



SAFE Work Certification Guidelines for Individually Assessed Employers

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1 Introduction

Employers in assessment classes B, C, and D are collectively known as Individually Assessed Employers. Class B consists of four major transportation companies (CN, CP, Air Canada and VIA Rail) and the subsidiaries of these companies. Class C consists of the Province of Manitoba and provincial government agencies. Class D is the City of Winnipeg.

Unlike Class E Employers, which pay assessments into a collective costs pool to cover the claim costs of all Class E Employers, Individually Assessed Employers pay the costs of claims made by their workers as they arise. They also pay administrative fees to the WCB for managing those claims.

Not only do Individually Assessed Employers pay their assessments differently than Class E Employers, but they are also subject to a different SAFE Work Certification process.

To become SAFE Work Certified, Individually Assessed must:

- develop a certification plan;
- obtain content review from a specialized committee (the Individually Assessed Committee or IAC) comprised of representatives from Individually Assessed Employers, the Manitoba Federation of Labour (MFL), the Manitoba Government & General Employees Union (MGEU), the Canadian Union of Public Employees (CUPE) and SAFE Work Manitoba;
- obtain content approval from SAFE Work Manitoba; and
- implement the plan.

The required content of an individually assessed employer's certification plan depends on whether it:

1. chooses to align with an existing Certifying Partner (CP) to obtain certification; or
2. seeks certification independently of existing CPs.

These guidelines provide further detail on the process that Individually Assessed Employers follow to become SAFE Work Certified, including the required contents of their certification plans.



2 Overview of Certification Process

- 2.1. The individually assessed employer completes a certification plan and presents it to the IAC for review.
- 2.2. The IAC evaluates the contents of the plan, and makes recommendations for change, if necessary.
- 2.3. The individually assessed employer amends the plan in accordance with IAC recommendations.
- 2.4. The IAC notifies SAFE Work Manitoba that it recommends approval of the plan.
- 2.5. SAFE Work Manitoba reviews the plan.
- 2.6. If the plan meets the necessary criteria for approval, SAFE Work Manitoba issues an approval letter to employer.
- 2.7. If all criteria for approval have not been met, SAFE Work Manitoba works with with the IAC and the individually assessed employer to address the plan's deficiencies.
- 2.8. Once the deficiencies are remedied, SAFE Work Manitoba issues an approval letter to the individually assessed employer.
- 2.9. The individually assessed employer implements all the components of the approved certification plan, including completing safety audits by SAFE Work Certified auditors.
- 2.10. Once it has verified that all components of the plan have been implemented, SAFE Work Manitoba recognizes the individually assessed employer as SAFE Work Certified.



3 Roles and Responsibilities

3.1 Individually Assessed Employers

Individually Assessed Employers:

- develop certification plans that describe how they intend to certify their operations;
- present their completed plans to the IAC for review;
- amend their plans in accordance with any IAC recommendations;
- submit their plans to SAFE Work Manitoba for approval;
- obtain formal letters of approval from SAFE Work Manitoba prior to plan implementation; and
- implement their certification plans.

3.2 Individually Assessed Employers Committee (IAC)

The IAC:

- works with Individually Assessed Employers to develop certification plans;
- reviews those plans;
- makes recommendations for change to certification plans, if necessary; and
- once satisfied that a plan meets the necessary criteria, forwards the plan to SAFE Work Manitoba, recommending approval.

The IAC does not provide SAFE Work Certified training or auditing services, nor is it authorized to issue SAFE Work Certification. The committee's role is to guide the development of certification plans until satisfied that they meet the necessary criteria for approval.

3.3 SAFE Work Manitoba

SAFE Work Manitoba:

- works with the IAC and Individually Assessed Employers to remedy any deficiencies in Individually Assessed Employers certification plans;
- approves certification plans once those deficiencies are remedied;



- verifies that the all aspects of the certification plan have been implemented; and
- provides SAFE Work certification.

SAFE Work Manitoba also supports the IAC by providing oversight, participating in meetings, facilitating auditor selection for employers who choose to independently pursue certification. and formally approving certification plans recommended by IAC.

3.4 SAFE Work Certified Auditors

SAFE Work Certified Auditors are specially trained individuals, who have been accredited and approved to conduct safety and health audits on behalf of CP's and SAFE Work Manitoba. They must not work for the employer being audited.

SAFE Work Certified Auditors :

- conduct certification and re-certification audits of Individually Assessed Employers, using the appropriate audit tool(s);
- review the scope of the audit with the CP(s) and/or SAFE Work Manitoba and the employer to make sure it is appropriate for the employer's current business operations before conducting an audit.
- submit an audit report to the CP(s) and/or SAFE Work Manitoba and the employer. See Process for Conducting a SAFE Work Certified audit on the SAFE Manitoba website.
- maintain their SAFE Work Certified auditor accreditation.
- refrain from conducting subsequent certification/re-certification audits for the same employer.
- comply with all responsibilities as outlined in section 4.5 (SAFE Work Certified Auditors) and 4.7 (Responsibilities for all Auditors) of the SAFE Work Certified Standards and Procedures.

4 Paths to Certification

As stated previously, Individually Assessed Employers can choose one of two paths to achieve certification: they can align with one or more existing certifying partners; or they seek



certification independently. Whether an employer chooses to pursue independent certification or to align with CPs, their certification plan must be reviewed by the IAC and approved by SAFE Work Manitoba.

4.1 Alignment with existing Certifying Partner(s)

Individually Assessed Employers may propose to align with one or more existing certifying partners.

4.1.1 Certification Plan Requirements

If an employer proposes to align with existing CPs, their certification plan must address the elements outlined below.

- 4.1.1.1. Organizational structure, roles and responsibilities:** The employer must provide an organizational chart. The chart must outline the employer's reporting structure, as well as what roles and responsibilities various employees or branches of the organization will have in the SAFE Work Certified program (i.e., participation in required certification training, auditing).
- 4.1.1.2. Listing of departments/divisions/branches:** The employer must provide the name and address of all physical work locations under the employer's control. It must also list all the departments/divisions/and branches within its organization.
- 4.1.1.3. Certifying partner alignment:** The employer must provide the name(s) of the certifying partner(s) it proposes to align with, along with a rationale for aligning with these partner(s). Because most Individually Assessed Employers carry out more than one business activity, the employer may propose different certifying partners for different departments/divisions/branches within the organization. The proposed alignment for each department/division/branch should be also listed in the employer's certification schedule (see *Appendix A*) . If an employer proposes to exclude a particular department/division/branch from certification, it must provide a rationale for doing so in its certification plan.
- 4.1.1.4. Anticipated Certification Dates:** Because different departments/divisions/branches within the employer's organization may be aligned with different certifying partners, they may also be audited by different



auditors. There may also be a different anticipated date of completion for each audit. Completion of a successful audit is a prerequisite to certification. SAFE Work Manitoba will not recognize or provide SAFE Work Certification to Individually Assessed Employers until all departments/divisions/branches listed in the certification schedule, which have not been excluded from certification, have been successfully audited. Employers must advise their certifying partner(s) and SAFE Work Manitoba once all departments/divisions/branches listed in the certification schedule, which have not been excluded from certification, have completed a successful audit. The anticipated audit date for each department/division/branch within the employer's organization should also be identified in the certification schedule (see *Appendix A*).

4.1.1.5. Key Contacts: The plan must contain a list of a person or persons within each departmental/division/branch who can be contacted to assist in arranging the audit. These key contacts are responsible for preparing required documentation necessary for the audit, accompanying the auditor on site, and scheduling interviews.

4.1.2 Process for certification

Once SAFE Work Manitoba has approved the certification plan, the employer must follow the certifying partner(s)' process(es) for certification, which includes the following activities (please contact the certifying partner(s) for additional details):

- 4.1.2.1. Complete required training for management and worker representatives.
- 4.1.2.2. Participate in a safety and health management system gap analysis (recommended).
- 4.1.2.3. Apply for a certification audit.
- 4.1.2.4. Participate in a certification audit.
- 4.1.2.5. Prepare and submit an audit action plan.
- 4.1.2.6. Complete an annual maintenance audit.



4.2 Independent Certification

An employer may propose to pursue certification independent of existing CPs.

4.2.1 Certification Plan Requirements

An employer who pursues certification independently must provide a certification plan that explains how each of the basic elements of certification (see section 4.1.2 above) will be met.

The employer must outline how required training for management and worker representatives will be completed. It must also participate in a safety and health management system gap analysis. Employers pursuing independent certification must also participate in certification audits, prepare and submit audit action plans, and complete annual maintenance audits.

In addition, the certification plan must identify the method that will be used to meet these requirements. Some of this information can be provided in a certification schedule. A sample schedule, *Individually Assessed Certification Schedule - Independent (not aligning to a certifying partner)*, is provided in *Appendix B* for reference. A similar schedule should be included with the certification plan.

4.2.1.1. Certification training requirements. In order to obtain SAFE Work Certification, manager and worker representatives working for the employer must receive appropriate safety training. The certification plan must identify how this training will be achieved. Employers can choose one of two methods to meet the training requirements:

- Develop internal training programs and submit them to SAFE Work Manitoba for approval.
- Complete the required training through an approved certifying partner.

Different departments/divisions/branches within the employer's organization may use different methods to meet certification training requirements (see *Appendix B* for reference).

4.2.1.2. Safety and health management system gap analysis (required). The certification plan must identify how each department/division/branch within the



employer's organization employer will complete a gap analysis. The employer may conduct a gap analysis in one of two ways:

- Conduct an internal gap analysis.
- Hire a SAFE Work Certified auditor to perform the gap analysis.

As is the case with certification training requirements, not all departments/divisions/branches within an employer's organization must use the same method to perform a gap analysis; however, in each case, a gap analysis must be performed.

4.2.1.3. Audit Tools The certification plan must identify the audit tool that will be used by each department/division/branch within the employer's organization (see *Appendix B* for reference). Audit tools are provided by the CP or SAFE Work Manitoba.

4.2.1.4. Certification audit(s). The employer must complete a SAFE Work Certified audit. For large organizations a number of separate audits may be undertaken, as identified in the Certification Plan. Any costs will be the responsibility of the employer.

4.2.2 Process for certification

Once SAFE Work has approved the certification plan, the employer must follow the process below and complete all components identified in their certification plan to obtain certification:

4.2.2.1. Ensure management and worker representatives have completed the training required to obtain certification.

4.2.2.2. Participate in a safety and health management system gap analysis (required).

4.2.2.3. Provide results of the gap analysis or analyses to SAFE Work Manitoba. All gap analysis results must be reviewed by SAFE Work Manitoba prior to requesting a certification audit.

4.2.2.4. Apply for certification audit(s). The audit application(s) must reflect the certification audit method indicated in the approved certification plan. SAFE



Work Manitoba will recommend an auditor to the IAC and provide the details to the employer.

4.2.2.5. Participate in a certification audit. This includes participation in the pre-audit and close-out meeting, observations, interviews and completion of a safety culture survey. It also involves providing requested documentation for review and completing an auditor evaluation.

4.2.2.6. Prepare and submit an audit action plan. The audit action plan must be completed in consultation with senior management and the worker representative. It must then be submitted to SAFE Work Manitoba within 90 days of the audit close-out meeting.

4.2.2.7. Complete an annual maintenance audit. The employer must submit an annual maintenance audit, or other approved maintenance verification, to SAFE Work Manitoba prior to their certification anniversary date.



Appendix A

Individually Assessed Certification Schedule - Certifying Partner Alignment (sample)

Organizational Unit (i.e., Department, Division, Branch)	# Staff	Certifying Partner	Anticipated Audit Date
<i>Example:</i> Fleet Services	32	S2SA: Sales and Service Safety Association	Dec 2023

Appendix B

Individually Assessed Certification Schedule - Independent (not aligning to a certifying partner) - (sample)

Organizational Unit (i.e., Department, Division, Branch)	# Staff	Gap Analysis Provider	Certification Training Provider	Audit Tool	Anticipated Audit Date
<i>Example:</i> Transportation Services	12	SAFE Work Certified Auditor	RPM	RPM	Dec 2023
<i>Example:</i> Maintenance Services	5	Internal	Internal	SAFE Work Certified	Feb 2024