



Alberta Construction
Safety Association

ACSA SECOR Evaluation

Rev. 0.4

Important Notice

The Alberta Construction Safety Association (ACSA) will only accept electronic SECOR submissions. We no longer accept mailed submissions.

If a company does not keep/store their documentation electronically, they will be required to scan it so it can be submitted electronically. All submissions must be organized and labelled, for ease of navigation. A best practice is to have one folder for each element and to save documentation in the corresponding element's folder. All attachments/documents must be labelled appropriately and easy to identify.

When completing the evaluation, please read the question and instructions carefully. Provide only what is being requested. Providing more than is required may result in delays to your SECOR evaluation.

When a question requires a sample, utilize the sampling chart shown on page 5 to verify you are following your Health & Safety Management System (HSMS). If more documentation is required, your Quality Assurance (QA) Analyst will request it.

When you have finished your evaluation, you can submit it by:

1. Emailing a compressed (zipped) folder to cor@youracsa.ca, or
2. Saving the submission online (e.g., Dropbox, OneDrive, Google Docs, etc.) and sending a download link to cor@youracsa.ca

If you have any questions regarding the submission of your SECOR Evaluation, please contact the COR department at 1.800.661.2272 or cor@youracsa.ca.

How to Use this Form

- This document is designed to be completed ONLY in Adobe Acrobat or Adobe Reader to enter data and sign the form.
- If the form opened in a web browser, save a copy of the form to your computer and then re-open it with Adobe Acrobat or Adobe Reader.
- Adobe Reader is a free download available from: <https://get.adobe.com/reader/>
- This form contains scoring data for use by ACSA.
- This form contains digital signature fields.
- Adding a scanned image of a signature is not required.
- A self-signed digital signature created in Adobe Acrobat or Reader is acceptable.
- Changing the form outside of Acrobat or Reader will prohibit the use of built-in features to score your evaluation

DO NOT EDIT THE FORM IN THIRD-PARTY SOFTWARE OR IN A WEB BROWSER. FORMS RECEIVED THAT HAVE BEEN EDITED WITH A THIRD-PARTY PROGRAM COULD BE REJECTED AND YOU WILL BE REQUIRED TO START OVER WITH A CLEAN COPY OF THE FORM AND RESUBMIT.

Signing the Form

- Signatures are needed from the Assessor on page 7 and the company owner on page 59.
- Sign the form after it is complete and ready to submit.
- Use ONLY the signing features in Adobe Acrobat or Adobe Reader to sign the form:
- Click on the signature box where you are adding a signature to bring up the Digital ID dialogue box
- If you already have a digital ID, select it, and follow the prompts to sign the document
- If you do not have a digital ID, you can create a self-signed Digital ID by following these steps:
 - Click the Configure New Digital ID button in the Digital ID dialogue box
 - Select Create a New Digital ID then the Continue button
 - Select Save to File then the Continue button
 - Fill out name, company information, email, and select Canada, then click the Continue button
 - Choose where to save the signature file and add a password for the signature on the next screen
- Optional: After you select the Digital ID, you can click the Create button to customize the signature appearance such as by changing the font or importing an image of your written signature. (Adding an image of your signature or signing with a touch screen/stylus is not required for the form to be accepted.)
- To finish signing the document, you will be required to save a copy of the file. A best practice is to rename the signed copy instead of over-writing the original file.
- You must follow this process for each of the two signatures required before submitting completed form.
- Electronically signing the form using the signature function in Adobe Acrobat or Reader with a Digital ID is accepted by the ACSA as your signature.

For more information about digital IDs, see <https://helpx.adobe.com/acrobat/using/digital-ids.html>

Introduction

This evaluation tool is designed to verify that a small employer has implemented the minimum requirements of a health and safety management system. Your ACSA requires the submission of adequate documentation to allow for verification of the small employer's health and safety management system through scoring questions in the audit instrument. In a certification year, Employers are required to achieve 80% overall and at least 50% in each element. Owner Operators are required to achieve 80% overall in a certification year. Individual element scores will not apply. In a maintenance year, both SECOR Employers and Owner Operators are required to achieve a minimum of 60% overall to maintain SECOR certification.

SECOR is limited to an employer that has no more than ten employees at any given time. This includes all full-time, part-time, temporary, and permanent employees and owners, directors, etc. Your ACSA cannot accept an assessment for SECOR if a company has exceeded ten employees.

SECOR Training Requirements

A small employer wanting to achieve SECOR certification through Your ACSA must have at least one full-time employee with the SECOR training requirements.

The three required training courses are:

- Principles of Health and Safety Management (PHSM) or Principles of Health and Safety Management for SECOR (SECOR)
- Standard Two-day First Aid or Mental Health two-day First Aid
- One of the industry-specific training courses (CSTS, RSTS, ESTS, or PCST).

Every three years, a full-time employee must complete at least one ACSA course to remain eligible for SECOR. This maintenance requirement is three years from the last course completed, not three years from when the company certifies in SECOR.

The company is responsible to maintain the SECOR training requirements, and to ensure they are current at the time of evaluation.

The Assessor

The individual who completes the Evaluation Tool is known as the assessor. This person can be internal or external to the company and must have a certificate in either Your ACSA SECOR or PHSM courses. This training is required of the assessor even if there is someone else in the company who holds this course for the regular training requirements.

If the assessor is external to the company, please provide their ACSA Student ID or date of birth on the company information page.

A three-year SECOR certification requires a minimum of 12 months of documentation to be submitted. A one-year SECOR certification requires a minimum of three months of documentation to be submitted.

Completion Instructions

1. Read each question and attach supporting documentation. Points are awarded based on specific question criteria.
2. Operational documentation must be from the preceding 12 months based on the evaluation start date. Documentation outside of this period will not be considered for the evaluation.
3. If you are not able to provide the documentation, please provide a comment in the validation note section provided next to the question and ensure this item is added to your Action Plan.
4. Validation notes are encouraged, but not required in every question. Validation notes are helpful if you wish to provide an explanation as to where the document can be found, or any notes on the document that you wish your QA analyst to read.
5. **ALTERED DOCUMENTS WILL NOT BE ACCEPTED FOR REVIEW.** Use of correction fluid/tape is not allowed. **SECOR SUBMISSIONS MAY BE REJECTED IF DOCUMENTS CANNOT BE VERIFIED.**
6. All evaluations must be submitted electronically. Please refer to page 2.
7. Company must include their company name/logo on the directive documentation submitted in the SECOR submission.

IMPORTANT

Assessors have a maximum of 45 days to complete the evaluation (filling out the evaluation tool and gathering the documentation). This is indicated by the Start and End Dates on the Company Information Page.

The evaluation must be submitted within 21 days of the End Date.



How Questions are Scored

These are three types of scoring used for the questions. Scoring will be performed by ACSA QA Analysts.

| Types of Scoring | Comments | Calculations |
|---|--|--|
| All-or-Nothing (A/N) (Zero, Full points) | The comma indicates only two scores are possible (i.e., zero or full points) No partial points available. (0,5) (0,10) (0,15) | Score zero points if positive indicators are below the percentage given in the question Score full points if positive indicators meet or exceed the percentage given in the question. |
| Range (Zero – Max points) | The dash indicates a range of points is possible (i.e., any whole number from zero up to and including the maximum points). (0-5) (0-10) (0-15) | Calculate points to score using the percentage of positive indicators given in the question. |
| Not Applicable (N/A) | May use in certain cases as shown in the question's scoring instructions. Justify any N/A in validation note. | No calculations. Points deducted from the total points possible for the element and the audit. |

Sampling Instructions

Please use the sampling chart below when questions require a sample of documents:

| Total Number of Documents | Minimum Number of Documents | Total Number of Documents | Minimum Number of Documents |
|---------------------------|-----------------------------|---------------------------|-----------------------------|
| 1 | 1 | 62-77 | 18 |
| 2 | 2 | 78-99 | 19 |
| 3 | 3 | 100-122 | 20 |
| 4-5 | 4 | 123-146 | 21 |
| 6 | 5 | 147-170 | 22 |
| 7-8 | 6 | 171-195 | 23 |
| 9-10 | 7 | 196-220 | 24 |
| 11-12 | 8 | 221-246 | 25 |
| 13-15 | 9 | 247-272 | 26 |
| 16-17 | 10 | 273-299 | 27 |
| 18-21 | 11 | 300-326 | 28 |
| 22-24 | 12 | 327-354 | 29 |
| 25-29 | 13 | 355-382 | 30 |
| 30-35 | 14 | 383-411 | 31 |
| 36-41 | 15 | 412-440 | 32 |
| 42-50 | 16 | 441-470 | 33 |
| 51-61 | 17 | 471-500 | 34 |

Company Information Page

- All fields must be completed.
- A description of normal work activities and season is required to determine relevance of sample information provided. If more room is required, attach a formal written document.
- The assessor must be indicated. If the assessor is external to the company, please provide their date of birth or ACSA student ID so we can verify the assessor training requirements have been completed.
- List who has the SECOR training requirements. If the courses are more than three years' old, please also indicate what course was completed to comply with the three-year continuing education.

Assessor Code of Ethics

The SECOR Assessor (individual who completed the evaluation tool) is required to review and sign the attached Code of Ethics and return it with the Evaluation Tool.

If the SECOR Assessor and the Owner/Company Representative is the same individual, please sign both areas.

Action Plan

An action plan must be developed and submitted with your evaluation as part of Element 10. The developed action plan must be completed prior to submitting the evaluation to Your ACSA and will list items that the company will work on over the next year, or until the next evaluation is due.

- Action items should follow the SMART criteria: Specific, Measurable, Attainable, Relevant, and Time-bound.
- Action items should be related to health and safety objectives. General program maintenance cannot be used as an action item.

The previous Evaluation Action Plan applies to companies who have been in the SECOR program for more than one year. The action plan must list all corrective actions taken, person(s) responsible for implementation, dates of completion and reviewed by signature. If this your first SECOR evaluation, an action plan may be not applicable. If the company received 100% in the previous year's evaluation, an action plan is still required, and the focus may be toward continual improvement within your health and safety management system.

Alberta Construction Safety Association (ACSA) SECOR Assessor Code of Ethics

SECOR Assessors are expected to hold themselves to the highest standards of honesty and professionalism. To ensure that quality evaluations are consistently performed, assessors must:

- Comply with all applicable laws, rules and regulations of federal, provincial, and local governments, and appropriate private and public regulatory agencies.
- Maintain sound independent judgment and act with due care and competence.
- Behave in such a manner that good faith, honesty, and integrity will not be questioned.
- Refrain from using any information gathered for the purpose of personal gain (including the gain of family members or acquaintances), unless they are the owner of the company.
- Ensure that information obtained through the audit process is treated as confidential at all times and not disclosed to parties other than the employer or the ACSA, unless the assessor is authorized or otherwise legally obligated to disclose the information.
- Be honest, accurate, consistent, and complete in evaluations of data obtained through documentation, interviews, and observation. Avoid any misrepresentations or any omissions relevant to the scope of the audit.
- Ensure that notes and documentation are clear, concise, reflective of the audit findings, relevant to the employer's operations, and are samples from the prior 12 months or the employer's season.
- Ensure that audits comply with all required timelines and Partnerships standards.
- Ensure that evaluations are based on objective findings and accurate interpretations, and are not affected by personal feelings or prejudices.
- Report any situation where an assessor or auditor may have violated the Code of Ethics.

Assessor Code of Ethics Violations: The penalties for breaching the SECOR Assessor Code of Ethics depend on the circumstances, previous infractions, and the severity of the breach. Penalties can include suspension and/or permanent revocation of the SECOR. If certification is suspended for a period of 12 months or more, all Certifying Partners will be notified. Assessors may not pursue any legal action against decision makers or their organizations as a result of the application of the Assessor Discipline Process.

I, _____, have read and understood the ACSA Code of Ethics as stated above. I agree with these requirements and will adhere to these rules. As a SECOR Assessor, I also realize that any breach of the Code of Ethics may result in a formal review and subsequent suspension of my ability to conduct further evaluations.

Assessor

Date

Company Information Page

Start Date of Evaluation: _____

End Date of Evaluation: _____

Start date is the first day assessor worked on the evaluation.

End date is the last day assessor worked on the evaluation.

SECOR Certification SECOR Renewal SECOR 1st Maintenance SECOR 2nd Maintenance

Have you submitted 12 months of documentation?

Yes No If no, provide explanation: _____

Company Legal Name: _____ Company Trade Name: _____

Company Address: _____ City/Town: _____ Province: _____

Company Phone: _____ Company Email: _____ Postal Code: _____

Company Contact: _____ Contact Phone: _____ Contact Email: _____

WCB Account Number: _____ Industry code(s): _____

Peak # of Employees: _____

Peak is the highest number of employees in the last twelve (12) months

Please provide a brief description of your company regular work activities

Assessor Name: _____ Assessor Phone: _____ Assessor Email: _____

Assessor ACSA ID# _____

SECOR Training Requirements

Please list the full-time employee(s) who currently has the required training for the company, along with their date of birth or ACSA Student ID. Courses completed for the three-year continuing education should be indicated below. Attach copies of training certificates if completed outside Your ACSA.

| Course | Name of Individual | Certificate Date | ACSA Student ID |
|--|--------------------|------------------|-----------------|
| Principles of Health and Safety Management (PHSM) or Small Employer Health & Safety Management (SECOR) | | | |
| Standard two-day First Aid (Intermediate) or Mental Health and Wellness for the Workplace | | | |
| CSTS (or RSTS, ESTS, PCST) | | | |

| 3 Year Continuing Education Course Name | Name of Individual | Certificate Date | ACSA Student ID |
|---|--------------------|------------------|-----------------|
| | | | |

| ACSA Admin | | | |
|--|---|---|--|
| Member code | Associate Membership Expiry | SECOR Evaluation Date | Evaluation Received Date |
| <i>Required Evaluation Data</i> | | | |
| <input type="checkbox"/> Company Contact Info and Address Updated in CRM | | <input type="checkbox"/> Peak number of employees is 10 or less | |
| <input type="checkbox"/> Assessor Code of Ethics signed | <input type="checkbox"/> Owner Acknowledgement signed | <input type="checkbox"/> Action Plan submitted | |
| <i>Company Training Requirements</i> | | | |
| <input type="checkbox"/> PHSM/SECOR | <input type="checkbox"/> CSTS (or equivalent) | <input type="checkbox"/> Standard First Aid | <input type="checkbox"/> 3-year requirement where applicable |
| ACSA QA | | | |
| Evaluation Feedback | Corrections Received | Evaluation 2 nd Feedback | Final Report Received |
| <i>Certificate Type (cert / re-cert only)</i> | | | |
| <input type="checkbox"/> 3-year | <input type="checkbox"/> 1-year | Explanation: | |

1. Management Commitment

Element 1 – Management Commitment.

People make up the framework of an organization. The management team must lead and support the foundation to have a successful OHS system.

Total points for this element: 10

| Question | 1.1 | Scoring | 0-4 |
|--|--|---------|-----------------|
| Does the company have a written health and safety policy? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation to verify that the company has a health and safety policy that meets the criteria identified in the guideline.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> Health and Safety Policy | <p>There are four criteria for this question.</p> <ul style="list-style-type: none"> A reference to the company's commitment to health and safety which addresses the health and safety (including physical, psychological, and social well-being) of employees A reference to the health and safety responsibilities of managers, supervisors, workers, and contractors The requirement to comply with government legislation The signature and date of the current most senior manager <p>Owner/Operators are required to have the following two criteria for this question.</p> <ul style="list-style-type: none"> Signature and date The requirement to comply with government legislation | | |

| | |
|--|-----------------------------|
| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
| | |

1. Management Commitment

| Question | 1.2 | Scoring | 0,3 |
|---|--|-----------------|-----|
| Have the health and safety responsibilities been written for all applicable employee levels within the company? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation to verify that specific roles and responsibilities have been written for each employee level in the organization.</p> <p>Score is awarded based on 100% positive indicators.</p> <p>Supporting documents examples:</p> <ul style="list-style-type: none"> • Roles and Responsibilities | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> • Health and Safety Roles/Responsibilities for all applicable employee levels | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

1. Management Commitment

| Question | 1.3 | Scoring | 0-3 |
|---|--|-----------------|-----|
| Does the company provide access to current, applicable health and safety legislation? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to provide details on how the most current legislation (Federal and/or Provincial OHS, etc.) is readily available.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Documentation may not be submitted. The Assessor must provide a validation note.</p> <p>Supporting document example(s):</p> <ul style="list-style-type: none"> N/A | <p>There are three criteria for this question.</p> <ul style="list-style-type: none"> Identify the type of legislation available Date of the publication How is it made accessible? | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

2. Public, Visitors, and Contracted Employers

Element 2 – Public, Visitors, and Contracted Employers

This element addresses the health and safety of other employers, self-employed persons, visitors, and/or any other persons present at or in the vicinity of the worksite who may be affected by hazards originating from the employers' worksite(s). These affected worksite parties must be included and evaluated with the audited employer's health and safety management system.

Total points for this element: 10

| Question | 2.1 | Scoring | 0-3 |
|--|--|-----------------|-----|
| Does the company have a process in place to address the protection of people not under the employer's direction? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guideline.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> Process to address the protection of people not under the employer's direction (policy, procedure, etc.) | <p>There are three criteria for this question.</p> <ul style="list-style-type: none"> Contracted Employers Visitors Any other persons at, or in the vicinity of, the worksite who may be affected by hazards originating from the worksite (public) | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

2. Public, Visitors, and Contracted Employers

| Question | 2.2 | Scoring | 0-4 |
|---|--|-----------------|-----|
| Is a process in place to manage contracted employers? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guideline.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> • Contractor management policy or process • Pre-bidding process • Request for proposal (RFP) • Contractor records • Project meeting minutes | <p>There are four criteria for this question.</p> <ul style="list-style-type: none"> • Evaluate • Select • Regularly monitor • Address non-compliance <p>If the company does not use contracted employers, mark this question as N/A and provide a comment in the validation note.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

2. Public, Visitors, and Contracted Employers

| Question | 2.3 | Scoring | 0,3 |
|---|---|-----------------|-----|
| Does the employer communicate with external worksite parties regarding specific health and safety activities? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guideline.</p> <p>Score is awarded based on 100% positive indicators</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> • Orientation • Contracts • Meeting minutes • Site specific hazard assessments • Email | <p>There are two criteria for this question.</p> <ul style="list-style-type: none"> • Work site hazards and controls • Health and safety responsibilities <p>This process is related to both those conducting activities at the work site or receiving products and or materials.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

3. Health and Safety Representatives

Element 3 – Health and Safety Representatives

Health and safety representatives are a key element of the internal responsibility system (IRS). They bring worksite parties together to collaborate on topics such as hazard identification and control, investigation of health and safety incidents, and responses to report(s) of dangerous work.

Note: If the employer is not required by Occupational Health and Safety legislation or by an OHS officer to have a representative in place, this element may be not applicable (N/A). Justification must be provided within the validation note in question 3.1.

Total points for this element: 13

| Question | 3.1 | Scoring | 0-4 |
|--|--|-----------------|-----|
| Does a policy or procedure include all legislated requirements for an HS Representative? | | | |
| Instructions | Guideline | Validation Note | |
| Assessor is to attach supporting documentation that meets the criteria identified in the guideline. Score is awarded based on how many of the criteria are met. Supporting documentation example(s): <ul style="list-style-type: none"> • HS representative policy or procedure | There are four criteria for this question: <ul style="list-style-type: none"> • Four specific duties of the HS representative • Requirement for and appointing a representative • Reporting to management • Term of office | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

3. Health and Safety Representatives

| Question | 3.2 | Scoring | 0,1 |
|--|---|-----------------|-----|
| Is the HS representative established as per required legislation? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guideline.</p> <p>Score is awarded based on 100% positive indicators.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> Contact information of the HS representative | <p>There is one criteria for this question:</p> <ul style="list-style-type: none"> Identification of the HS representative | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

3. Health and Safety Representatives

| Question | 3.3 | Scoring | 0-3 |
|--|---|-----------------|-----|
| Is the HS representative trained as required? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guideline.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> Record of training | <p>There are three criteria for this question.</p> <ul style="list-style-type: none"> Duties and responsibilities of the representative Obligations of worksite parties Workers rights | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ___ |
|--|----------------------------|
| | |

3. Health and Safety Representatives

| Question | 3.4 | Scoring | 0-4 |
|--|---|---------|-----------------|
| Are the appropriate health and safety activities conducted as per legislation? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guideline.</p> <p>Score is awarded from the review of documentation to determine how many of the criteria are met.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> • HSR records • Responses to concerns/complaints | <p>There are four criteria for this question.</p> <ul style="list-style-type: none"> • Meetings • Inspection review • Participation in hazard assessments • Response to concerns/complaints in a timely manner <p>If concerns/complaints did not occur, provide a validation note on how the HSR would respond. Provide supporting documentation (form) if necessary.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ___ |
|--|----------------------------|
| | |

3. Health and Safety Representatives

| Question | 3.5 | Scoring | 0-1 |
|---|--|-----------------|-----|
| Is the name and contact information of the HS representative readily available to employees? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation with HS representative details.</p> <p>Assessor must provide a validation note regarding how HS representative information is made available to employees.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> Contact information of the HS representative | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> Identification of the HS representative and how employees can contact them. | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

4. Training

Element 4 – Training

Training employees aids in the development and maintenance of job-specific skills required to work safely and efficiently. Every employee level will benefit from increased learning and support in the workplace. All individuals must participate in creating a safe working environment.

Total points available in this element: 19

| Question | 4.1 | Scoring | 0-5 |
|--|--|-----------------|-----|
| Is there an orientation process that includes OHS rights and critical health and safety information employees require prior to starting regular work duties? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> Employee orientation checklist with hire date & orientation date. | <p>There are ten criteria for this question.</p> <ul style="list-style-type: none"> Worker rights (right to refuse, right to know, right to participate) Company Health and safety policies and procedures Health and safety responsibilities Task specific hazards and controls Hazard reporting Applicable regulatory requirements Discipline/enforcement Violence and harassment procedures Emergency response procedures Incident and near miss reporting <p>For owner/operators this question is not applicable (N/A). Provide comments in the validation note.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ___ |
|--|----------------------------|
| | |

4. Training

| Question | 4.2 | Scoring | 0-2 |
|---|---|---------|-----------------|
| Are orientations completed before starting regular work duties? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Zero points awarded if the orientation date takes place after the start of regular work duties.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> Completed employee orientations | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> Employee orientations with dates showing they were completed before regular duties began. <p>If no employees were hired within the previous 12 months (scope of the audit), this question can be marked as not applicable (N/A). Provide comments in the validation note.</p> <p>For owner/operators this question is not applicable (N/A). Provide comments in the validation note.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

4. Training

| Question | 4.3 | Scoring | 0-6 |
|--|---|---------|-----------------|
| Has appropriate job specific training been completed? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on the review of job specific training records to determine how many of the criteria are met.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> • Training records (WHMIS, confined space entry, TDG, tasks specialized to the employer, using specialized tools and equipment, on-the-job) • Combination of procedures, safe work practices, hazard assessments • Competency checklist • Demonstration check • Trade Qualification Checklists | <p>There are three criteria for this question.</p> <ul style="list-style-type: none"> • Specific job hazards • Job specific controls • include a practical demonstration by the trainee <p>Owner/Operators are required to have the following criteria for this question.</p> <ul style="list-style-type: none"> • Specific job hazards • Job specific controls <p>Owner/Operators are allowed to answer with a validation note and may not be required to supply documentation.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

4. Training

| Question | 4.4 | Scoring | 0-2 |
|--|---|-----------------|-----|
| Are competency assessments conducted for new and re-assigned workers and/or when operational changes require them? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> Completed competency assessments Completed tests | <p>There are two criteria for this question.</p> <ul style="list-style-type: none"> The number of competency assessments expected to be completed Completed competency assessments <p>If competency assessments have not been required in the previous 12 months, this question can be marked not applicable (N/A). Provide comments in the validation note.</p> <p>For owner/operators this question is not applicable (N/A). Provide comments in the validation note.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

4. Training

| Question | 4.5 | Scoring | 0-2 |
|---|---|-----------------|-----|
| Is the required refresher training completed as per training schedule requirements and/or when operational changes require it? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Score is awarded based off a sample of refresher training records provided that meet the training schedule requirements.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> • Safety Training • Trade Certificates • Training Schedule | <p>There are two criteria for this question.</p> <ul style="list-style-type: none"> • Training schedule • Refresher training records <p>If refresher training was not required in the previous 12 months, provide the training schedule and justification in the validation note.</p> <p>Owner/operator are allowed to answer with a validation note and may not be required to supply documentation.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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| | |

4. Training

| Question | 4.6 | Scoring | 0-2 |
|--|--|-----------------|-----|
| Is there a system in place that encourages two-way communication between employers and the workers? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> • Communications Policy/Process • Meeting Minutes with attendance records • Toolbox/Tailgate Meetings | <p>There are two criteria for this question.</p> <ul style="list-style-type: none"> • Communications policy/process • Documentation providing proof of two-way communication. <p>For owner/operators this question is not applicable (N/A). Provide comments in the validation note.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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5. Hazard Assessment

Element 5 – Hazard Assessment

Hazard identification and assessment is a critical function in the health and safety management system.

A formal hazard assessment (FHA) involves a detailed look at an organization's overall operations. It is meant to identify hazards, measure risk (to help prioritize hazards), and develop, implement, and monitor related controls. Worker jobs or types of work are broken down into separate tasks. Formal hazard assessments are detailed, may involve many people, and will require time to complete.

A site-specific hazard assessment (also called field-level hazard assessment or FLHA) is performed before work starts at a site, and when conditions change, and when non-routine work is added. This flags hazards identified at the location (e.g., overhead powerlines, poor lighting, wet surfaces, extreme temperatures, the presence of wildlife), or introduced by a change at the worksite (e.g., scaffolding, unfamiliar chemicals, introduction of new equipment). Any hazards identified must be addressed right away (i.e., before work begins or continues at the work location).

Total points for this element: 24

| Question | 5.1 | Scoring | 0-3 |
|--|--|---------|-----------------|
| Is there an inventory of all jobs and/or positions within the company for the purpose of formal hazard assessments? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation example(s):</p> <ul style="list-style-type: none"> • Job Descriptions • Task List • Employee List • Job Inventory List • Organizational Chart • Formal Hazard Assessments | <p>There are two criteria for this question.</p> <ul style="list-style-type: none"> • Documentation providing proof of all jobs/positions in the company • Formal Hazard Assessments for each job/position | | |

| | |
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| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
| | |

5. Hazard Assessment

| Question | 5.2 | Scoring | 0-3 |
|---|--|-----------------|-----|
| Are the tasks/activities identified for each job or position in the formal hazard assessments? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on the percentage of positive indicators and the total number.</p> <ul style="list-style-type: none"> Determining the number of jobs or positions captured in question 5.1. This is the total number. Determine the number of jobs and/or positions shown in formal hazard assessments that have a related list of tasks. This is the number of positive indicators. <p>Supporting documentation example:</p> <ul style="list-style-type: none"> Formal Hazard Assessments | <p>There is one criteria for this question.</p> <ul style="list-style-type: none"> Formal Hazard Assessments with tasks identified for all jobs/positions | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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| | |

5. Hazard Assessment

| Question | 5.3 | Scoring | 0-3 |
|--|---|-----------------|-----|
| Are both health and safety hazards identified for each task in the formal hazard assessments? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on the percentage of positive indicators and the total number.</p> <ul style="list-style-type: none"> Determining the total number of <u>tasks</u> captured in question 5.2. This is the total number. Determine the number of tasks that have health and safety hazards assigned to them. This is the number of positive indicators. <p>Supporting documentation example:</p> <ul style="list-style-type: none"> Formal Hazard Assessments <p>Consider the four categories for health and safety hazards, which include:</p> <ul style="list-style-type: none"> Physical (e.g., radiological, working at heights, lifting heavy loads, extreme temperatures, violence, ergonomics, etc.) Chemical (e.g., fumes, vapours, gases, waste products, etc.) Biological (e.g., bodily fluids, viruses, bacteria, moulds, etc.) Psychological (e.g., harassment and bullying, stress, fatigue, etc.) | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> Formal Hazard Assessments for all jobs/positions with health and safety hazards identified for each task <p>Note: All hazard categories may not be applicable to every task identified on formal hazard assessments.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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5. Hazard Assessment

| Question | 5.4 | Scoring | 0-2 |
|--|---|-----------------|-----|
| Are all the health and safety hazards within the formal hazard assessments evaluated according to risk? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>The score for this question will be determined by reviewing all hazards within the formal hazard assessments and verifying if each hazard has a risk ranking assigned.</p> <p>Supporting documentation example:</p> <ul style="list-style-type: none"> • Formal Hazard Assessments • Risk matrix with at least two factors (e.g., severity and likelihood) to determine the order of importance of controls | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> • Hazards listed in the formal hazard assessment with an identified risk ranking | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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5. Hazard Assessment

| Question | 5.5 | Scoring | 0-4 |
|--|---|-----------------|-----|
| Does the company have a policy or procedure to create, review and revise formal hazard assessments? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation example:</p> <ul style="list-style-type: none"> Formal Hazard Assessment Policy or Procedure | <p>There are four criteria for this question.</p> <ul style="list-style-type: none"> When new operations, work processes, equipment, materials, or products are introduced When operations work-related processes or equipment are modified When site-specific hazard assessments, inspections, or investigations identify a previously unrecognized hazard As per a pre-determined frequency <p>Note: Indicating a review at <i>regular intervals</i> does not meet the requirement of a pre-determined frequency.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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5. Hazard Assessment

| Question | 5.6 | Scoring | 0,2 |
|--|--|---------|-----------------|
| Are employees involved in the creation, review and/or revision of formal hazard assessments? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on 70% positive indicators.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • Formal Hazard Assessment Review Documentation • Meeting Minutes | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> • Documentation verifying employee involvement in the formal hazard assessment process <p>This question is not applicable (N/A) if it is an owner/operator, and/or reviews of formal hazard assessments have not been required in the previous 12 months. Please provide a validation note if this is the case.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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| | |

5. Hazard Assessment

| Question | 5.7 | Scoring | 0-5 |
|--|---|-----------------|-----|
| Is a system in place for site-specific hazard assessments? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>If one or more of the criteria are not applicable to your operations, provide justification in the validation note.</p> <p>Supporting documentation example:</p> <ul style="list-style-type: none"> Site-Specific Hazard Assessment Policy or Procedure | <p>There are five criteria for this question.</p> <ul style="list-style-type: none"> When work is at temporary/mobile worksites When workers are conducting activities at a worksite not owned by their employer When a new activity starts at a worksite Before a job or task begins When changes occur at a worksite | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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5. Hazard Assessment

| Question | 5.8 | Scoring | 0,2 |
|--|---|---------|-----------------|
| Is a system in place for workers to report existing or newly identified hazards? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on 100% positive indicators.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • Hazard Id's • Meeting Minutes • Toolbox/Tailgate Meetings | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> • Documentation verifying the company has a process in place to report existing or newly identified hazards <p>For owner/operators this question is not applicable (N/A). Provide comments in the validation note.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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6. Hazard Control

Element 6 – Hazard Control

If an identified hazard cannot be eliminated, controls are implemented to reduce the risk of the hazard. Implementation of hazard controls will result in the reduction of incidents. The hierarchy of controls outlines: Engineering (e.g., substitution, guards, ventilation, sound barriers, etc.); Administrative (e.g., safe work practices, safe job procedures, job rotation, training, etc.); Personal Protective Equipment (PPE) (e.g., eye protection, hearing protection, gloves, fire retardant coveralls, etc.); or, a combination of the engineering, administrative, and PPE.

Total points for this element: 17

| Question | 6.1 | Scoring | 0-3 |
|--|--|-----------------|-----|
| Have controls been identified for hazards listed in the formal hazard assessments? | | | |
| Instructions | Guideline | Validation Note | |
| <p>The score for this question will be determined by the number of controls recorded for each hazard as per question 5.3.</p> <p>Supporting documentation example:</p> <ul style="list-style-type: none"> Formal Hazard Assessments | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> Formal Hazard Assessments with appropriate controls (Engineering, Administrative, and PPE) identified for all hazards | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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| | |

6. Hazard Control

| Question | 6.2 | Scoring | 0-3 |
|--|--|-----------------|-----|
| Site-specific hazard assessments have appropriate hazards and controls? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach a sample of supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>If site-specific hazard assessments were not required in the previous 12 months, this question can be N/A. Provide justification in the validation note.</p> <p>Supporting documentation example:</p> <ul style="list-style-type: none"> Completed Site-Specific Hazard Assessments | <p>There are two criteria for this question.</p> <ul style="list-style-type: none"> Site-Specific Hazard Assessments that include appropriate hazards Site-Specific Hazard assessments that include appropriate controls for the hazards | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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| | |

6. Hazard Control

| Question | 6.3 | Scoring | 0-2 |
|---|---|-----------------|-----|
| Does the employer ensure hazard controls are used by employees? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • Disciplinary Process • Inspections Process • Competency Assessments • Meeting Minutes | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> • Documentation showing proof of how the company ensures controls are being used appropriately <p>This also requires a validation note to be provided explaining the process.</p> <p>For owner/operators this question is not applicable (N/A). Provide comments in the validation note.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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6. Hazard Control

| Question | 6.4 | Scoring | 0-3 |
|--|--|-----------------|-----|
| Is a Violence Prevention Plan in place as per legislated requirements? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation example:</p> <ul style="list-style-type: none"> • Violence Prevention Plan <p>Combining Violence and Harassment Prevention Plans into one plan is acceptable only if the combined plan meets the legislated and audit requirements for each separate plan.</p> | <p>There are three criteria for this question.</p> <ul style="list-style-type: none"> • Violence Policy • Violence Procedure • Violence Training Requirements | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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6. Hazard Control

| Question | 6.5 | Scoring | 0-3 |
|--|--|---------|-----------------|
| Is a Harassment Prevention Plan in place as per legislated requirements? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation example:</p> <ul style="list-style-type: none"> • Harassment Prevention Plan <p>Combining Violence and Harassment Prevention Plans into one plan is acceptable only if the combined plan meets the legislated and audit requirements for each separate plan.</p> | <p>There are three criteria for this question.</p> <ul style="list-style-type: none"> • Harassment Policy • Harassment Procedure • Harassment Training Requirements | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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6. Hazard Control

| Question | 6.6 | Scoring | 0-3 |
|--|---|-----------------|-----|
| Have the Violence and Harassment plans been reviewed as per legislated requirements? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> Violence and Harassment Prevention Plan Review Verification | <p>There are three criteria for this question.</p> <ul style="list-style-type: none"> When an incident occurs related to violence and/or harassment If the HS representative recommended a review At least every three years <p>If there is a reference in the policies and/or procedures to review the plan and no incidents occurred, this is a positive indicator.</p> <p>The second criteria may be optional, depending on the requirements for HS Representatives. Violence & Harassment policy and procedure is signed off as reviewed within 3 years prior to the start date of the evaluation.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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7. Inspections & Maintenance

Element 7 – Inspections & Maintenance

The formal inspection process is used to proactively identify new potential hazards, as well as confirm the performance of controls in place. Equipment that is not working in optimal condition creates unsafe working conditions, which affects the safety of workers. Creating a successful preventive maintenance program will help improve equipment life and avoid downtime from unplanned maintenance activity.

Total points for this element: 17

| Question | 7.1 | Scoring | 0-3 |
|---|---|-----------------|-----|
| Does the company have a formal inspection process in place? | | | |
| Instructions | Guideline | Validation Note | |
| Assessor is to attach supporting documentation that meets the criteria identified in the guidelines. Score is awarded based on how many of the criteria are met. Supporting documentation examples: <ul style="list-style-type: none"> • Inspection policy/procedure | There are three criteria for this question. <ul style="list-style-type: none"> • Specific Responsibilities for all employee levels. • Identification of all applicable work areas (e.g., office, shop, yard, mobile worksite, worksite etc.) • Measurable frequency of inspections for all applicable work areas | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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| | |

7. Inspections & Maintenance

| Question | 7.2 | Scoring | 0,2 |
|---|---|-----------------|-----|
| Does the company have inspection form(s)/checklist(s) for the company work areas? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is based on 100% positive indicators.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • Inspection Report Form(s) • Inspection Checklist(s) | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> • Inspection form(s) or checklist(s) that identified the location of the inspections and frequency | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ___ |
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| | |

7. Inspections & Maintenance

| Question | 7.3 | Scoring | 0-4 |
|--|--|-----------------|-----|
| Are formal inspections conducted as required? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on number of inspection records that meet requirements by the number of inspections as required by the company policy.</p> <p>If no measurable frequencies were identified in question 7.1, this question is required to be scored as zero.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> Completed Inspection Reports | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> Inspection records from the previous 12 months that were required to be completed | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

7. Inspections & Maintenance

| Question | 7.4 | Scoring | 0-2 |
|---|---|-----------------|-----|
| Were the corrective actions completed for the deficiencies found on the inspections? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based off a sampling of corrective actions from the inspections that were found to be completed within the documentation.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • Completed Inspection Records • Work Orders • Purchase Orders • E-mails • Memos • Meeting Minutes | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> • Verification of identified corrective actions for deficiencies on the inspections were completed <p>If no deficiencies were found in the previous 12 months, provide a validation note and this question can be marked not applicable (N/A).</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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| | |

7. Inspections & Maintenance

| Question | 7.5 | Scoring | 0-4 |
|---|--|---------|-----------------|
| Is there a preventative maintenance program? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • Preventative Maintenance Policy • Preventative Maintenance Process • Preventative Maintenance Schedule | <p>There are four criteria for this question.</p> <ul style="list-style-type: none"> • Inventory or records of all items requiring preventative maintenance • Schedule of required preventative maintenance • Satisfies legislative requirements • Satisfies manufacturer's specifications | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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7. Inspections & Maintenance

| Question | 7.6 | Scoring | 0-2 |
|---|--|-----------------|-----|
| Is the preventative maintenance schedule followed? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on the sample of maintenance records meeting the maintenance schedule requirements.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • Maintenance Logbooks • Work Orders • Equipment Pre-Use Checklist • Equipment Certifications • PPE Maintenance Logs (respiratory equipment, fall Protection, etc.) • Receipts of Maintenance Activities | <p>There is one criteria for this question.</p> <ul style="list-style-type: none"> • Provide a sample of preventative maintenance records from the past 12 months, to verify the preventative maintenance schedule is being followed. | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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8. Emergency Response

Element 8 – Emergency Response

Prevention, mitigation, preparedness, response, and recovery are key components in an effective emergency response management system.

Emergency Response Plans (ERP) assist in preserving the safety and security of employees, visitors, and others in the surrounding areas in the event of an emergency or disaster. Training employees in Emergency Response will enable appropriate and efficient actions to take place to reduce further impact.

Reference to requirements related to Emergency Preparedness and Response located in OHS Code Part 7.

Points available in this element: 14

| Question | 8.1 | Scoring | 0-5 |
|---|---|---------|-----------------|
| Are there written emergency response plans developed for potential emergencies applicable to the operation? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> Emergency Response Plan with list of potential emergencies | <p>There are five criteria for this question.</p> <ul style="list-style-type: none"> Identification and procedures of potential emergencies Alarm and emergency communication requirements First aid services required Emergency drill/testing procedure and frequency (min annually) Location and use of emergency facilities | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

8. Emergency Response

| Question | 8.2 | Scoring | 0-3 |
|---|--|---------|-----------------|
| Does the Emergency Response Plan identify first aid equipment/supplies, number of first aiders, and emergency facilities as per legislated requirements? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • Emergency Response Plan • First Aid Training Certificates | <p>There are three criteria for this question.</p> <ul style="list-style-type: none"> • Number of identified first aiders with current training • Appropriate first aid equipment/supplies • Emergency facilities. <p>Owner/operator can write a validation note and may not be required to provide additional documentation for this question.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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| | |

8. Emergency Response

| Question | 8.3 | Scoring | 0-2 |
|--|--|---------|-----------------|
| Are the employees trained appropriately on their Emergency Response Plan Responsibilities? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • First Aid Training records • Orientation records • Specific emergency response training (e.g., confined space, fall protection, spill response, etc.) | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> • Employee training records that verify they have received appropriate training regarding their Emergency Response Plan Responsibilities <p>For owner/operators this question is not applicable (N/A). Provide comments in the validation note.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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| | |

8. Emergency Response

| Question | 8.4 | Scoring | 0-1 |
|--|---|-----------------|-----|
| Are emergency response drills/tests conducted at least annually? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> Completed Emergency Response Drill Reports, Tests, etc. | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> Documentation of an emergency response drill/test that was conducted in the past 12 months (ex. evacuation, lockdown, shelter in place, fire, bomb threat, hazardous material release etc.). <p>Actual emergency responses cannot be used to award a positive score.</p> <p>Emergency response drills can be conducted in conjunction with other employers as appropriate. In this case, a validation note <u>and</u> supporting documentation is required.</p> <p>For owner/operators this question is not applicable (N/A). Provide comments in the validation note.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ___ |
|--|----------------------------|
| | |

8. Emergency Response

| Question | 8.5 | Scoring | 0-3 |
|---|---|-----------------|-----|
| Are the deficiencies identified in Emergency Response Plans corrected? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • Emergency response drills • Emergency response plan • Correction action report | <p>There are three criteria for this question.</p> <ul style="list-style-type: none"> • Identification of deficiency with corrective action(s) • Who is responsible to correct the deficiency • Completion date of corrective action(s) <p>If an actual emergency or a drill did not identify any deficiencies, this question can be marked as not applicable (N/A), and a validation note is required.</p> <p>For owner/operators this question is not applicable (N/A). Provide comments in the validation note.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
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9. Investigations

Element 9 – Investigations

The intent of Incident investigations is to determine the direct causes of an incident and recommend changes to the HSMS to prevent similar events.

Total points for this element: 13

| Question | 9.1 | Scoring | 0-4 |
|---|--|---------|-----------------|
| Is there a reporting process for incidents, near misses, occupational illness, and work refusals? | | | |
| Instructions | Guideline | | Validation Note |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • <i>Incident Investigation Policy</i> • <i>Incident Reporting Process/Procedures</i> | <p>There are four criteria for this question.</p> <ul style="list-style-type: none"> • Reporting Process for Incidents • Reporting Process for Near Misses • Reporting Process for Occupational Illnesses • Reporting Process for Work Refusals <p>This also includes internal and external reporting (OHS, WCB etc.).</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

9. Investigations

| Question | 9.2 | Scoring | 0-5 |
|---|--|-----------------|-----|
| Is there an investigation procedure? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> Investigation Policy/Procedure | <p>There are five criteria for this question.</p> <ul style="list-style-type: none"> The purpose of investigating incidents An outline of the types of incidents requiring investigation, including near misses, occupational illness, and work refusals Identification of underlying/basic cause Corrective actions Senior management, management, supervisor, and worker responsibilities | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

9. Investigations

| Question | 9.3 | Scoring | 0-4 |
|---|---|-----------------|-----|
| Are the investigation reports completed according to company policy and procedures? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> Completed incident investigation reports | <p>There are four criteria for this question.</p> <ul style="list-style-type: none"> Involvement of applicable employees (senior management, management, supervisors, workers) Identification of underlying/basic cause Identification and implementation of corrective actions Timeliness of completion <p>If no incident occurred within the previous 12 months, the company is still required to provide documentation (Blank Incident Investigation Report Form) that would be used when required. Investigations can be conducted in conjunction with other employers as appropriate. In this case, a validation note <u>and</u> supporting documentation is required.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

10. Program Administration

Element 10 – Program Administration

Continual improvement is an integral part of health and safety management systems. PIR standards require an action plan to be created and implemented to show the growth of an effective health and safety management system.

Total points for this element: 8

| Question | 10.1 | Scoring | 0-3 |
|--|---|-----------------|-----|
| Was an action plan developed to address the deficiencies found in the previous SECOR/COR evaluation? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> Developed Action Plan | <p>There are three criteria for this question.</p> <ul style="list-style-type: none"> Measurable action items for the deficiencies Completion dates of the action items Individual/Position responsible to complete the action items. <p>This question can be scored not applicable (N/A) if this is the employer's first evaluation. Please provide an explanation in the validation note.</p> <p>If the employer received 100% in the previous year's evaluation, an action plan is still required. It will need to identify items regarding continual improvement within the health and safety management system.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

10. Program Administration

| Question | 10.2 | Scoring | 0-3 |
|---|--|-----------------|-----|
| Was the action plan from the previous SECOR/COR evaluation implemented? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is awarded based on how many of the criteria are met.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • Developed Action Plan • Documentation supporting the completed action items | <p>There is one criterion for this question.</p> <ul style="list-style-type: none"> • Documentation that verifies the action items identified on the action plan were corrected. <p>This question can be scored not applicable (N/A) if this is the employer's first evaluation. Please provide an explanation in the validation note.</p> <p>If the employer received 100% in the previous year's evaluation, an action plan is still required. It will need to identify items regarding continual improvement within the health and safety management system.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

10. Program Administration

| Question | 10.3 | Scoring | 0,2 |
|--|---|-----------------|-----|
| Does the company analyze health and safety records/statistics to identify potential trends on an annual basis? | | | |
| Instructions | Guideline | Validation Note | |
| <p>Assessor is to attach supporting documentation that meets the criteria identified in the guidelines.</p> <p>Score is based on 100% positive indicators. Score this question using the relevant policy/procedure if the company does not have 12 months of records and statistics.</p> <p>Supporting documentation examples:</p> <ul style="list-style-type: none"> • Company specific monthly, quarterly, or annual health and safety reports • Documentation supporting the completed action items | <p>The criteria for this question is:</p> <ul style="list-style-type: none"> • Documentation for compiling records and statistics for a representative 12-month period. <p>A policy outlining a minimum frequency of annual review may support scoring if the company does not have 12 months of records.</p> <p>For owner/operators this question is not applicable (N/A). Provide comments in the validation note.</p> | | |

| ACSA Quality Assurance Review Feedback and Recommendations | ACSA Evaluation Score: ____ |
|--|-----------------------------|
| | |

Corrective Action Plan

| Recommendation | Assigned to | Target date of Completion | Date Completed | Reviewed by (Once completed) |
|----------------|-------------|---------------------------|----------------|---------------------------------|
| | | | | |
| | | | | |
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Final Submission Check

- Company information page is completed
- Assessor Code of Ethics reviewed and acknowledged
- SECOR training requirements completed and with supporting documentation (if applicable)
- Required documents attached and organized
- Validation notes are provided where applicable
- Action Plan completed and appropriate to results

Owner Acknowledgement

I, _____, OWNER OF THE SMALL EMPLOYER, ACKNOWLEDGE THAT THE EVALUATION OF THE EFFECTIVENESS OF THE COMPANY HEALTH AND SAFETY MANAGEMENT SYSTEM HAS BEEN COMPLETED AND THE ASSESSOR HAS REVIEWED THE EVALUATION RESULTS WITH ME.

BY SIGNING BELOW, I AGREE THAT THE COMPANY HAS NOT EXCEEDED 10 EMPLOYEES AT ANY GIVEN TIME AND I ACKNOWLEDGE THAT BY GOING OVER 10 EMPLOYEES, WE WOULD NOT BE ELIGIBLE TO PARTICIPATE IN THE SECOR PROGRAM.

Owner Signature

Date

Evaluation Score Summary (Completed by ACSA)

Company Legal Name

Company Trade Name

| Element Number and Name | Total points available | Minimum Standard | Element Score (%) | Points Awarded |
|--|------------------------|------------------|-------------------|----------------|
| 1. Management Commitment | | | | |
| 2. Public, Visitors and Contracted Employers | | | | |
| 3. Health and Safety Representatives | | | | |
| 4. Training | | | | |
| 5. Hazard Assessment | | | | |
| 6. Hazard Control | | | | |
| 7. Inspections & Maintenance | | | | |
| 8. Emergency Response | | | | |
| 9. Investigations | | | | |
| 10. Program Administration | | | | |
| | | | | |

Minimum Standard = 80% Overall Score and 50% in each element.

Standard Achieved

Yes

No

ACSA QA Final Report Approved