Alberta Association for Safety Partnerships

Small Employer Audit

Range-of-Points Scoring

AN APPROVED *Partnerships* AUDIT INSTRUMENT

AUDIT
2013

Government
of Alberta

Approved July 1, 2013

Section One

AASP SECOR AUDIT INSTRUCTIONS

AASP 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.

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. A well-functioning system can demonstrate due diligence by the employer and result in reduced injuries, illnesses, and related costs.

Employers who achieve a COR are eligible to receive a 5% to 20% rebate of their WCB premium assessment. Employers who hold Certificates of Recognition are also becoming the contractors of choice for key principal contractors within the province.

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 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.

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.

INSTRUCTIONS FOR ALBERTA ASSOCIATION FOR SAFETY PARTNERSHIPS – SECOR AUDIT

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 a minimum of 50%.

Anyone conducting a SECOR Assessment must have completed the AASP Health and Safety Program Building Training prior to completing the assessment. Please contact AASP for further information on SECOR training requirements at 403-223-9008, or web site: www.safetypartnershipsaasp.com .

The AASP will be maintaining a three year file containing all submissions for the three year SECOR cycle.

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 copies of 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, marked with the question number and avoid submitting more documentation than required by the question guidelines. The AASP may reject submissions that are not organized making them difficult to assess. **Please check the box provided in each question to verify documents are attached.**

4. Questions marked with an "(I)" indicate that the assessor must explain a process in the "Notes" section. Many questions will require both a written explanation and attached documentation.

5. **AASP has provided a forms document; download the new document from the AASP web site. Then click on the grey boxes below the questions to start typing or select appropriate number from dropdown menu or 'click here' instructions to enter text/date.** If you are going to hand write the document, make sure you download the "word" document not the "Forms Document".

6. 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, make notes in the box marked SFI (Suggestion for Improvement). Then enter an appropriate action item for each of these identified deficiencies into the attached Action Plan.

Remember: The key is for the Reviewer to determine if the self-assessor understands the program therefore organized and marked documentation is imperative. Each year the AASP Reviewer will score the assessment/audit and a copy of the assessment review sheet containing the score and Reviewer notes will be returned to the employer via email. The employer will ensure the required action plan is developed and a copy submitted with the next assessment/audit.

Tips for completing the SECOR Assessment

- EVERY TIME THE GUIDELINES FOR THE QUESTION ASKS TO "EXPLAIN OR DESCRIBE" requires the assessor to write a note in the document in addition to **attaching** documentation. Remember to mark the document indicating which question(s) they verify. We have included a "☐ Documents attached" button in each question for documentation, that you need to check once the documents are included in the audit submission.

- 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."

- Self-Assessors **do 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 AASP Reviewer.**

- Ensure the SECOR Employer Information Sheet is completely filled out, and signed off as required. The fields not applicable to a SECOR Self-Assessment will be highlighted in grey.

- SECOR Self-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. Self-Assessors internal to the employer should ignore these instructions, as they will not be assigning scores for the questions or conducting interviews.

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

<u>Tips for certified external auditors completing a SECOR audit</u>

- When the audit is completed by a certified external auditor 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 AASP. Notes for these questions, however, must fully explain what documents were reviews, as well as justify auditor findings and points awarded.

- 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 AASP reviewer.

- External auditors should assess a numeric score for each question and use the "Notes" field to justify the score awarded. The Audit Summary Score Sheet must be completed to reflect the scores awarded inside the audit document. The number of questions for each element is determined by counting each question or each part of the question (i.e. a/b/c in a question would count as 3 questions, there might be five questions in an element however if there is one question with multiple parts a/b/c the element would count as seven questions). These numbers are reflected in the score summary. The points available in each element are determined by the assignment of points for each question within that element.

- Guidelines are designed for the use of assessors internal to the employer. Auditors should use them to identify documentation they should be reviewing in order to score the audit questions. Special scoring instructions for external auditors are also included in the guidelines, where required, and must be followed. All questions awarded less than full points must have an SFI provided.

- SECOR audit reports conducted by a certified external auditor are subject to the same quality assurance requirements as a regular audit report.

- External Auditors need to submit a signed Code of Ethics, same as the regular audit.

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 and/or listing of responsibilities for each level of employee, job descriptions, employee contracts.
2.1	Inventory of job positions, and job/task inventories. Mobile/Stationary equipment lists.
2.2, 2.5	Completed hazard assessment forms, job observation checklists, job safety analysis. Equipment/vehicles/machinery hazard assessments.
2.3, 2.3, 2.4, 2.5	Procedure for rating hazards, hazard rating forms (blank and completed).
2.5	Policy and completed documents outlining the site specific hazard assessment process (field level). i.e. pre-job assessments
3.1	Completed hazard assessments and control forms identifying all types of controls, such as shut-down on equipment, job procedures, work practices, rules, job schedule or rotation of workers, training records. Examples of controls linked to both positional hazard assessments and equipment hazard assessments.
3.2	Provide examples of the controls being used at the work site (s). This question is about "implementation" of the identified controls noted in 3.1.
3.3	Provide a copy of the Maintenance Policy/ Preventative Maintenance schedule. Provide examples of maintenance records.
3.4	Provide a copy of the enforcement policy and any examples of how the policy has been used.
3.5	Provide a copy of the PPE policy that includes training requirements. Attach copies of training records indicating this training has been provided.
3.6	Provide a copy of or explain contracted services to your customers. Examples could be agreements/plans, pre-job permits, field level assessments.

QUESTIONS	DOCUMENTATION
4.1	Inspection Policy and process, includes inspection frequency for each level
4.2	Sample inspection forms, include a sample of all types of inspections required by the company policy
4.3	Provide examples of completed inspection forms for managers, supervisors and workers.
4.4	Attach examples of corrective actions; confirm deficiencies identified in the inspections have been corrected.
4.5	Reporting policy, sample report forms
5.1, 5.2, 5.3	Orientation policy /process, dated sample completed orientation checklists that include date of hire and date of orientation. Job specific training records.
5.4	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.
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, includes any type of emergency response record not just drills.
7.1	Incident reporting procedure
7.2	Training records
7.3, 7.4, 7.5, 7.6	Investigation procedure, report forms, investigation forms, sample of completed investigations identifying root cause and corrective action
8.1	Sample newsletters, sample safety meeting minutes, sample toolbox meeting minutes.
8.2	Provide examples of how statistics are maintained to identify trends and opportunities for improvement
8.4, 8.5	Provide a copy of the action plan from the last audit to verify actions completed.