



**Partnerships in Injury Reduction
Small Employer
Certificate of Recognition
(SECOR)
Audit Instrument
Using Range-of-Points Scoring**



Approved January 23, 2013

SMALL EMPLOYER CERTIFICATE OF RECOGNITION (SECOR) PROGRAM

Overview

The SECOR Program provides an opportunity for small employers to measure their health and safety management system against a provincial standard, and if successful, achieve a Certificate of Recognition (COR). The program is specifically designed to meet the application and training needs of small employers, while considering their resource limitations.

Employers that want to participate in the SECOR Program must evaluate whether or not their business will continue to fit the definition of a Small Employer over the course of the next 3 years. Once an employer's staffing numbers exceed 10, their COR audit process must move to the next program level for their industry.

What is a Small Employer Certificate of Recognition?

A Small Employer COR (SECOR) is issued to an employer that has a health and safety management system that meets or exceeds the standards of the Partnerships SECOR Program, as evidenced through a successful assessment/audit. Audit success is measured by achieving a minimum audit score of 80% overall, and at least 50% on each individual element.

The SECOR is typically issued for three years, as long as the employer continues to meet the definition of a small employer, has met training and refresher requirements, and completes the annual maintenance assessments/audits, according to Partnerships' standards and requirements.

Employers who achieve a SECOR are eligible to receive a 5% to 20% WCB premium rebate.

Am I a "Small Employer?"

A "Small Employer" is defined as an employer that has no more than 10 employees at any given time. The owner(s) and any person covered by the employer's WCB account must be included in this number. Material suppliers, inspectors, equipment rental deliverers, etc. who supply a service to the small employer are not included in the definition of a Small Employer, though employers may find they are responsible for orienting these individuals to some of their basic workplace health and safety rules, such as personal protective equipment requirements (see the *Occupational Health and Safety Act, Regulation and Code* for specific obligations of the employer).

The definition of a Small Employer will be applied to the employer's whole operation when issuing a SECOR. Therefore, as a general rule, an employer cannot be issued multiple SECORs on the same account and still be categorized as a small employer unless the total number of employees for the whole operation does not exceed 10 employees.

The Basic Steps for Achieving a Small Employer Certificate of Recognition

1. Contact a Certifying Partner.
2. Take the training necessary to develop a health and safety management system.
3. Develop and implement a health and safety management system.
4. Complete the SECOR assessment and submit it to your Certifying Partner for review and scoring, or conduct an external audit.



For more information on the SECOR Program and certification requirements, contact your Certifying Partner.

Partnerships Small Employer Audit Instrument

This audit instrument is designed to measure whether or not the small employer has implemented the basics of a health and safety management system. The instrument can be used, by a certified external auditor, to conduct an external audit, or by the owner, a key employee or a trained consultant to submit a SECOR Assessment for review by the Certifying Partner. SECOR Assessments require submission of notes and adequate documentation to allow the CP to verify the status of the small employer's health and safety system and score the questions in the audit instrument. A minimum overall score of 80% is required to pass the audit, and each individual element must score at least 50%.

Anyone conducting a SECOR Assessment must have completed the Certifying Partner's Health and Safety Program Building Training prior to completing the assessment. Please contact your Certifying Partner for further information on SECOR training requirements.

Instructions for completing a SECOR Assessment

1. Read each question and the guidelines, and respond to the question in the *Notes* fields provided.
2. Questions marked with "(D)" indicate that documentation/records must be attached. Where attached documents/record samples are required by the guidelines, attach copies of the requested documentation. Records submitted must be sufficient to verify health and safety activities over the previous 12-month period. **DO NOT ATTACH ORIGINAL DOCUMENTATION**, as submissions will not be returned to the employer.
3. Ensure that documentation is submitted in a logical and orderly manner, and avoid submitting more documentation than required by the question guidelines. The CP may reject submissions that are difficult to assess.
4. Questions marked with an "(I)" or an "(O)" indicate that the assessor must explain a process or describe an observation in the "Notes" section. Some questions will require both a written explanation and attached documentation (D).
5. While completing the audit document, you will likely identify deficiencies in your health and safety system. For each deficiency identified, consider what steps you could take to improve this area of your system, and enter an appropriate action item in the attached Action Plan.

Tips for completing the SECOR Assessment.

- Questions can only be marked as "not applicable" (n/a) if the guidelines allow it, and Assessor notes must fully justify why the question should be "n/a."
- Assessors will not assess a score for each question, or fill out the Summary Score Sheet at the end of the audit. Scoring will be determined by the CP reviewer.
- Ensure the SECOR Summary Sheet is completed filled out, and signed off as required. Fields highlighted in grey will be filled out by the Certifying Partner reviewer.
- SECOR Assessors internal to the operation are not required to conduct worker interviews, but must fill out the Employee Breakdown and Sampling Details table, except for the sections highlighted in grey.
- Instructions for external auditors are included inside question guidelines. SECOR Assessors should ignore these instructions, as they will not be assigning question scores or conducting interviews.

- Unless this is your first SECOR Assessment, a completed action plan based on the results of your previous year's audit must be included in the SECOR submission.

Tips for certified auditors completing an external SECOR Audit

- When this audit is completed by a certified auditor external to the operation, questions marked with a "(D)" indicate that review of relevant documentation is required to assess a score for the question. External auditors are not required to attach sample documentation/records to their audit submission, unless asked to do so by the Certifying Partner.
- Questions marked with an "(I)" indicate that interviews are required. Interview sampling for small employer audits should meet the same criteria as interview sampling for a regular audit. Use the attached sampling tables (including the fields highlighted in grey) to communicate your sampling methodology to the CP reviewer.
- Questions marked with an "(O)" indicate that observations are required to score the question.
- Notes for all questions must fully explain the auditor's findings and justify the points awarded.
- External auditors should assess a numeric score for each question. All questions are scored based on the range-of-points noted in the scoring column. No half-marks are allowed. The Audit Summary Score Sheet must be completed to reflect the scores awarded inside the audit document.
- The question guidelines are designed for the use of SECOR Assessors, but external auditors should use them to identify the documentation they need to review when scoring the audit questions. Special scoring instructions for external auditors are also included in the guidelines where required, and must be followed.
- SECOR audit reports conducted by a certified external audit are subject to the same quality assurance requirements as a regular audit report.

Partnerships

SECOR SUMMARY SHEET

Employer Legal Name (as registered with WCB):		
Employer Trade Name (if applicable):		
Address:		
WCB Account(s) in scope:	Industry Code(s) in scope:	
Facilities/Work Sites in scope:		
Contact Person:	Phone Number:	
Fax Number:	Email:	
Contact person's original SECOR Training date:	Contact person's last refresher date:	Course taken as refresher session:
Assessor Name:	Assessor most recent training /refresher date:	<input type="radio"/> Code of Ethics signed?
Assessor Phone Number:	Assessor Email:	
Audit/Assessment Start Date:	Audit/Assessment End Date:	
Audit Purpose (certification or maintenance):	Number of employees covered by WCB account:	
Name of the OHS Consultant used to help build the OHS management system (if applicable):		
Consultant Training Date:		
Auditor Name (if applicable):	Auditor Certification # (if applicable):	<input type="radio"/> Code of Ethics signed?
Employer Sign off:		
Assessor/Auditor Sign off:		

Fields in grey are applicable only to external auditors.

Fields asking for information about the "Assessor" are not applicable when the audit is conducted by a certified external auditor.

Employee Breakdown and Sampling Details

Levels	Total Number	Number Interviewed	Departments/Shifts List departments, and (if applicable) shifts below	Employee /Dept. Totals	Total Employees			# Interviewed		
					Full- Time	Part- Time	Casu al	Full- Time	Part- Time	Casu al
Managers										
Supervisors										
Workers										
Total Employees										
Contractors										
Visitors										

Fields in grey are for use only by external auditors.

Document List

The list below contains examples of documentation that can be attached to the SECOR submission to verify the questions listed. External consultants should use the list as a guideline to dictate what should be reviewed to score the listed questions.

QUESTIONS	DOCUMENTATION
1.1	Health and Safety Policy
1.3	Written statement of responsibilities, job descriptions, employee contracts, and program manuals
2.1	Inventory of job positions, and job/task inventories
2.2, 2.5	Completed formal hazard assessment forms, job safety analysis
2.3	Procedure for rating hazards, hazard rating forms
2.4	Documents outlining process/procedural changes and updated hazard assessment forms, memos directing a hazard control be implemented
2.5	Completed field-level hazard assessment forms, policy, procedures
3.1	Completed hazard assessment and control forms
3.3	Preventative maintenance records for equipment, tools, and PPE. Work order records, maintenance logs, defective equipment tags, written procedures/policy regarding the removal of defective equipment
3.4	Discipline policy, supervisor training records, supervisor and worker responsibilities
3.5	PPE policy and training records
3.6	Copy of the work site health and safety plan developed in consultation with your contracting organization
4.1, 4.4	Inspection policy and process, inspection records, inspection schedule, sample inspection reports
4.2, 4.4	Sample inspection forms, checklists
4.3	Sample inspections checklist(s)
4.5	Hazard reporting policy, sample hazard report forms, blank hazard report forms
5.1, 5.2	Orientation policy /process, sample completed orientation checklists, orientation records
5.3, 5.4, 5.5	Training policy/process, sample training records, sample training certificates
6.1	Emergency response plan, evacuation procedures, emergency numbers, radio codes, emergency communication procedures, list of emergency response personnel/fire wardens.

QUESTIONS	DOCUMENTATION
6.2	Emergency response training records
6.3, 6.4	Records of Emergency Response drills, minutes of h&s meetings, records of emergency response table-top review exercises
7.1	Incident reporting procedure
7.2	Training records
7.3, 7.4, 7.5, 7.6	Investigation procedure, report forms, investigation forms, sample investigation records
8.1	Sample newsletters, sample safety meeting minutes, sample toolbox meeting minutes
8.2	Sample documents showing statistics are reviewed and trends identified
8.4	Action plan reflecting deficiencies identified from this year's audit process
8.5	Completed action plan from previous audit

Interview Questions

For use by external consultant auditors

Question No.	Question	Response	
		+	-
1.2	(All) Does your organization have a Health and Safety Policy? What does it say?		
1.4	(All) Do you have any specific health and safety responsibilities? Could you describe them? (Examples: arranging health and safety meetings, reviewing incident reports, inspections, etc.) What responsibilities do you have under the <i>Occupational Health and Safety Act and Regulation</i> ?		
1.5	(Managers/Owner) What OHS legislation is applicable to your work site? How do you make it available to workers?		
2.5	(All) When are field-level hazard assessments conducted? How often are they completed?		
3.4	(All) How is the use of hazard controls enforced? (PPE use? Use of engineering and administrative controls?)		
3.6	(Managers/Owner) How is the your safety and the safety of your workers ensured when working on a contracted work site?		
3.7	(All) How are you made aware of safety hazards at a contracted work sites? How are you made aware of the rules at a contracted work site?		

Question No.	Question	Response	
		+	-
4.3	(All) Are formal inspections carried out on a regular basis? Do you have any involvement with the inspection process? What is your role?		
4.4	(All) What process is in place to help ensure deficiencies identified during inspections are dealt with in a timely manner?		
4.5	(All) Is there a system in place that allows employees to report unsafe conditions? What is it?		
5.3	(All) What job specific training is given to workers?		
6.3	(All) Are emergency drills conducted? When was the last one?		
7.2	(All) What happens when a work-related incident or illness occurs? (I.e. What is the process? How are incidents or illnesses reported?)		
8.1a	(All) How are you made aware of health and safety issues?		
8.1b	(All) Do you have the opportunity to provide feedback on health and safety issues?		
8.1c	(All) How are the identified issues dealt with?		

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1. Management Leadership And Organizational Commitment

Questions		Guidelines	Auditor/ CP Assessed Score
1.1	Is there a written Health and Safety Policy for the organization, signed and dated by the owner? (D)	Attach the policy document. The policy must include : <ul style="list-style-type: none"> - statement of management commitment to health and safety - overall goals and objectives - general responsibilities of managers, supervisors, workers and contractors regarding health and safety - requirement to comply with relevant government regulations - requirement to comply with organization's own health and safety standards 	/0-2
Notes:			
1.2	Are employees aware of the policy's content? (I)	Explain how employees are made aware of the policy's content. This question is not applicable (n/a) if the operation does not have any employees. <i>Auditor: score question based on percentage positive responses in interviews.</i>	/0-3
Notes:			
1.3	Have specific health and safety responsibilities been written for: (D) a. Managers? b. Supervisors? c. Workers?	Attach documentation, other than the policy (e.g. contracts, job descriptions, and program manuals) that states employee responsibilities at each level. Depending on size or nature of the organization, one or more of these categories may not be applicable (n/a). Where the operation has no workers, the owner will be considered the <i>Manager</i> .	/0-2
			/0-2
			/0-2
Notes:			
1.4	Are the employees aware of their specific health and safety responsibilities under legislation and employer policy: (I) a. Managers? b. Supervisors? c. Workers?	Explain how employees are made aware of their health and safety responsibilities. Depending on the size and nature of organization, one or more of these employee types may not be applicable (n/a). Where the operation has no workers, the owner will be considered the <i>Manager</i> . <i>Auditor: Scores are based on the percentage positive responses in interviews.</i>	/0-2
			/0-2
			/0-2

1. Management Leadership And Organizational Commitment

Questions	Guidelines	Auditor/ CP Assessed Score
Notes:		
1.5	<p>Is the most current health and safety legislation related to your operation available at the work site? (I, O)</p> <p>List the specific legislation (federal, provincial and municipal) applicable to your operation, and explain how it is made available to workers.</p> <p style="color: blue;">Auditors: This question should be scored based on results of management /owner interviews and work site observations that verify availability of the relevant legislation.</p>	/0-2
Notes:		
TOTAL POINTS POSSIBLE:		/19

2. Hazard Identification and Assessment

Questions		Guidelines	Auditor/CP Assessed Score
2.1	Does the employer have a list of all jobs and tasks carried out at the work site? (D)	<p>Attach a list of all employee jobs, and the tasks within those jobs. Both the jobs and the tasks must be clearly identified.</p> <p>Auditors: Points are awarded based on the percentage completion of the job and task inventories.</p>	/0-6
Notes:			
2.2	Are health and safety hazards identified for the tasks in the inventory? (D)	<p>Attach documentation that identifies the hazards related to the employer's list of tasks (from question 2.1). Both health and safety hazards should be identified to ensure that ergonomic risks, exposure to chemicals, noise, heat stress, road safety, etc. are addressed.</p> <p>Auditors: The maximum score allowed for this question cannot exceed the total points awarded in question 2.1.</p>	/0-6
Notes:			
2.3	Have the health and safety hazards been evaluated according to risk, and have the risks been prioritized? (D)	<p>Hazard assessments should show that the employer used a system to assess hazards for:</p> <ul style="list-style-type: none"> - Severity (how serious an outcome could there be if the hazard resulted in incident) - Probability (how likely is it that an incident could happen) - Frequency (how often workers are exposed to the hazard) <p>The assessment must result in prioritization of work site hazards.</p> <p>Auditors: Score is based on the percentage of identified hazards that have been assessed and prioritized.</p>	/0-3
Notes:			

2. Hazard Identification and Assessment

Questions		Guidelines	Auditor/CP Assessed Score
2.4	<p>Are the formal health and safety hazard assessments reviewed: (D)</p> <p>a. when changes are made to the operation?</p> <p>b. in response to inspection and investigation results?</p>	<p>Attach documentation that supports ongoing review of formal hazard assessments. This may include meeting minutes, supervisor log books, assessment documents, etc. Describe how and when these reviews occur.</p>	/1
			/1
Notes:			
2.5	<p>Is a field-level hazard assessment process in use at field sites? (D, I)</p>	<p>Describe when and how this process is used. Attach a copy of the field-level hazard assessment policy/process document, and samples of field-level hazard assessment forms completed over the past 12 months.</p> <p><i>Auditors: Award points based on review of documentation. Use interview responses to verify worker knowledge of this process. If interview responses do not support what is found in the documentation review, points can not be awarded.</i></p>	/0-4
Notes:			
TOTAL POINTS POSSIBLE			/21

3. Hazard Control

Questions		Guidelines	Auditor/CP Assessed Score
3.1	Have hazard controls been identified? (D) a. Engineering? b. Administrative? c. Personal Protective Equipment (PPE)?	Attach hazard assessment documents that show what hazard control methods have been recommended to control the hazards identified. Auditors: Documentation must show a connection between the hazards assessed in question 2.3, and the controls identified in order to award points for this question.	/0-2
			/0-2
			/1
Notes:			
3.2	Have identified hazard controls been implemented? (O) a. Engineering? b. Administrative? c. Personal Protective Equipment (PPE)?	For each type of control (engineering, administrative, PPE), give examples of controls that are being used at the work site(s). Auditors: For each type of control identified in question 3.1, award points based on the percentage of these controls implemented by the employer.	/0-3
			/0-3
			/0-2
Notes:			
3.3	Is there a preventative maintenance program for equipment, vehicles and machinery? (D)	Describe the process used for maintaining equipment and preventing the use of defective/broken equipment. Attach sample maintenance records (maintenance logs, work orders, etc.) from the last 12 months. Note that documentation must show a schedule of <i>preventative</i> maintenance.	/0-2
Notes:			
3.4	Does the owner ensure health and safety policies are followed and hazard control methods are used? (D, I)	Describe how this is done, and attach applicable documentation/records. Auditors: Interview responses must confirm results of documentation review in order for points to be awarded.	/0-3
Notes:			

3. Hazard Control

	Questions	Guidelines	Auditor/CP Assessed Score
3.5	Where Personal Protective Equipment (PPE) is used as a method of control, are employees trained in the use, care, and maintenance of the protective equipment? (D)	Attach the PPE policy. It should include PPE training requirements. Attach training records to verify training was completed. Where the operation has no workers, describe how the owner is trained.	/0-2
Notes:			
3.6	Has a plan been developed in discussions with your contracting organization to ensure the safety of you and your workers? The plan should include: (D or I) <ol style="list-style-type: none"> a. Identification of site-specific hazards and controls b. Ongoing field-level hazard assessment c. Reporting of changes to work site conditions d. Review of emergency response plans e. Process for dealing with worker noncompliance f. On-site supervision of contract workers 	Attach a copy of the plan. Ideally it should be signed by your primary contracting organization. OR Explain how this is done. Notes must address each sub-point specifically. This question is not applicable (n/a) if the operation does not work as a contractor or a sub-contractor. <i>Auditors: Scoring is based on whether or not the plan addresses the sub-points noted in the question (one point for each sub-point). If there is no evidence of a plan, no points can be awarded for this question.</i>	/0-6
Notes:			
3.7	Is the plan communicated to all employees? (I)	Explain how the plan is communicated to your employees. This question is not applicable (n/a) if the operation does not have any employees. This question is not applicable (n/a) if the operation does not work as a contractor or sub-contractor. This question is not applicable (n/a) if no points were awarded for question 3.6. <i>Auditors: Documentation must show communication of all required parts of the plan to employees, or interviewees must confirm communication of the plan.</i>	/0-4
Notes:			
TOTAL POINTS POSSIBLE:			/30

4. Ongoing Inspections

Questions		Guidelines	Auditor/CP Assessed Score
4.1	Is there a formal written policy that includes how often formal inspections should be conducted by: (D) a. Managers? b. Supervisors? c. Workers?	Attach a copy of the policy. The employer should consider the risk level of the workplace when determining the frequency of inspections. Depending on the size or nature of the organization, one or more of these employee levels may not be applicable (n/a). If the operation has no employees, the owner will be scored as a Manager.	/1
			/1
			/1
Notes:			
4.2	Is a site- specific checklist used for inspections? (D)	Attach a copy of checklist(s) in use.	/1
Notes:			
4.3	Are formal, written health and safety inspections carried out as required by the employer’s inspection policy by: (D, I) a. Managers? b. Supervisors? c. Workers?	Attach sample inspection records from the past 12 months. These will be used to confirm if the inspection policy/process is being followed. Depending on the size and nature of the organization, one or more of these employee levels may not be applicable (n/a). If the operation has no workers, the owner will be considered the Manager. Auditors: In order to award full points, formal documentation must exist, and interviewees for each level must verify that inspections are conducted as required.	/0-2
			/0-2
			/0-2
Notes:			
4.4	Are deficiencies identified in inspections corrected quickly? (D, I)	Explain how identified issues are addressed. Attach samples of completed inspection reports from the past 12 months. Include sample records to confirm that required corrections have been completed (e.g. work orders, purchase orders, memos, etc.). Auditors: Documentation should reflect a reasonable timeframe for correction (as soon as practical), and who is responsible. If interview responses do not support what is found in the documentation review, full points cannot be awarded.	/0-3

4. Ongoing Inspections

Questions	Guidelines	Auditor/CP Assessed Score
Notes:		
4.5	<p>Is there a system in place that employees can use to report unsafe or unhealthy conditions and actions? (D, I)</p>	<p>Explain/describe how this is done. If a formal process exists, attach it for review by the CP.</p> <p>This question is not applicable (n/a) if the operation does not have any employees.</p>
		/0-2
Notes:		
		/15

5. Qualifications, Orientations and Training

Questions		Guidelines	Auditor/CP Assessed Score
5.1	<p>Does the orientation: (D)</p> <p>a. Address critical health and safety issues?</p> <p>b. Cover employer health and safety policies, procedures, and responsibilities?</p>	<p>Describe what is covered in the orientation. Explain how the orientation is delivered, and attach documents that outline the orientation process. Critical issues include the following:</p> <ul style="list-style-type: none"> • organization rules/enforcement • right to refuse unsafe work • emergency response • incident notification • critical hazards • hazard reporting <p>Attach documentation (orientation records, orientation checklists) to show that orientations cover h&s policies/procedures. If the operation does not have any employees, this question is not applicable (n/a).</p>	<p>/0-3</p> <hr/> <p>/0-3</p>
Notes:			
5.2	<p>Is the new employee orientation completed on or before the first day of work? (D)</p>	<p>Describe how/when this is done. Attach orientations from the past 12 months. Orientations must be dated and signed off.</p> <p>This question is not applicable (n/a) if the operation does not have any employees, or if no new employees have been hired in the past 12 months.</p>	<p>/0-2</p>
Notes:			
5.3	<p>Do employees receive the job-specific training required to perform their jobs/assignments in a healthy and safe manner? (D, I)</p>	<p>Attach training records, and describe how job-specific training is conducted. Examples of job specific training include training of safe work procedures, PPE, ergonomics, use of equipment, WHMIS, first aid, defensive driving, TDG, etc.</p> <p>If the operation does not have any workers, consider the owner's own job-specific training in scoring this question.</p> <p><i>Auditors: Job-specific training conducted must be relevant to the scope of the operation. If interview responses do not support what is found in the documentation review, full points cannot be awarded.</i></p>	<p>/0-3</p>

5. Qualifications, Orientations and Training

	Questions	Guidelines	Auditor/CP Assessed Score
Notes:			
5.4	Are on-going training/refreshers sessions provided as required? (D)	Explain how this is done. Attach documentation that shows on-going training, refreshers, and recertification for job-specific training (e.g. skills upgrading, WHMIS, First Aid, Defensive Driving, TDG, maintenance procedures, respiratory protection, etc.).	/0-3
Notes:			
TOTAL POINTS POSSIBLE:			/14

6. Emergency Response

Questions		Guidelines	Auditor/CP Assessed Score
6.1	a. Is there a written emergency response plan that addresses all possible emergencies, and reflects the hazards at the work site(s)? (D)	Attach the emergency response plan. Note that it is acceptable for a small employer to work under the ERP of the contracting organization, as long as they can show that this plan is communicated to the small employer and their workers.	/0-2
	b. Does the plan include: (D) - Communication procedures? - Emergency phone numbers? - List of responsible emergency response personnel? - Evacuation procedures?		/0-2
Notes:			
6.2	Are employees given emergency response training appropriate to their individual responsibility? (D)	Attach emergency response-related training records from last 12 months. If the operation does not have any workers, the owner's Emergency Response training will be considered to score the question.	/0-2
Notes:			
6.3	Are planned emergency response drills conducted annually or more often, as required? (D, I)	Give a description and date of the last drill. Explain how often drills are scheduled and the types of drills held. Participation in drills held by the contracting organization may be appropriate to the needs of the small employer. Auditors: If interviews do not confirm that a drill was held in the last year, full points cannot be awarded.	/0-2
Notes:			
6.4	Are emergency response records kept? (D)	Attach policy. Describe what records are kept, and (if available) attach sample records from the past 12 months. Employee names must be removed from sample first aid/medical aid records. This question <i>cannot</i> be marked as "n/a." In the absence of an actual emergency, attach	/0-2

6. Emergency Response

Questions	Guidelines	Auditor/CP Assessed Score
	records of participation in drill(s), and a policy requiring ER records to be kept.	
Notes:		
TOTAL POINTS POSSIBLE:		/10

7. Incident Investigation

Questions		Instructions	Auditor/CP Assessed Score
7.1	Is there a written procedure that requires the reporting of workplace incidents, illness and near misses? (D)	Attach reporting procedure. It should include legal requirements for incident reporting. Documentation must also require internal reporting of incident, injuries, illness and near misses.	/0-3
Notes:			
7.2	Are employees aware of their responsibilities to report work-related incidents, illness and near-misses? (D, I)	Attach relevant training documents, and explain how employees are made aware of their responsibility to report incidents/illnesses. This question is not applicable (n/a) if the operation does not have any employees. <i>Auditors: If interview responses do not confirm awareness of reporting responsibilities, full points cannot be awarded.</i>	/0-2
Notes:			
7.3	a. Is there a written procedure for investigating workplace incidents, illness and near misses? (D)	Attach the investigation procedure.	/0-2
	b. Does the procedure include a requirement to correct deficiencies identified in investigations? (D)		/1
Notes:			
7.4	Is there an investigation form? (D)	Attach a copy of the investigation form. If the employer's contracting organization requires the use of their form, employers may use this instead of developing their own. <i>Auditors: The form must include fields for a description of the circumstances, identified causes (direct, indirect and root), corrective actions, and follow-up.</i>	/1
Notes:			

7. Incident Investigation

Questions		Instructions	Auditor/CP Assessed Score
7.5	Do investigation reports identify root causes and corrective action? (D)	<p>Attach copies of completed investigation report forms from the past 12 months. If no incidents or near misses have occurred, this question is not applicable (n/a).</p> <p>Auditors: if root causes are not correctly identified and proposed action is not likely to be effective, no points can be awarded for this question.</p>	/0-2
Notes:			
7.6	Are corrective actions taken to prevent incidents from happening again? (D, O)	<p>Describe how action is taken as a result of incident investigations, and give examples where possible. Attach documentation that verifies corrective action taken.</p> <p>Auditors: Documentation must show that corrective action was taken in an effort to prevent a recurrence. If no incidents have occurred in the past 12 months, this question may be scored based on written requirements to take corrective action (in employer policy).</p>	/0-2
Notes:			
TOTAL POINTS POSSIBLE:			/13

8. Program Administration

Questions		Guidelines	Auditor/CP Assessed Score
8.1	<p>Is there a system to ensure: (D, I)</p> <ul style="list-style-type: none"> a. Health and safety issues are communicated to employees? b. Feedback on health and safety issues from employees? c. Follow-up on health and safety issues? 	<ul style="list-style-type: none"> a. Describe how employees are advised of health and safety issues. Attach sample documentation (e.g. records of safety meetings/toolbox meetings, bulletins, etc.). b. Describe the system used for employees to offer feedback on health and safety issues, and how employees are made aware of the system. c. Describe how follow-up is done, and explain how employees are made aware of any follow-up completed. <p>This question is not applicable (n/a) if the operation does not have any employees.</p> <p><i>Auditors: Verify that the required communication systems exist. If interview responses do not support what is found in the documentation review, full points cannot be awarded.</i></p>	<p>/0-2</p> <p>/0-2</p> <p>/0-2</p>
Notes:			
8.2	<p>Does the employer review their health and safety performance using statistics? (D)</p>	<p>Attach samples of the statistics maintained by the employer (e.g. first aids, medical aids, claims rates, # of inspections, # of orientations, # of safety meetings, etc., etc.). Describe any trends that were identified.</p>	/0-2
Notes:			
8.3	<p>Is the health and safety system evaluated at least annually through the use of an audit process? (D)</p>	<p>Give the date of the last audit.</p> <p>If this is the employer's first health and safety audit, this question is not applicable (n/a).</p>	/1
Notes:			
8.4	<p>Was an action plan developed to address the deficiencies identified in the previous audit? (D)</p>	<p>Attach the action plan from the previous year. For each item on the action plan, the person responsible should be identified. Target completion dates and (if applicable) actual completion dates should also be noted for each action item.</p> <p>If this is the employer's first health and safety audit, this question is not applicable (n/a).</p> <p><i>Auditor: The action plan must include items addressing all of the deficiencies identified in the previous year's audit, and must contain the required components noted above. The items do not have to be completed to achieve the point for this question.</i></p>	/1

8. Program Administration

Questions	Guidelines	Auditor/CP Assessed Score
Notes:		
8.5	<p>Were the action items from last year's action plan completed? (D)</p>	<p>Attach the completed action plan from the previous year's audit.</p> <p>If this is the employer's first health and safety audit, this question is not applicable (n/a).</p> <p>Auditors: Score is awarded based on percentage completion of the action items from the previous year's audit results.</p>
		/ 0-2
Notes:		
		/12
TOTAL POINTS POSSIBLE:		/12

Partnerships Small Employer Action Plan

Audit Date: _____

IDENTIFIED DEFICIENCY	ACTION PROPOSED	PERSON (S) RESPONSIBLE	TARGET DATE	ACTION TAKEN	DATE COMPLETED

Use the above template to develop an action plan from the audit results. Deficiencies identified by the assessor, external auditor and/or the Certifying Partner reviewer should be itemized in this plan, and completed before your next audit.

SUMMARY SCORE SHEET

*For use only by external auditors or CP reviewers *

Employer Name: _____ Audit Dates: _____

Auditor Name: _____

Element Number	Total Points Possible	Points N/A	Total Points	Total Points Scored	Percentage
1. Management Leadership and Organizational Commitment	19				
2. Hazard Identification and Assessment	21				
3. Hazard Control	30				
4. Ongoing Inspections	15				
5. Qualifications, Orientation and Training	14				
6. Emergency Response	10				
7. Incident Investigation	13				
8. Program Administration	12				
Total Audit Points	134				