up to date</li> <li>• When a new work process is introduced</li> <li>• When changes are made to operations or a work-related process</li> </ul> <p>When site-specific hazard assessments, inspections, and/or investigations identify a</p>	<p><b>GUIDANCE:</b></p> <p>Attach a policy or procedure which confirms that formal hazard assessments will be reviewed/ revised as per criteria listed.</p>

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	previously unrecognized hazard	
B7	Are Formal Hazard Assessments being reviewed and revised as identified in B6?	<p><b>GUIDANCE:</b></p> <p>Attach documentation that supports the review/revision of formal hazard assessments. (e.g., Formal Hazard Assessments sign off, meeting minutes)</p> <p>As per criteria in B6.</p> <p>This can be marked (N/A) if the pre-determined frequency identified in B6 has not elapsed.</p>
B8	Do employees participate in the development, review, or revision of the Formal Hazard Assessments?	<p><b>GUIDANCE:</b></p> <p>Attach documentation that supports employee participation and/or review/revision of formal hazard assessments. (e.g., formal hazard assessments sign off, meeting minutes).</p> <p><b>Note:</b> The purpose of this question is for employees to participate in the development and/or review of formal hazard assessments that relate to their position.</p> <p>This is not an awareness question; therefore, orientations cannot be used to verify this question.</p> <p>This question is not applicable (N/A) to Owner/Operators (O/O) Provide an assessor note for justification.</p>
B9	Is there a system in place for site-specific hazard assessments to identify hazards prior to work starting on the day of the job?	<p><b>GUIDANCE:</b></p> <p>Attach company policies or procedures that verify site-specific hazard identification system requirements.</p>

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		<p>The system may include references, as appropriate:</p> <ol style="list-style-type: none"> <li>1. to temporary or mobile work sites.</li> <li>2. to work sites not owned by the company</li> <li>3. when new conditions, tasks, equipment, processes, construction are introduced.</li> <li>4. the inclusion of affected employees at the work site.</li> </ol>
B10	Is the company using their site-specific hazard assessment process?	<p><b>GUIDANCE:</b></p> <p>Provide examples of completed site specific hazard assessments, FLHA's, JSA's, FLRA's, etc.</p> <p>The intent is that the employer is generating their own assessments, even when working on a site with a Prime Contractor. For employers who have a single shop or office, these assessments would be conducted prior to unique, unusual, or infrequent tasks.</p> <p>Apply (N/A) If you have not had the opportunity to conduct an assessment in the past 12 months. Please explain in the assessor notes.</p>
B11	<p>Is there a system that allows employees a means of reporting existing or new hazards which includes:</p> <ul style="list-style-type: none"> <li>• What is reportable</li> <li>• How to report it</li> <li>• Who is responsible for investigating and correcting reported concerns</li> </ul>	<p><b>DEFINITION:</b></p> <p>Hazard Reporting - an immediate process that allows employees to report hazardous conditions or practices as they notice them. This allows for prompt reporting and subsequent corrective action without waiting for next round of inspections, a field level hazard assessment to be completed or for a near miss to occur.</p> <p><b>GUIDANCE:</b></p> <p>Attach a hazard reporting policy, procedure or process that meets the criteria of the question.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>

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Question #	Audit Question	Instructions
B12	<p>Is a hazard reporting process in use and do the reports include:</p> <ul style="list-style-type: none"><li>• A description of the hazard and its location</li><li>• An assessment of the risk it represents</li><li>• Control measures needed</li><li>• Interim actions taken</li><li>• Follow-up or sign-off</li></ul>	<p><b>GUIDANCE:</b></p> <p>Attach examples of completed hazard reports that address the criteria outlined in the question. If none have been completed, attach a blank form to receive partial points for each criteria met (5).</p> <p>See Table 1: Document Submission Numbers in the pre-face information for a minimum number of records to submit.</p> <p>A near miss report is not the same as a hazard report. The same template or form can be used to report but should clearly identify whether the completed form is a hazard report or a near miss.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>

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## Element C – Hazard Control

Question #	Audit Question	Instructions
C1	Do Formal Hazard Assessment demonstrate that hazards are controlled following the principles of the hierarchy of controls, ensuring the use of Engineering Controls, Administrative Controls, and Personal Protective Equipment as appropriate?	<p><b>GUIDANCE:</b></p> <p>Attach or reference formal hazard assessments from element B confirming that control measures have been identified for the hazards outlined in the Formal Hazard Assessments.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
C2	Are the results of site-specific hazard assessments used to identify controls?	<p><b>GUIDANCE:</b></p> <p>Provide examples of completed site specific hazard assessments which verify the controls that were applied to the identified hazards</p> <p>This question can be marked n/a if work performed in the past 12 months did not include:</p> <ul style="list-style-type: none"> <li>A temporary or mobile work site</li> <li>A work site note owned by the company</li> <li>When new conditions, tasks, equipment, processes, or construction are introduced</li> </ul> <p>Provide an assessor note for justification.</p>
C3	Is there a Personal Protective Equipment (PPE) Policy developed that is appropriate to the nature of the tasks performed by the company, which includes: <ul style="list-style-type: none"> <li>A list of PPE used by the company</li> <li>A description of how staff will be trained in the use (selection, limitations and fit)</li> </ul>	<p><b>DEFINITION:</b> <u>Personal Protective Equipment (PPE)</u></p> <p>PPE includes equipment or clothing used for protection from health or safety hazards.</p> <p>For example: hard hats, safety glasses, and steel toed boots.</p> <p>When considering opportunities for applying PPE controls consider hazards that represent:</p>

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	<p>as well as maintenance (care) of relevant PPE</p> <p>Reference to Codes of Practice for legislated activities where appropriate (confined space entry, working at heights etc.)</p>	<ul style="list-style-type: none"> <li>Those that could be effectively controlled with industry standard PPE.</li> <li>Those that require PPE by legislation.</li> </ul> <p><b>GUIDANCE:</b></p> <p>Attach PPE policy, procedure or process that contains the criteria outlined in the question.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
C4	Does the company provide training on PPE that includes the use and maintenance of any required PPE?	<p><b>GUIDANCE:</b></p> <p>Attach signed training records to show that employees hired within that last 12 months were trained in the use (selection, limitations and fit) and maintenance (care) of any required PPE.</p> <p>If no employees were hired within the last 12 months that require PPE, attach blank training record forms that support an employee will be trained on the question criteria.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
C5	Does the employer ensure hazard controls are used by employees?	<p><b>GUIDANCE:</b></p> <p>Attach Policies or Procedures that indicate how the employer ensures controls are used.</p> <p>This could include examples such as:</p> <ul style="list-style-type: none"> <li>Discipline Program (policies, procedure, progressive outcomes, blank forms)</li> <li>Inspection Process (observations and corrections)</li> </ul> <p>Competency Assessments (list of competencies, completed records)</p>
C6	Have work safe procedures, rules and, where	<p><b>GUIDANCE:</b></p>

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	required by legislation, Codes of Practice, been developed?	<p>Attach a list of developed safe work procedures, rules and/or Code of Practices for hazardous tasks performed by employees.</p> <p>Also, attach a sample of a completed procedure, a rule, or a Code of Practice. (e.g., Code of Practice for confined space entry or respiratory equipment, working alone)</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
C7	Is there a preventive maintenance program for equipment and machinery?	<p><b>DEFINITION:</b> <u>Preventative Maintenance Program</u>          Preventative maintenance programs includes the care and servicing of equipment and machinery. With the purpose of maintaining safe, satisfactory operating condition.</p> <p><b>GUIDANCE:</b>          Attach a preventative maintenance policy, and procedure or process that contains: vehicle/equipment inventory and maintenance schedule reference to manufacturers' requirements, where applicable reference to legislated standards, where applicable.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
C8	Is the preventive maintenance program being implemented as outlined?	<p><b>GUIDANCE:</b>          Attach completed preventative maintenance documentation/records for each type of maintenance conducted.</p> <p>Possible documentation to attach:</p> <ul style="list-style-type: none"> <li>• third party inspections of equipment</li> <li>• service records/invoices</li> <li>• maintenance / equipment calibration logs</li> <li>• fire extinguisher annual inspections</li> </ul>

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		Not applicable (N/A) cannot be applied to this question.
C9	Is there a written Violence Prevention Plan as per legislative requirements?	<p><b>GUIDANCE:</b></p> <p>Attach a copy of the written violence prevention plan. Ensure the plan meets all relevant legislative requirements for the province(s) in which you work.</p> <p>This question cannot be marked not applicable (N/A); however, depending on size or nature of the organization, some criteria may not be appropriate to all employers depending on specific provincial legislation.</p> <p>Provide an assessor note for justification with any (N/A) criteria.</p>
C10	Is there a written Harassment Prevention Plan as per legislative requirements?	<p><b>GUIDANCE:</b></p> <p>Attach the Harassment Prevention Plan          Ensure your policy meets legislative requirements as applicable to the province(s) in which you work.</p> <p>This question cannot be marked not applicable (N/A); however, depending on size or nature of the organization, some criteria may not be appropriate to all employers depending on specific provincial legislation.</p> <p>Provide an assessor note for justification with any (N/A) criteria.</p>
C11	Is the requirement for reviewing the Violence and Harassment Plans as per legislated requirements being met?	<p><b>GUIDANCE:</b></p> <p>Attach documents that verify the violence and harassment plans are reviewed based on relevant legislation. This may include such criteria as:</p> <ul style="list-style-type: none"> <li>• When an incident occurs related to violence and/or harassment</li> <li>• If the HS representative recommends a review</li> <li>• At least every 3 years</li> </ul>

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## Element D – Hazard Inspections

Question #	Audit Question	Instructions
D1	<p>Is there an inspection process which outlines:</p> <ul style="list-style-type: none"> <li>Types of inspections</li> <li>Frequency of each type</li> <li>Who is responsible for conducting each type of inspection</li> <li>A checklist to follow with location(s) identified</li> </ul> <p>A means of tracking corrections actions</p>	<p><b>GUIDANCE:</b></p> <p>Attach a copy of the policy, procedure or process that outlines the criteria within the question.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
D2	<p>Have inspections been completed and any deficiencies corrected and implemented as outlined by the company's inspection process?</p>	<p><b>GUIDANCE:</b></p> <p>Attach completed inspection forms/records for each type of inspection.</p> <p>Do not attach preventative maintenance and 3rd party inspections or regulated CVIPs/ pre/post trip logbooks for this question. Those records would be supplied in question C8.</p> <p>Corrective measures need to be implemented in a timely manner pertaining to the deficiencies identified.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
D3	<p>Have employees conducting inspections received training that is appropriate to what is being inspected?</p>	<p><b>GUIDANCE:</b></p> <p>Attach training records to confirm that employees conducting inspections are trained to an appropriate level.</p> <p>Possible documentation to attach:</p> <ul style="list-style-type: none"> <li>On-the-job training</li> </ul>

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		<ul style="list-style-type: none"><li>• Orientations</li><li>• Safety Meetings that provided instruction on inspections</li><li>• Third party training record</li></ul> <p>Not applicable (N/A) cannot be applied to this question.</p>

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## Element E – Training

Question #	Audit Question	Instructions
E1	<p>Is there an Orientation Program which includes:</p> <ul style="list-style-type: none"> <li>• Requirement to be completed prior to starting duties</li> <li>• Health and Safety Policies and responsibilities</li> <li>• Right to know, participate and refuse dangerous work</li> <li>• High risk hazards</li> <li>• Hazard reporting procedures</li> <li>• Emergency response procedures, alarm systems</li> <li>• Incident, Injury, Occupational illness, and Near Miss reporting</li> <li>• Sign off requirement by new hire</li> </ul>	<p><b>GUIDANCE:</b></p> <p>Attach an orientation policy, procedure or process that contains the criteria outlined in the question.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
E2	<p>Are new employees (including any rehired or transferred employees), contractors and visitors provided with the orientation identified in the Program on/or before the first day of work?</p>	<p><b>GUIDANCE:</b></p> <p>Attach completed orientation records that show orientations were completed on the first day of employment.</p> <p>Attached documents must cover topics listed in the orientation policy, procedure or process, the signature of orientated employee and hire date.</p> <p>This question is not applicable (N/A) to Owner/Operator companies or if no new employees or contractors have been hired visitors in the past 12 months.</p>
E3	<p>Is job-specific training provided to:</p> <p>a. Employer? b. Employees?</p>	<p><b>GUIDANCE:</b></p> <p>Attach training records to confirm that employees are trained on specific industry</p>

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	<p>Job-specific training must include:</p> <ul style="list-style-type: none"> <li>• Specific job hazards (e.g., H2S, Confined Space)</li> <li>• Job-specific controls (e.g., safe work practices/procedures)</li> </ul>	<p>hazards and their control methods.</p> <p>Job- specific training must include:</p> <ul style="list-style-type: none"> <li>• Specific job hazards (e.g., H2S, Confined Space)</li> <li>• Job-specific controls (e.g., safe work practices/procedures)</li> </ul> <p>Part “a” cannot be marked not applicable (N/A). If there are no employees, part “b” can be marked not applicable (N/A). Provide an assessor note to justify (N/A) for part b.</p> <p>Examples of job specific training include training of safe work procedures, PPE, ergonomics, use of equipment and employee certificates (for example, H2S Alive, First Aid, Forklift Operator, Crane Operator Certificate)</p>
E4	Is refresher training completed at set intervals?	<p><b>GUIDANCE:</b></p> <p>Attach the organization’s training schedule and supporting documentation.</p> <p>Refresher training frequency must meet the schedule. Some certifications (e.g., First Aid, trade certificates) also have requirements for re-training/refresher training on a set schedule. Employers must document any refresher training requirements, and ensure schedules are met.</p> <p>If refresher training was not required in the previous 12 months, verify through review of the schedule, and provide assessor notes to justify.</p>
E5	Is on-the-job training provided which includes a practical demonstration by the trainee where such a demonstration is appropriate?	<p><b>GUIDANCE:</b></p> <p>Attach samples of completed on-the-job training records for the critical tasks identified for the position.</p> <p>These records should include:</p>

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		<ul style="list-style-type: none"> <li>• When the training occurred</li> <li>• Who conducted the training</li> <li>• The specific steps that were required to assess this training</li> <li>• Description of how the practical demonstration by the trainee was met</li> <li>• Sign off by the trainer and trainee</li> </ul> <p>Due to the nature of some tasks, a practical demonstration may not be suitable (e.g., working at the computer). However, there are tasks that require job-specific or specialized training to ensure the worker can competently complete the task (e.g., tasks associated with forklifts, ladders, hand tools, load securement). In these situations, a practical demonstration would be suitable.</p> <p>Please submit documentation for all employees that require job-specific training.</p> <p>If on-the-job training was not required in the previous 12 months provide justification in the assessor notes.</p> <p>This question can be marked as not applicable (N/A) if owner/operator. Provide an assessor note for justification.</p>
E6	Are competency assessments completed when operational changes require it?	<p><b>GUIDANCE:</b></p> <p>Attach completed competency assessments.</p> <p>Competency assessments must occur when operational changes took place or where there are newly hired or transferred staff. Operational Changes could include such things as adding new procedures, equipment, materials, tasks, or services.</p> <p>If competency assessments were not required in the previous 12 months, attach the organization's Competency Program, and provide an assessor note for justification.</p>

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		For Low-Risk, strictly administrative positions and for operations that do not have any employees (owner/operators). N/A can be applied to this question, please provide an assessor note for justification.

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## Element F – Emergency Response Plan

Question #	Audit Question	Instructions
F1	<p>Does the company have Emergency Response Plans specific to their operation, which outlines:</p> <ul style="list-style-type: none"> <li>• communication procedures,</li> <li>• emergency contacts,</li> <li>• building evacuation plans,</li> <li>• responsibilities of employees / workers</li> <li>• equipment requirements as applicable or where identified by legislation (first aid, confined space extraction)</li> </ul>	<p>Attach the Emergency Response Plan that contains the requirements outlined in the question.</p> <p>When considering specific scenarios on what to be prepared for, review appropriate industry standards and legislated requirements, such as: Injuries, fires, confined space or working at height rescues, spills, etc.</p>
F2	<p>Has training been provided to employees given specific responsibilities in the Emergency Response Plan?</p> <ul style="list-style-type: none"> <li>• Training requirements as applicable or where identified by legislation (first aid, confined space extraction)</li> </ul>	<p>Attach documentation that confirms that appropriate training has been conducted with all employees as pertains to their duties within the Emergency Response plan. At minimum this must include adequate First Aid training minimums</p> <p>For example: Some staff may be trained only in evacuations, but others may have confined space rescue training. (First Aid, signed off emergency drills, etc.)</p> <p>This question can be marked as not applicable (N/A) if Owner/Operator. Provide an assessor note for justification.</p>
F3	<p>Is there a process to evaluate Emergency Response Plans for effectiveness, including:</p> <ul style="list-style-type: none"> <li>• The emergency scenario being tested</li> <li>• Signatures of attendees</li> <li>• Date and location of drill</li> <li>• identifying deficiencies and a means of correcting the deficiencies</li> </ul>	<p>Attach the process/form used to evaluate the Emergency Response Plan for effectiveness that meets the criteria outlined in the question.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>

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Question #	Audit Question	Instructions
F4	Are the plan(s) tested at least annually?	<p>Attach samples of completed records of emergency response drill(s)/tabletop drills completed within the last 12 months and confirm the criteria outlined in Question F3 was met.</p> <p>A single drill could include the testing of multiple emergency scenarios. For example, fire emergency requiring suppression, evacuation and a first aid demonstration.</p> <p>Fire drills are mandatory for Saskatchewan.</p> <p>Not applicable (N/A) cannot be applied to this question.</p>

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## Element G – Incident / Accident Reporting and Investigation

Question #	Audit Question	Instructions
G1	Is there an Incident Reporting Process or Procedure which includes the reporting of injuries, occupational illness, incidents, near-misses, work refusals, and what to report to applicable governing bodies?	Attach a process or procedure that includes the criteria outlined in the question. Not applicable (N/A) cannot be applied to this question.
G2	Is there an Investigation Process or Procedure which includes: <ul style="list-style-type: none"> <li>• requirement that injuries, occupational illnesses, incidents and near misses will be investigated</li> <li>• responsibilities of key people</li> <li>• how to investigate an incident</li> <li>• how to preserve and collect evidence</li> <li>• involvement of workers knowledgeable of the type of work involved</li> </ul>	Attach the incident investigation process or procedure that contains the criteria outlined of the question. Not applicable (N/A) cannot be applied to this question.
G3	Do investigation forms include the following: <ul style="list-style-type: none"> <li>• names of everyone involved</li> <li>• location, date, time of incident</li> <li>• names of victims and injury /occupational illness description</li> <li>• description of damages</li> <li>• description of incident</li> </ul>	Attach samples of investigation forms that contain the criteria outlined in the question. Not applicable (N/A) cannot be applied to this question.

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Question #	Audit Question	Instructions
	<ul style="list-style-type: none"> <li>• description of events prior to incident</li> <li>• preliminary determination of root cause</li> <li>• identification and implementation of corrective actions</li> </ul>	
G4	Are Incident Reports, Near-Misses, and Investigations being completed?	Attach samples of completed injuries, illness, incidents and near miss reports within the past 12 months including date, time, location, and nature of event.
G5	Has investigation training been provided to individuals assigned the task of investigation?	<p>Attach training records to confirm that employees conducting investigations are trained to an appropriate level.</p> <p>This may include documented on-the-job training, orientation, safety meetings that provided instruction on investigation, or third-party training.</p>
G6	Does the company have a system in place to retain health and safety records?	<p>Attach a policy, procedure, or process that indicates how health and safety records are collected and retained. (Such as: first aid reports, meeting minutes, inspections, etc.)</p> <p>Please do not attach actual records.</p>
G7	Are statistics relating to health and safety collected?	<p>Attach a report showing workplace safety statistics for the last 12 months (at least quarterly documentation) These could include near misses, incidents, first aid treatment, lost time injuries etc. Include a summary describing any trends identified by the company</p> <p>Not applicable (N/A) cannot be applied to this question.</p>
G8	Are statistics and records analyzed to determine	Based on records and statistics collected for G6 /G7, attach documentation that shows how they were analyzed to determine trends (e.g., meeting minutes or

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Question #	Audit Question	Instructions
	common trends?	graph/summary report showing trends such as time of day near misses occur).  Not applicable (N/A) cannot be applied to this question.

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## Element H – Communications

Question #	Audit Question	Instructions
H1	<p>Is there a Safety Meeting Policy which includes:</p> <ul style="list-style-type: none"> <li>• Types of meetings required</li> <li>• Frequency of each meeting type</li> </ul>	<p>Attach safety meeting policy, procedure or process which includes the criteria outlined in the question.</p> <p>This question is not applicable (N/A) to O/O.</p>
H2	<p>Are regular two-way communications held with employees at all levels to discuss current safety issues?</p>	<p>Attach samples of documentation of how health and safety issues are communicated and how feedback is attained.</p> <p>Possible documentation to attach:</p> <ul style="list-style-type: none"> <li>• records of safety meetings/toolbox meetings</li> <li>• emails</li> <li>• recorded task observations/work site tours</li> </ul> <p>This question is not applicable (N/A) to O/O.</p>
H3	<p>Has an action plan been developed to address all the deficiencies found in the previous year's audit?</p> <p>Including:</p> <ul style="list-style-type: none"> <li>• person responsible</li> <li>• target completion dates</li> <li>• actual completion dates (if applicable)</li> </ul>	<p>Attach the previous year's action plan that was developed from the previous audit deficiencies if there were any.</p> <p>For each item on the action plan the following should be included:</p> <ul style="list-style-type: none"> <li>• person responsible identified</li> <li>• target completion dates</li> <li>• actual completion dates (if applicable)</li> </ul> <p>This question is not applicable (N/A) if no deficiencies were identified during QA evaluation of the previous year's audit or if this is the first health and safety audit.</p>
H4	<p>Has the action plan from the previous audit been implemented?</p>	<p>Will be Assessed based on the same documentation attached for question H3.</p> <p>Score is awarded based percentage of items from the action plan that were implemented.</p>

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Question #	Audit Question	Instructions
		This question is not applicable (N/A) if no deficiencies were identified during QA evaluation of the previous year's audit or if this is the first health and safety audit. Provide an assessor note for justification.

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### Element I – Other Affected Parties

Question #	Audit Question	Instructions
11	Is a process in place to address the protection of others not under the employer’s direction, but in the vicinity of the employer’s work site?	Attach the process that demonstrates the protection of other workers, visitors, and other persons not under the employer’s direction, but in the vicinity of the work site.
12	Is there a process to ensure hazards and controls are communicated to external work site parties?	<p>Attach a copy of the communication process to ensure hazards and controls have been communicated to external work parties. (e.g., emails, meeting minutes, orientation, contracts)</p> <p>External work site parties include: suppliers, service providers, prime contractor, temporary staffing agencies, self-employed persons, and other employers.</p>
13	Is a system in place that establishes the criteria for evaluating and selecting other employers under the direction of the contracting employer?	<p>Attach supporting documentation.</p> <p>A system must be in place to identify health and safety criteria to evaluate and select other employers for hiring purposes.</p> <p>If the employer does not use other employers, this question is marked not applicable (N/A). Provide an assessor note for justification.</p>
14	Is a system in place to regularly monitor other employers under the direction of the contracting employer (if applicable)?	<p>Attach supporting documentation.</p> <p>The system must identify how other employers’ health and safety performance is regularly monitored.</p> <p>If the employer does not use other employers, this question can be marked (N/A). Provide an assessor note for justification.</p>

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## Element J – Health and Safety Representative

Question #	Audit Question	Instructions
J1	Is there a designated HS representative per legislated requirements?	<p>Attach the policy or procedure. A policy or procedure for the HS representative must include:</p> <ul style="list-style-type: none"> <li>requirement to appoint a representative</li> <li>reporting to management</li> <li>term of office</li> <li>training requirements.</li> </ul> <p>This question can be marked n/a if the employer is not required by legislation to have a HS representative.</p> <p>Provide an assessor note for justification.</p>
J2	Are assigned duties identified for the HS representative as per legislated requirements?	<p>Attach supporting documentation. Duties of the HS representative must be written and include the expectations of the relevant jurisdiction(s).</p> <p>This question can be marked (N/A) if the employer is not required by legislation to have a HS representative. Provide an assessor note for justification.</p>
J3	Is the HS representative trained in their duties and responsibilities as per legislated requirements?	<p>Attach training records for the HS representative.</p> <p>This question can be marked (N/A) if the employer is not required by legislation to have a HS representative. Provide an assessor note for justification.</p>
J4	Does the HS representative participate in health and safety activities as per legislated requirements?	<p>Attach a representative sample of documentation that supports participation in health and safety activities is occurring (e.g., inspections, investigations, health and safety complaints from workers).</p>

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Question #	Audit Question	Instructions
		This question can be marked (N/A) if the employer is not required by legislation to have a HS representative. Provide an assessor note for justification.
J5	Is there a system in place for the HS representative to address employee health and safety concerns/complaints and provide recommendations to the employer?	<p>Attach the policy or procedure.</p> <p>This question can be marked (N/A) if the employer is not required by legislation to have a HS representative. Provide an assessor note for justification.</p>
J6	Are health and safety concerns/complaints resolved in a timely manner, as per legislated requirements?	<p>Attach supporting documentation.</p> <p>This question may be marked (N/A) if there were no concerns/complaints in the previous 12 months.</p> <p>Provide an assessor note for justification.</p>
J7	Is health and safety representative contact information readily available to employees, as per legislated requirements?	<p>Attach supporting documentation or provide a note that explains where the information is posted or how it is accessible to employees.</p> <p>This question can be marked (N/A) if the employer is not required by legislation to have a HS representative. Provide an assessor note for justification.</p>

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