Appendix B: Audit Framework

Effective: March 11, 2016

ADMINISTRATIVE GUIDELINES

Under WCB Policy 52.30, *SAFE Work Certified Program*, SAFE Work Manitoba may publish standards and procedures that are consistent with the policy to support the administration and operation of the SAFE Work Certified Program (SWCP), including:

- The standards and procedures contained in the Administrative Guidelines that accompany the policy;

- Standards and procedures to support quality assurance and dispute resolution; and

- Other standards and procedures as determined necessary by SAFE Work Manitoba to support and implement the SWCP.

The Standards and Guidelines contained in Appendix A of these Administrative Guidelines are published under this authority.

The Audit Framework contained in Appendix B of these Administrative Guidelines are published under this authority.

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Introduction

Manitoba's safety and health certification program, SAFE Work Certified, is designed to support employers and their workplaces in the development of strong safety and health management systems in order to reduce workplace injuries and illness, and promote a culture of safe work in Manitoba.

The SAFE Work Certified program accomplishes this by:

- establishing the safety criteria and measures for workplace safety and health systems (Safety Essentials and Measures), and
- Providing an avenue through which workplaces can demonstrate that they have met these safety requirements (Certification Audit Process).

The program recognizes employers and workplaces that achieve and maintain effective safety and health measures as being **SAFE Work Certified**.

Purpose of this Document

This document is an extension of the SAFE Work Certified Standards and Guidelines document. It provides the framework for a safety and health management system which may be SAFE Work Certified. As such, this document is intended to provide guidance towards the following:

1. The criteria that employers may follow to structure their safety and health management systems in preparation for safety and health certification,
2. The criteria which auditors will follow to audit safety and health management systems,

3. The framework upon which the SAFE Work Certified audit tool will be developed, and

4. The framework upon which certifying partner audit tools will be assessed for equivalency to SAFE Work Certified.

This document does not specify the specific verification points, scoring, or methodology of the audit, which will be captured in the SAFE Work Certified Audit Tool or an equivalent audit tool provided by a certifying partner. As well, this document is not intended to be used as an outline for a safety and health program or safety and health management system. Rather, it is intended to provide a framework for reviewing existing programs which may have a variety of formats or structures.

SAFE Work Certified Audit Framework

Workplace Safety and Health Legislation, Regulations and Standards

Manitoba has well-developed legislative and regulatory requirements for workplace safety and health programs. The SAFE Work Certified audit framework is founded on and consistent with these legal obligations, however obtaining safety and health certification does not mean an employer is in compliance. The employer of a workplace must identify the legislation (including local bylaws), standards, safety and health guidelines, codes of practice, or any other information that is relevant to the safe management of their workplace activities. This information must be used by employers in the development of their safety and health management systems and considered by the auditors when they are auditing an employer to obtain safety and health certification.

Safety and Health Management Systems - Continuous Improvement

The dynamic and progressive nature of a safety and health management system is what differentiates it from a static safety and health program. The **SAFE Work Certified Audit** is intended to support the development, evaluation and continuous improvement of a safety and health management system. The administration of a safety and health management system can be summarized as an ongoing process with four basic steps, *Plan-Do-Check-Act*.

Figure 1 - The Plan-Do-Check-Act Process for Continuous Improvement
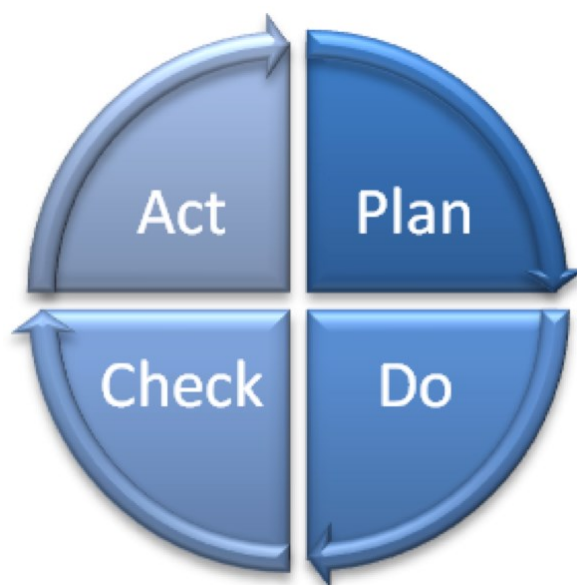
The *Plan-Do-Check-Act* system is a four-stage process for continuous improvement. It also assists in facilitating safety and health integration with all other business functions. The application of this process requires the involvement of every person within an

organization. This involvement includes collaborative efforts to identify problems and define objectives for improvement, implementing plans to accomplish stated objectives, reviewing outcomes, and developing solutions or making adjustments to address shortfalls. Specifically, this process will include such activities as:

1. *Plan*: Once a safety and health problem has been identified, a plan is developed to address the problem. Plans should be developed in accordance with legislation, regulations and industry best practices.
2. *Do*: Allocate the resources, personnel and equipment necessary to execute the plan. Provide any related training, instruction and supervision needed to ensure the plan's success. Communicate with all stakeholders to promote involvement.
3. *Check*: Measure and evaluate the effectiveness of the plan. This step involves studying actual results and comparing them against expected results.
4. *Act*: Respond to the evaluation of the plan's effectiveness by making any necessary adjustments.

Specific Industry and Workplace Standards

Every industry and workplace is unique and the SAFE Work Audit accommodates this diversity. The principles-based approach of each of the SAFE Work Certification elements allows a safety and health system to be customized to the specific needs of a workplace. This can include considerations for size, industry, location or other unique characteristics. The SAFE Work Certification audit provides the flexibility to evaluate these diverse safety and health management systems. In addition, SAFE Work Certification ensures worker input into both a safety and health management system and the audit.

Performance Based

Health and safety audits are intended to evaluate an employer's health and safety management system against a set of defined criteria. Such an audit can be either prescriptive or performance based in approach. A prescriptive audit defines specific content which is required to be included in the management system. A performance based audit defines outcomes that must be demonstrated as a result of the management system's activities. The SAFE Work Certification audit is intended to be a performance based audit.

Comprehensive health and safety audits involve document reviews, interviews and observation inspections. A SAFE Work certification audit will also be verified and evaluated through document reviews, interviews and observations.However, when conducting a SAFE Work certification audit an auditor will consider the defined outcomes of the SAFE Work Certified program as described in this framework. Utilizing the evaluation points provided in the audit instrument an auditor must determine whether the elements of an employer's health and safety management system meet the intent, and fulfill the principles, of each element as described in this framework.

SAFE Work Certified Audit Content

Essential Components

The SAFE Work Certified Program is based upon a safety and health management system with three essential components and their correlating measures. The essentials are:

1. Leadership Commitment
2. Hazard Identification and Risk Control
3. Worker Participation.

Figure 2 - Essential Components of the SAFE Work Certified Safety and Health Management System

The **Leadership Commitment** essential describes the employer's commitment and processes necessary for a successful health and safety management system. The **Hazard Identification and Control** essential describes the safety and health activities related to identifying, assessing and controlling hazards in the workplace. Finally, the **Worker Participation** essential describes the requirement to engage, involve and protect workers. This document describes the elements and principles that support these essentials.

Essential #1 - Leadership Commitment

Safety and health starts at the top and relies on leaders who have control and influence over their workplace and who commit to make safety and health a priority within the workplace. How an organization defines and communicates its safety and health goals and objectives, and demonstrates commitment to safety and health performance begins with, and is led by, a strong leadership team. An effective safety and health management system needs buy-in from leadership, a commitment to the program and a willingness to improve the workplace culture of safety.

A	Employer Commitment

Intent

The employer makes a commitment to workplace safety and health, which is formalized, resourced and integrated into business operations, and which includes worker participation.

Principles

The premise of this element is that the effectiveness of a successful health and safety management system is dependent upon the level of commitment of the ownership and senior management of the organization. In practical terms the degree of an employer's commitment is in direct relationship to their engagement in the system. An employer which is engaged will view health and safety beyond the duties they have under safety and health laws and as a significant component of their organization's operations. An engaged employer will demonstrate their commitment through such attributes as:

- Taking responsibility for the success of the system,
- Integrating safety and health into operational decisions,
- Actively managing safety activities rather than passively reacting to events, and
- Committing the resources needed for the success of the program.

Evaluation Criteria

- The employer has a safety and health policy signed by senior leadership, dated, current and posted in visible locations.
- The safety and health policy and commitment to safety and health is communicated to all workers.
- Safety and health is adequately resourced,
- Critical equipment is maintained or updated as required to ensure a safe and

healthy working environment.

- There are appropriate investments in training, equipment, personal protective equipment (PPE) and safeguarding.

- Staff are given time to conduct safety and health activities.,

- Safety and health is embedded into other management decisions and production processes as opposed to being an "add on". (For example, safety responsibilities may be included in job descriptions; purchasing and maintenance decisions consider safety and health; budgeting decisions include safety; corporate reporting and scorecards include the measurement of safety and health performance, etc.).

B	Evaluation and Continuous Improvement

Intent

There is a safety and health management system in place, with goals and measures, which is regularly reviewed for continuous improvement.

Principles

The administration of a safety and health management system can be summarized as a management cycle with the four basic steps of *Plan-Do-Check-Act*. The dynamic and progressive nature of this cycle is what differentiates a safety and health management system from a static safety and health program. Each step in this cycle requires the active participation of the management and leadership of an organization.

This ongoing improvement cycle will include the following management steps:

- ongoing evaluation of the system's performance
- meeting periodically to review the system
- periodic review of the safety and health system's elements
- setting objectives for future performance
- defining ongoing management and supervisory performance expectations
- determining the need for changes or for the continued use of existing system elements.

Evaluation Criteria

The effectiveness of a safety and health management system may be demonstrated in a number of ways:

- There is an active safety and health management system cycle, such as the *Plan-Do-Check-Act* process for defining safety and health objectives, implementing safety and health activities, measuring safety and health

performance, and reviewing safety and health results.

- The safety and health management system is documented and includes all of the aspects of a comprehensive program, is user-friendly and organized, captures all of the safety and health essentials, includes legislative requirements, and is current.

- The safety and health system is regularly evaluated for continuous improvement (scheduled and unscheduled).

- Management tracks and maintains safety and health measures (including leading and lagging indicators such as injuries and illnesses, training records, audit scores, and safety and health program activities) and shares this information with the workforce.

- Management has created and implemented an action plan to address recommendations and deficiencies identified in prior audits, inspections, or incidents.

C	Safety is Communicated and Demonstrated

Intent

The employer effectively communicates and demonstrates its commitment to workplace safety and health.

Principles

Communication is a critical link that joins the health and safety program with the people it is designed to serve. In any safety and health management system there is a fundamental obligation to communicate hazard and hazard mitigation information to workers. This will include specific communication requirements regarding signage, signals, barriers, or material safety data sheets (MSDS). It will also include more general practices such as meetings, training, education, or written procedures. An employer may also use safety and health promotional materials such as booklets, pamphlets, posters and newsletters.

An evaluation of communication and engagement will involve not only the technical quality of these different communication channels, but also whether the communication is effective. Evaluating the effectiveness of safety and health communications includes consideration of many factors, including:

- **individual communication needs (e.g., literacy, language, etc.)**
- **worker-to-worker communication (e.g., reporting incidents and hazards, looking out for each other) -**
- **supervisor communication (e.g., orientation, training, responding to concerns)**
- **quality of communication media (e.g., various formats and mediums, frequency, feedback loops, willingness and openness to communication)**
- **corporate communication (e.g., messaging, notification of changes, etc.).**

The success of a safety and health management system is also dependent upon the degree to which employers communicate a commitment to a safe and healthy workplace by demonstrating the values described in the program. Employers need to

lead by example.

Evaluation Criteria

Effective safety and health management system engagement may be demonstrated in a number of ways:

- Leaders demonstrate active involvement in safety and health through participating in internal and external safety activities:
    - Internal activities such as: safety and health events, huddles, inspections, investigations, or facility tours.
    - External safety and health activities may include being a member of a safety association, attending safety conferences or engaging in other safety and health related activities in the community.
- Leaders embrace leading practices such as adopting the Canadian Standards Association (CSA) standard for psychological health and safety in the workplace and the CSA standard for training,
- Senior leaders provide safety and health updates, progress reports to management and communicate with staff on safety information and values,
- There is communication feedback on investigation results, inspections, and any actions resulting from safety recommendation
- Two-way communications uses a variety of methods and channels that meet the needs of the workforce.

D	Roles and Responsibilities

Intent

Safety and health roles and responsibilities are clearly assigned, and all staff are held accountable.

Principles

Safety and health in the workplace is a shared responsibility. Everyone, including employers, supervisors, workers, contractors, committees and representatives and others needs to work together to prevent injury and illness. Everyone's input is critical to ensuring a well-functioning safety and health systems.

To this end, the employer must ensure that everyone in the workplace understands and carries out their safety and health roles and responsibilities consistent with the legal requirements and all other requirements of the workplace's specific safety and health program.

Evaluation Criteria

Accountability for roles and responsibilities may be demonstrated in a number of ways:

- Safety and health roles and responsibilities, training, qualifications and performance expectations are in writing (e.g., in job descriptions, policies, or a responsibility matrix).
- Management and staff have received training on the internal responsibility system.
- All levels of staff can demonstrate that they know and understand their roles and responsibilities.

> - All staff are held accountable for their safety and health performance and disciplinary action is taken where appropriate.
> - Safety and health rules, responsibilities, and consequences are documented and communicated.
> - There is staff assigned to support safety and health program activities that are supported by a senior manager.

Essential #2 - Hazard Identification and Risk Control

Every workplace has hazards that can result in injuries and illnesses. Hazard identification and risk control is the process of managing those hazards which have the potential to cause incidents, assessing the risks of these hazards and then developing corrective actions (controls) to eliminate or minimize those risks. All facets of work (e.g., jobs, equipment, machinery, worker activities or on-site conditions) and all types of hazards (e.g., physical, chemical, biological, environmental, psychological, psycho-social or musculoskeletal) need to be considered when identifying what can harm workers.

Hazards should be eliminated. Where hazards cannot be eliminated, the risks must be controlled to the greatest degree possible by following a hierarchy of controls: elimination, substitution, barriers, administrative practices and personal protective equipment. Once hazard controls are in place, they need to be communicated to all relevant persons through an appropriate method such as training, written safe work procedures, safety talks, or newsletters. Employers need to verify controls are understood, have been implemented and are working effectively. Inspections and

investigations are two safety management processes which help ensure controls are effective over time and that deficiencies have been addressed.

E	Hazard Identification, Assessment and Control

Intent
Workplace hazards have been identified, assessed and controlled.

Principles

Employers are responsible for identifying, assessing and controlling all foreseeable hazards associated with their operations and should involve all workplace parties, including the workers, in this process. A hazard is any factor which has the potential to cause an incident, injury or illness. Hazards take various forms, and may be physical, chemical, biological, environmental, psychological, psycho-social or musculoskeletal. Some hazards will be readily apparent while other hazards need to be identified through targeted safety and health activities. All identified hazards must be assessed to determine the level of risk which they present to staff. Risk refers to the likelihood that a hazard will cause an injury, illness or occupational disease; the severity of the injury or disease; and the frequency of exposure. Certain types of hazards are predetermined by regulation or industry standards to be high risk. Work involving high-risk hazards may not be carried out until the hazard has been controlled. A risk assessment must be conducted by a person knowledgeable and experienced in the work being done. If the work requires specialized training or certification, then the person conducting the risk assessment must have those qualifications.

All hazards that present a risk to staff must be controlled in order to eliminate or reduce the risk to an acceptable level. In order of preference, the control measures which must be considered are:

1. elimination of the hazard
2. substitution of a less hazardous process or material
3. engineering controls

| 4. administrative controls, and/or |
| 5. personal protective equipment (PPE). |

Evaluation Criteria

- The effective identification, assessment and control of hazards are the critical functions of a safety and health management system. An effective hazard management system should use a comprehensive approach to identify hazards and should apply that approach to all aspects of the work being done.

- Hazards should be identified with consideration to:
  - the type of hazard (e.g., physical, chemical, biological, environmental, psychological, psycho-social or musculoskeletal) and,
  - all regulatory requirements (e.g., confined spaces, lock out, working at heights, working alone, workplace harassment, violence, WHMIS/GHS, etc.).

- Hazards should be identified using multiple methods (e.g., inspections, first aid records, joint committee input, air quality assessments, staff input, etc.).

- Risks should be assessed and prioritized. Corrective actions must be taken in a timely manner and according to risk.

- Hazards should be eliminated and risk controlled using the hierarchy of controls.

- Where work requires specialized training or certification, the person conducting the hazard assessment and developing the risk controls should have those qualifications.

- The hazard identification and control process should include worker input and a system to verify that hazard controls remain effective over time.

F	Emergency Management
Intent	
There is a system to manage potential emergencies in the workplace.	
Principles	

The safety and health management system must address the fact that the physical location and operations of workplaces may present a possibility for emergency events, which may put staff and visitors at risk. An emergency risk assessment should be conducted for all worksites to identify such potential emergencies. Emergency procedures should then be developed for any potential emergencies which may put staff at risk. In practice, all sites must have fire emergency and first aid procedures.

A site emergency risk assessment should be conducted upon beginning operations and reviewed at least annually thereafter. When conducting the risk assessment potential emergencies may be identified based upon staff input, past history or recent events, input from public safety authorities, or input from subject matter specialists. Consideration should also be given to any neighbouring businesses with inherent hazards, which may impact nearby worksites. Based upon the risk assessment, procedures should be developed to manage those emergencies for which there is an identified risk. Once developed, emergency plans should be communicated to all affected persons, practiced on a regular basis, and reviewed at least annually.

Evaluation Criteria

- The employer must have completed a risk assessment to determine potential emergencies and prioritize those that need to be addressed.
- The employer must have an emergency plan that, at a minimum, addresses fire

and medical emergencies.

- Where appropriate, the emergency response plan should include:

    - communication procedures

    - signage

    - emergency contacts

    - resources

    - equipment and equipment maintenance

    - roles and responsibilities

    - evacuation plans, and

    - rescue plans.

- The plans or procedures to address medical emergencies should, at a minimum, meet the regulatory workplace first aid standard.

- All staff should be aware of their responsibilities in the emergency response plan and those with specific roles must be trained appropriately.

- Emergency drills should be conducted at least annually or according to regulatory standards or best practices.

- Deficiencies identified during drills should be identified and corrective measures taken.

- All buildings used as workplaces should have a fire safety plan.

G	Contracted Workers and Other People in the Workplace
Intent	
There is a system to ensure the safety and health of contracted workers, service providers and other people in the workplace.	
Principles	

This element relates to two distinct workplace groups: contracted workers, who are integral to the employer's work processes, and other persons who are present in the workplace as customers, clients or visitors. If they are present, the safety and health management system must address these two groups based upon the following principles.

For the purpose of the safety and health management system, the management of contracted workers has three distinct stages: selection, training, and supervision. The initial selection of a contracted worker should involve consideration as to their past safety and health performance. This may be evaluated based on work history, their safety and health record and whether they are safety and health certified. Once hired, an employer has much the same responsibilities to a contracted worker that they have towards their own staff. Contracted workers must receive a workplace safety and health orientation and receive workplace-specific training relative to their role. Once a contracted worker is in the workplace, the employer must supervise their activities to ensure that they follow worksite safety and health rules and expectations. A contracted worker must also participate in all workplace safety and health activities, such as the joint occupational health and safety committee.

Other People

Other people in the workplace may refer to persons who are present in the workplace, but either do not have a role related to the work or have a transitory role. An employer has a duty of care for the well-being of such people, and that duty of care will vary depending on their relationship with the employer. Examples of such relationships might be customers at a retail business who have come into the workplace to purchase items, students at a school or college who are in the workplace to learn, or patients at a medical facility who are in the workplace for treatment. In some situations, the person entering the workplace may also present a hazard. A person entering a late night retail outlet may be there to commit a robbery, or a patient at an extended care facility may present a lifting hazard to the staff.

For the purpose of the safety and health management system the duty of care for other people must be appropriate to their dependence on the employer. To some extent, these responsibilities will be defined under relevant safety and health standards such as public health or fire safety regulations. The relative hazard that other people in the workplace may present must be evaluated under the Hazard Identification, Assessment and Control element.

Evaluation Criteria

This element relates to two distinct workplace groups: contracted workers, who are integral to the employer's work processes, and other people who are present in the workplace such as volunteers, consultants, clients or visitors. The safety and health management system must address these two groups following different principles:

- There should be safety and health criteria for the evaluation and selection of contracted workers.
- The employer should have a system to ensure contracted workers are made

aware of the hazards of the workplace through a formal orientation, monitoring and reporting process.

- There should be evidence that contracted worker safety and health activities are monitored and that they are included in safety and health communication activities.

- If the employer is a prime contractor, they should fulfil the co-ordinating role of a prime contractor for the worksite.

- Workers should be made aware of the potential hazards that contracted workers bring to the workplace.

- There is a system to identify risks to, and ensure the safety and health of, volunteers, consultants, client, customers or visitors.

H	
	Safety and Health Training and Orientation

Intent

Employers ensure that workers are properly oriented to safety and health when they start or change their job, and that workers have the training and competency to perform their jobs in a healthy and safe manner.

Principles

Providing workers with information about the hazards of their work and how to do their work safely is a fundamental process within the safety and health management system. Training and orientation are the initial processes by which information about workplace hazards and workplace safety and health are communicated to workers.

Upon hiring, transferring from another location, or returning from an extended layoff, staff should receive a general safety and health orientation prior to beginning work. Each employee should also receive the training necessary to ensure they understand the hazards of their specific job and how to perform their work safely. This requires an individual training program that addresses an employee's specific job duties, tasks and work environment. An employee's ongoing training should also ensure that when job duties change, their safety and health skills and knowledge are kept current with the nature of their work.

To be effective, training should be provided in a manner that is appropriate to the subject matter and the learner. Training should be delivered by a competent person in such a manner that it is understood by the learner. Effective training should also include some method of verifying that the learner has actually understood the training material and is able to apply it correctly.

Evaluation
- New workers should receive an orientation before starting their jobs, which meets the content required by workplace safety and health regulations.   - Workers should be provided with general and job specific safety and health training by a competent person.   - Workers are provided with additional safety and health training when there are changes in work processes, equipment, or changes to safety and health regulations.   - A system should be in place to ensure that all workers receive information and training on workplace responsibilities, as well as on general and specific workplace hazards.   - Training should be documented through orientation forms, checklists, handbooks, manuals, tests, or databases.   - Workers should be evaluated through tests or observations to ensure that safety and health information provided in training has been retained and understood.

I	Inspections

Intent

Workplaces, processes, vehicles, mobile equipment, tools and equipment are inspected to identify hazards, address deficiencies and prevent the development of unsafe or unhealthy conditions.

Principles

The safety and health management system must include processes to ensure regular inspections of all facets of workplaces, including but not limited to buildings, structures, grounds, tools, equipment, machinery, work methods and practices, at intervals that will prevent the development of unsafe or unhealthy working conditions. This will involve a formalized and documented program including, but not limited to:

- scheduled inspection of the overall workplace
- inspection of vehicles prior to use
- inspection of mobile equipment prior to use
- scheduled maintenance inspections of vehicles and mobile equipment.

This will also include a less formal program for the pre-use inspection of tools and equipment that may malfunction or fail, resulting in incident or injury. Both the formal and informal programs must be supported by a process for recording deficiencies identified through inspections and a means of ensuring that the deficiencies are corrected.

Evaluation Criteria

- A regular inspection program should ensure that risk control measures are in place and effectively protecting workers from injuries and illness, and identify potential hazards that have not yet been assessed.
- Those conducting inspections should be properly trained in how to conduct the

inspections and followup on the inspection results.

- There should be a provision for both formal and informal inspections, which are routinely conducted with safety and health committee or worker representative involvement.

- Deficiencies identified in inspections are brought to the attention of the people or departments responsible for their correction.

- Corrective actions should be prioritized according to the level of risk.

- There should be a process to track deficiencies and corrective actions.

J	Incident Reporting and Investigation

Intent

Work-related incidents are reported and investigated, and actions are taken to address deficiencies.

Principles

Incident reporting and incident investigating are among the most critical components of a safety and health management system. Incidents are an immediate indication of a failure in the hazard management process and provide an opportunity to correct that failure and prevent a recurrence of similar incidents. An effective incident reporting and investigation element in a safety and health management system should include the following steps:

- ensure employees report all workplace incidents
- ensure serious incidents are followed up on and investigated
- ensure hazardous conditions identified in incident investigations are managed, and
- ensure critical incidents are reported to regulatory agencies and to other third parties.

Evaluation Criteria

- There should be an effective incident reporting system that ensures employees report all workplace incidents (including near miss incidents), and that incidents are reported to regulatory agencies and to other third parties (e.g., the WCB, disability providers, or automotive insurers).

- Investigations into the circumstances of workplace incidents must be completed to:
  - determine root causes, and ensure that uncontrolled risks are brought

under control

- o prevent the recurrence of similar incidents, and

- o determine if training or changes in control methods (such as procedures and personal protective equipment) are required.

- All incidents should be investigated as soon as possible once the injured worker has been cared for and potential hazards to investigators have been controlled.

- A standard investigation form should be used to gather all necessary information in an organized format.

- Deficiencies identified in investigations should be brought to the attention of the persons or departments that are responsible for their correction.

- Corrective actions arising out of incident investigations should be prioritized according to their level of risk.

- The lessons learned from incident investigations should be communicated to staff.

- There should be clear processes, roles and responsibilities for reporting hazards and incidents.

- There should be clear processes, roles and responsibilities for assigning and ensuring corrective actions.

- There should be a process to track identified deficiencies and corrective actions.

Essential #3 - Worker Participation

Worker participation in workplace safety and health is essential to an effective safety and health program. Workers need to have an active role and an empowered voice to work together with co-workers and managers in making meaningful safety and health improvements. Real worker participation relies on open dialogue where worker input into safety and health is not only valued, but is encouraged and welcomed. Workers should know that their personal safety and health, and the safety and health of all workers is a priority. Unions in the workplace have a role in supporting worker participation.

K	
Worker Rights and Responsibilities	

Intent
Workers understand and are engaged in carrying out their rights and responsibilities.

Principles

The safety and health management system must include processes to ensure that workers are aware of their rights and responsibilities, usually through training and communication programs. There must also be processes to allow for their application, such as complaint and dispute resolution procedures.

The system must incorporate the principle that all workers have the following basic rights with regard to their personal safety and health at work:

- **The right to know** of all hazards related to their work and the means to protect themselves from those hazards.
- **The right to refuse unsafe work** if they feel that it will put them or their coworkers at risk.
- **The right to participate** in the company's safety and health program activities, including the joint occupational health and safety committee.
- **The right to protection from discriminatory action**.

As well, the system must incorporate the principle that all workers have the following basic responsibilities with regard to their personal safety and health at work:

- The responsibility to report hazards to their supervisors.
- The responsibility to report incidents to their supervisor or to an occupational first aid attendant.
- The responsibility to follow established safe work practices, procedures and

rules.
• The responsibility to wear personal protective equipment and use the correct tools for the job.
• The responsibility to not engage in work that may harm themselves or others.

Evaluation Criteria
Worker rights and responsibilities must be integrated into all aspects of the safety and health management system and will be evident in such activities as: • Workers should be trained to ensure they understand their rights and responsibilities. • Workers should participate in safety and health activities including, but not limited to, inspections, investigations, safety and health policy review, joint committees and the development of safe work procedures and other hazard identification and risk controls. • Workers should have information and input into all aspects of safety and health programs, including program evaluation, audits and audit action plans. • Workers should know what can harm them, how to stay safe and be working safely. • Workers should be encouraged to and actively engaged in reporting safety and health concerns, hazards and unsafe working conditions, and refusing work that they believe to be unsafe for themselves or someone else in the workplace. • Workers should NOT be subjected to, or fearful of real or perceived discriminatory action.

L	Joint Occupational Safety and Health Committees and Worker Representatives

Intent

There is an active and effective joint occupational safety and health committee or worker representative.

Principles

A joint occupational safety and health committee should contribute to creating a safe workplace that is free of hazards through the following activities:

- holding regular committee meetings to review workplace safety
- participating in worksite inspections
- participating in incident investigations
- participating in risk assessments
- making suggestions as to how to improve workplace safety and health
- participating in the resolution of safety and health concerns
- participating in the resolution of work refusals, and
- participating in audits.

The establishment and activities of a joint occupational safety and health committee is governed by occupational health and safety legislation. However, in general, the committee's membership, activities and administration will have the following characteristics:

- It is the responsibility of the employer to ensure the establishment of, and provide the availability of premises, resources and personnel for the effective operation of the committee.
- The joint occupational safety and health committee will be properly constituted, having members representing both management and workers.

- The committee will be led by two alternating co-chairpersons, one chosen by the employer members and the other chosen by the worker members on the committee.

- The joint occupational safety and health committee will establish terms of reference pertaining to the administration and operation of the committee.

- Each joint committee member is entitled to be informed of their responsibilities and receive training in relation to their role on the joint committee.

- Committee members attending related training or performing committee duties are entitled to receive their regular pay and benefits.

- The committee must keep accurate records of all matters that come before it, as well as minutes of all meetings.

Worker Representatives

A worker safety and health representative is required to be designated for each workplace that does not meet the general provisions to establish a joint occupational safety and health committee. Considerations for a worker representative include:

- A worker representative performs all of the same duties as set out for the workplace safety and health committee.

- Worker representatives are selected by the workers they represent, not by the employer.

- A worker representative is entitled to the same training and support in their role as a workplace safety and health committee member.

- A worker representative is entitled to be compensated for attending training or performing other activities required to fulfill their responsibilities.

Evaluation Criteria

As per the relevant to the above and all regulatory standard.

M	Protecting Vulnerable Workers

Intent

There should be specific protections for vulnerable workers and provisions for their inclusion in safety and health programs.

Principles

Some workers are at greater risk for workplace injury and illness due to a mix of individual and workplace factors. Some workers generally lack the power to alter those conditions. These factors and conditions include, but are not limited to, newness (to job, work, country, etc.) precarious work (casual, temporary work, low wages, etc.), language and socio-cultural barriers, high turnover / high-risk industry, disabilities (physical, mental, cognitive, etc.).

To protect vulnerable workers the safety and health management system should include the following:

1. awareness of the needs of vulnerable workers
2. a system to develop support processes appropriate to the characteristics of the vulnerable worker, and
3. a means of evaluating whether the support processes are effective.

Evaluation Criteria

The employer should be aware of the factors and conditions that leave some workers at greater risk for injury and how to minimize the impact of these.

The safety and health management system should recognize and address the specific needs of vulnerable workers, and should ensure that vulnerable workers receive the support they require.

There should be broad methods to address vulnerabilities, such as considerations for literacy and language in training, programs, culturally appropriate communications, peer

mentorship programs, accommodation programming, open and healthy two-way communication, etc.

N	**Safety Climate**

Intent
Workers should have confidence in the safety and health of their work and workplace. Worker perceptions should be considered in managing safety and health.
Principles
Worker perceptions are a helpful tool to examine how well a safety and health system is functioning, or not functioning. Safety climate can help to identify gaps in the safety and health system and opportunities for improvement. Understanding attitudes of workers and their perception of the employer's commitment to safety and health can reveal information that may not be readily assessed through documentation or observation.

Safety climate can be used as a tool along with all other audit elements to assess where a workplace sits on the culture of safety and health spectrum:

- Reactive: safety and health programming driven by responses to incidents.
- Calculative: safety and health programming driven to manage hazards.
- Proactive: safety and health programming driven by leaders and values to drive continuous improvements.
- Generative: safety and health programming fully integrated as a priority into all aspects of business.

(Adapted from: www.energyinst.org/heartsandminds)

Evaluation Criteria
Where workplaces have used safety climate assessments (such as surveys, focus groups, etc.) the independent auditor will consider these results in light of: • participation • confidentiality • corrective actions • feedback loop to workers. Where the workplace is NOT using safety climate assessments, the independent auditor should include questions extracted from the 11-point safety climate questionnaire (developed by Prairie Research Associates for SAFE Work Manitoba) and compare these responses to the overall findings of the audit. Where there are negative responses or responses that are inconsistent with overall audit findings, the auditor will provide a recommendation to improve safety climate. The independent auditor should make comment on the overall climate of the workplace relative to where it sits on the culture of safety and health spectrum.

Appendix 1 - Worker Interview Questions

Workers should be interviewed from all operational departments within an organization, but with a particular emphasis on those departments that are engaged in high-risk work. When selecting workers to be interviewed, every opportunity should be taken to interview those workers who are new to the workplace or who are identified as vulnerable.

1. What can hurt you or make you ill in this workplace? How are you protected from being hurt? How do you stay safe?
   a. Is there machinery/equipment or to keep you safe?
   b. Tell me about some of your safe work procedures? Were you involved in developing these?
   c. What type of personal protective equipment do you need and how is this provided?
   d. What types of inspections do you do for your work/work-site?
   (As necessary, ask specifically about chemicals, musculoskeletal injuries, other workers/contractors, and other pertinent hazards present in the workplace.)
2. Tell me about the orientation you had. (Only for those hired in the past year.)
3. Tell me about the training you had for safety and health. What was it about, who provided it, when, followup, mentoring, and how did the trainer ensure that you understood the training?
4. Does your supervisor talk to you about safety and health? About what, when, tool box talks, or coaching sessions?

5. What type of emergencies can occur here? What are you required to do in an emergency? Tell me about the last drill you had. Was there any debrief or followup?

6. What happens if you or someone else gets hurt or has a medical emergency? Describe what would happen.

7. What incidents get reported and how? What happens?

8. Do you have a joint health and safety committee? Who is on the committee and/or where can you find out who is on the committee or what the meetings are about? Can you provide an example of an issue they have dealt with? What were the results of this?

9. Tell me about your responsibilities for safety and health.

10. Can you provide an example of three company safety and health rules?

11. What do you do if you have a safety and health concern or suggestion? What happens when you report a concern?

12. Tell me about your right to refuse unsafe work.

13. Is safety and health as important as quality of work and getting the work done on time?

14. In your opinion is this workplace committed to safety and health? Is it a priority? How do you know this?

15. Do you have any recommendations to improve safety and health here?

Appendix 2 - Supervisor and Manager Interview Questions

Managers and supervisors from all operational areas should be interviewed, but with a particular emphasis on areas whose operations involve high-risk activities.

1. What are your responsibilities regarding the safety and health of the employees who report to you?
2. What are the responsibilities of your staff?
3. How do you identify and manage hazards (including occupational health) in the areas that you are responsible for?
4. How are you involved in workplace safety and health inspections?
5. How does staff report hazards or safety and health concerns to you?
6. How do you manage hazards or safety and health concerns that are reported to you? Provide an example.
7. Explain how and when you meet with your staff.
8. How do you ensure that your staff have been properly trained and oriented for their job?
9. Tell me about how and when staff report incidents to you. Provide an example.
10. Explain what happens when there is an incident or workplace injury or illness, with reporting, with investigating. Provide examples.
11. Do you review the minutes of the joint health and safety committee?
12. Do you act on the items identified in the committee minutes? Provide examples.
13. Do you hire contractors?
    a. How do you evaluate contractors when hiring them?
    b. How do you orient and manage contractors when they start working on your site?

      c. Provide an example.

14. How do you evaluate the safety performance of your staff?

      a. Discipline?

      b. Provide examples.

15. How is your safety and health performance evaluated?

Appendix 3 - JHS Committee or Worker Representative Interview Questions

Joint health and safety committee members or worker representatives will usually be interviewed in the context of their primary role as a worker, supervisor or manager. In that regard, the joint health and safety committee or worker representative interview questions will replace the questions on those topics within worker, manager and supervisor interviews. For efficiency, and to cross reference interview subject matter, as much as possible any managers, supervisors, or workers who are members of a joint health and safety committee, and available during the audit, should be interviewed.

1. Tell me about the committee.
    a. Who is on the committee and how often, where and when do you meet? Are there alternates?
    b. What is your role? Have you or other members been trained?
    c. Tell me about your terms of reference.
2. Tell me about inspections? When are they done, how are they done, who does them, have you been trained in inspections, who follows up, and when? Give examples.
3. Tell me about incident reporting? Are committee members informed of incidents and illnesses? Do committee members conduct investigations? Are they trained to conduct investigations?
4. How is leadership involved in the committee? How do they respond to committee recommendations?
5. What are some of the issues the committee is currently dealing with?
6. In your opinion, what is the commitment to safety and health in the workplace? From leadership? From workers?

7. Is the committee effective? Why or why not? What would help the committee be more effective?

8. How did you end up on the committee and how do you ensure everyone's voices and concerns are heard?

Appendix 4 - Senior Manager Interviews

Interviews with the senior management of an organization, by necessity, are much less structured than the other interview components of the safety and health management system audit. The intent of senior management interviews is to evaluate the *Leadership Essential*, and in particular the elements related to commitment, the safety and health management system, and roles and responsibilities. In keeping with the intent of this essential, the interview should be with the most senior person of the organization who has a strategic role regarding safety and health, and who is accessible during the audit.

The senior manager may hold the position of owner, president, chief executive officer, vice-president or operations manager. The role of the senior manager, and their role within the safety and health management system, will be dependent on the nature of the organization, which may be a sole proprietorship, a privately owned company, a public company or a public sector organization.

The initial stage of the interview should establish the general points listed above and should then move to an overview of the organization's business cycle. If the organization has a strategic plan, annual statement, or business plan, these can be used to frame this discussion. Within this context the auditor should move the discussion towards the senior manager's perception of the strategic considerations of workplace safety and health and the importance of safety and health to the organization.

Ideally, the senior manager should be able to frame these considerations within a broad strategic context such as good corporate citizenship, enterprise risk management or competitive advantage. Operationally, these strategic goals should be articulated as short- and long-term goals, performance expectations for the organization and performance expectations for management staff.

Appendix 5 - Safety Climate Questionnaire

Please read through this list of statements and, for each one, indicate your level of agreement on a scale of 1 to 5, where 1 means you strongly disagree and 5 means you strongly agree. In each case, please think about how each statement applies to your workplace.

	Statement	Strongly Disagree 1	2	3	4	Strongly Agree 5
1.	In my organization, safety is as important as quality of the work and getting the work done on time.	☐	☐	☐	☐	☐
2.	The safety of workers is a high priority for my organization.	☐	☐	☐	☐	☐
3.	Formal safety inspections are regularly conducted in my workplace.	☐	☐	☐	☐	☐
4.	There are frequent communications about safety in my workplace.	☐	☐	☐	☐	☐
5.	Workers are regularly asked about their safety concerns.	☐	☐	☐	☐	☐
6.	Workers are involved in decisions affecting their safety.	☐	☐	☐	☐	☐
7.	New employees at my organization learn quickly that they are expected to follow safety rules.	☐	☐	☐	☐	☐
8.	My workplace has a safety committee that is effective at improving safety.	☐	☐	☐	☐	☐
9.	Safety is given priority in training programs.	☐	☐	☐	☐	☐
10.	At my workplace, there are rules and procedures about how to work safely.	☐	☐	☐	☐	☐
11.	In my workplace, everyone has the tools and equipment they need to do their job safely.	☐	☐	☐	☐	☐

12. Which of the following best describes your role within your organization?

Worker .... ☐
That is, those who do not oversee others; this may include skilled trades, labourers, administrative staff, clerks, etc. without supervisory responsibility.

Supervisory/middle management .... ☐
That is, those who oversee other staff or have responsibilities for assignment duties, including team leaders and supervisors.

Senior management .... ☐
That is, organization decision makers, including the president, CEO, VP and owners.

13. To which one of the following age groups do you belong?
      18 to 24   ☐
      25 to 39   ☐
      40 to 54   ☐
      55 or older   ☐

14. For about how many years have you worked for this organization?
      1 to 2 years   ☐
      3 to 5 years   ☐
      6 to 10 years   ☐
      11 to 20 years   ☐
      Over 20 years   ☐

15. What language do you speak most often at home?
      English   ☐
      Other (please specify) _____ ☐

Thank you for your time!