SAFE WORK

CERTIFIED

Audit Framework

SAFE WORK MANITOBA™

ADMINISTRATIVE GUIDELINES

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

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

• standards and procedures to support quality assurance and dispute resolution;

• other standards and procedures as determined necessary by SAFE Work Manitoba to support and implement the SAFE Work Certified Program, such as the *Audit Framework*, the *SAFE Work Certified Brand Standards and Guide*, and the *SAFE Work Certified Standards and Procedures*.

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INTRODUCTION

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

The SAFE Work Certified program accomplishes this by:
- establishing the safety criteria and measures for workplace safety and health systems (Safety Essentials and Measures)
- providing an avenue through which workplaces can demonstrate that they have met these safety requirements (Certification Audit Process).

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

PURPOSE OF THIS DOCUMENT

This document is an extension of the *SAFE Work Certified Standards and Procedures* document. It provides the framework for a safety and health management system in preparation for SAFE Work Certified certification. As such, this document
is intended to provide guidance towards the following:

- the criteria that employers may follow to structure their safety and health management systems in preparation for safety and health certification
- the criteria which auditors will follow to audit safety and health management systems
- the framework upon which the SAFE Work Certified audit tool will be developed
- the framework upon which certifying partner audit tools were assessed for equivalency to SAFE Work Certified.

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

SAFE WORK CERTIFIED AUDIT FRAMEWORK

Workplace safety and health legislation, regulations and standards

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

Safety and health management systems - continuous improvement

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

Figure 1 - The Plan-Do-Check-Act Process for Continuous Improvement
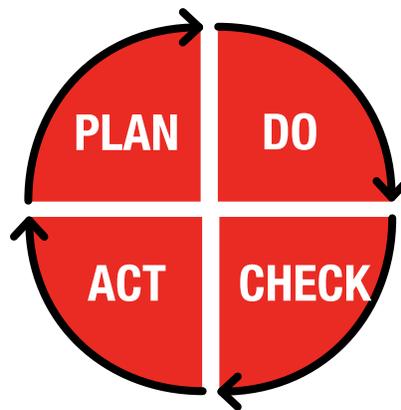
The *Plan-Do-Check-Act* system is a four-stage process for continuous improvement. It also assists in facilitating safety and health integration with all other business functions. The application of this process requires the involvement of every person within an organization. This involvement includes collaborative efforts to identify problems and define objectives for improvement, implementing plans to accomplish stated objectives, reviewing outcomes, and developing solutions or making adjustments to address shortfalls. Specifically, this process will include such activities as:

1. *Plan:* Once a safety and health problem has been identified, a plan is developed to address the problem. Plans should be developed in accordance with legislation, regulations and industry best practices.

2. *Do:* Allocate the resources, personnel and equipment necessary to execute the plan. Provide any related training, instruction and supervision needed to ensure the plan's success. Communicate with all stakeholders to promote involvement.

3. *Check:* Measure and evaluate the effectiveness of the plan. This step involves studying actual results and comparing them against expected results.

4. *Act:* Respond to the evaluation of the plan's effectiveness by making any necessary adjustments.

Specific industry and workplace standards

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

Performance based

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

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

SAFE WORK CERTIFIED AUDIT CONTENT

Essential components

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

1. Leadership Commitment

2. Hazard Identification and Risk Control

3. Worker Participation.

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

Leadership:
Committed and Engaged Leaders

Safety and Health Management System

Hazard Identification and Risk Control
Well-managed workplace safety

Worker Participation:
Committed and Engaged Workers

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

Essential #1 - Leadership commitment

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

A	Employer commitment

Intent

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

Principles

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

- taking responsibility for the success of the system
- integrating safety and health into operational decisions
- actively managing safety activities rather than passively reacting to events
- committing the resources needed for the success of the program.

Evaluation criteria

- The employer has a safety and health policy signed by senior leadership, dated, current and posted in visible locations.
- The safety and health policy and commitment to safety and health is communicated to all workers.
- Safety and health is adequately resourced.
- Critical equipment is maintained or updated as required to ensure a safe and healthy work environment.
- There are appropriate investments in training, equipment, personal protective equipment (PPE) and safeguarding.
- Staff are given time to conduct safety and health activities.
- Safety and health is embedded into other management decisions and production processes as opposed to being an "add on". (For example, safety responsibilities may be included in job descriptions; purchasing and maintenance decisions consider safety and health; budgeting decisions include safety; corporate reporting and scorecards include the measurement of safety and health performance, etc.).

B   Evaluation and continuous improvement

Intent

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

Principles

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

This ongoing improvement cycle will include the following management steps:

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

Evaluation criteria

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

• There is an active safety and health management system cycle, such as the *Plan-Do-Check-Act* process for defining safety and health objectives, implementing safety and health activities, measuring safety and health performance, and reviewing safety and health results.
• The safety and health management system is documented and includes all of the aspects of a comprehensive program, is user-friendly and organized, captures all of the safety and health essentials, includes legislative requirements, and is current.
• The safety and health system is regularly evaluated for continuous improvement (scheduled and unscheduled).
• Management tracks and maintains safety and health measures (including leading and lagging indicators such as injuries and illnesses, training records, audit scores, and safety and health program activities) and shares this information with the workforce.
• Management has created and implemented an action plan to address recommendations and deficiencies identified in prior audits, inspections, or incidents.

C   Safety is communicated and demonstrated

Intent

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

Principles

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

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

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

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

Evaluation criteria

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

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

D   Roles and responsibilities

Intent

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

Principles

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

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

Evaluation criteria

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

- Safety and health roles and responsibilities, training, qualifications and performance expectations are in writing (e.g., in job descriptions, policies, or a responsibility matrix).
- Management and staff have received training on the internal responsibility system.
- All levels of staff can demonstrate that they know and understand their roles and responsibilities.
- All staff are held accountable for their safety and health performance and disciplinary action is taken where appropriate.
- Safety and health rules, responsibilities, and consequences are documented and communicated.
- There is staff assigned to support safety and health program activities that are supported by a senior manager.

Essential #2 - Hazard identification and risk control

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

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

E   Hazard identification, assessment and control
Intent
Workplace hazards have been identified, assessed and controlled.
Principles
Employers are responsible for identifying, assessing and controlling all foreseeable hazards associated with their operations and should involve all workplace parties, including the workers, in this process. A hazard is any factor that has the potential to cause an incident, injury or illness. Hazards take various forms and may be physical, chemical, biological, environmental, psychological, psycho-social or musculoskeletal. Some hazards will be readily apparent while other hazards need to be identified through targeted safety and health activities. All identified hazards must be assessed to determine the level of risk they present to staff. Risk refers to the likelihood that a hazard will cause an injury, illness or occupational disease; the severity of the injury or disease; and the frequency of exposure. Certain types of hazards are predetermined by regulation or industry standards to be high risk. Work involving high-risk hazards may not be carried out until the hazard has been controlled. A risk assessment must be conducted by a person knowledgeable and experienced in the work being done. If the work requires specialized training or certification, then the person conducting the risk assessment must have those qualifications.
All hazards that present a risk to staff must be controlled in order to eliminate or reduce the risk to an acceptable level. In order of preference, the control measures that must be considered are:
1. elimination of the hazard 2. substitution of a less hazardous process or material 3. engineering controls 4. administrative controls, and/or 5. personal protective equipment (PPE).

Evaluation criteria

- The effective identification, assessment and control of hazards are the critical functions of a safety and health management system. An effective hazard management system should use a comprehensive approach to identify hazards and should apply that approach to all aspects of the work being done.
- Hazards should be identified with consideration to:
  - o the type of hazard (e.g., physical, chemical, biological, environmental, psychological, psycho-social or musculoskeletal)
  - o all regulatory requirements (e.g., confined spaces, lock out, working at heights, working alone, workplace harassment, violence, Workplace Hazardous Materials Information System [WHMIS] / Globally Harmonized Systems [GHS], etc.).
- Hazards should be identified using multiple methods (e.g., inspections, first aid records, committee input, air quality assessments, staff input, etc.).
- Risks should be assessed and prioritized. Corrective actions must be prioritized and implemented in a timely manner.
- Hazards should be eliminated and risk controlled using the hierarchy of controls.
- Where work requires specialized training or certification, the person conducting the hazard assessment and developing the risk controls should have those qualifications.
- The hazard identification and control process should include worker input and a system to verify that hazard controls remain effective over time.

F   Emergency management

Intent

There is a system to manage potential emergencies in the workplace.

Principles

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

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

Evaluation criteria

- The employer must have completed a risk assessment to determine potential emergencies and prioritize those that need to be addressed.
- The employer must have an emergency plan that, at a minimum, addresses fire and medical emergencies.
- Where appropriate, the emergency response plan should include:
    o   communication procedures
    o   signage
    o   emergency contacts
    o   resources
    o   equipment and equipment maintenance
    o   roles and responsibilities
    o   evacuation plans
    o   rescue plans.
- The plans or procedures to address medical emergencies should, at a minimum, meet the regulatory workplace first aid standard.
- All staff should be aware of their responsibilities in the emergency response plan and those with specific roles must be trained appropriately.
- Emergency drills should be conducted at least annually or according to regulatory standards or best practices.
- Deficiencies identified during drills should be identified and corrective measures taken.
- All buildings used as workplaces should have a fire safety plan.

G   Contracted workers and other people in the workplace

Intent

There is a system to ensure the safety and health of contracted workers, service providers and other people in the workplace.

Principles

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

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

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

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

Evaluation criteria

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

- There should be safety and health criteria for the evaluation and selection of contracted workers.
- The employer should have a system to ensure contracted workers are made aware of the hazards of the workplace through a formal orientation, monitoring and reporting process.
- There should be evidence that contracted worker safety and health activities are monitored and that they are included in safety and health communication activities.
- If the employer is a prime contractor, they should fulfill the co-ordinating role of a prime contractor for the worksite.
- Workers should be made aware of the potential hazards that contracted workers may bring to the workplace.
- There is a system to identify risks to, and ensure the safety and health of, volunteers, consultants, clients, customers or visitors.

H   Safety and health training and orientation

Intent

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

Principles

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

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

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

Evaluation criteria

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

I   Inspections

Intent

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

Principles

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

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

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

Evaluation criteria

- A regular inspection program should ensure that risk control measures are in place and effectively protecting workers from injuries and illness, and identify potential hazards that have not yet been assessed.
- Those conducting inspections should be properly trained in how to conduct the inspections and follow-up on the inspection results.
- There should be a provision for both formal and informal inspections, which are routinely conducted with safety and health committee or worker representative involvement.
- Deficiencies identified in inspections are brought to the attention of the people or departments responsible for their correction.
- Corrective actions should be prioritized according to the level of risk.
- There should be a process to track deficiencies and corrective actions.

J   Incident reporting and investigation

Intent

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

Principles

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

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

Evaluation criteria

- There should be an effective incident reporting system that ensures workers report all workplace incidents (including near miss incidents), and that incidents are reported to regulatory agencies and to other third parties (e.g., the WCB, disability providers, or automotive insurers).
- Investigations into the circumstances of workplace incidents must be completed to:
  - o   determine root causes, and ensure that uncontrolled risks are brought under control
  - o   prevent the recurrence of similar incidents
  - o   determine if training or changes in control methods, such as procedures and personal protective equipment are required.
- All incidents should be investigated as soon as possible once the injured worker has been cared for and potential hazards to investigators have been controlled.
- A standard investigation form should be used to gather all necessary information in an organized format.
- Deficiencies identified in investigations should be brought to the attention of the persons or departments that are responsible for their correction.
- Corrective actions arising out of incident investigations should be prioritized according to their level of risk.
- The lessons learned from incident investigations should be communicated to staff.
- There should be clear processes, roles and responsibilities for reporting hazards and incidents.
- There should be clear processes, roles and responsibilities for assigning and ensuring corrective actions.
- There should be a process to track identified deficiencies and corrective actions.

Essential #3 - Worker participation

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

K   Worker rights and responsibilities

Intent

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

Principles

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

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

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

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

- The responsibility to report hazards to their supervisors.
- The responsibility to report incidents to their supervisor or to a first aid attendant.
- The responsibility to follow established safe work practices, procedures and rules.
- The responsibility to wear personal protective equipment and use the correct tools for the job.
- The responsibility to not engage in work that may harm themselves or others.

Evaluation criteria

Worker rights and responsibilities must be integrated into all aspects of the safety and health management system and will be evident in such activities as:

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

L   Workplace safety and health and representatives

Intent

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

Principles

A workplace safety and health committee should contribute to creating a safe workplace that is free of hazards through the following activities:
- hold regular committee meetings to review workplace safety
- participate in worksite inspections
- participate in incident investigations
- participate in risk assessments
- make suggestions as to how to improve workplace safety and health
- participate in the resolution of safety and health concerns
- participate in the resolution of work refusals, and
- participate in audits.

The establishment and activities of a workplace safety and health committee is governed by workplace safety and health legislation. However, in general, the committee's membership, activities and administration will have the following characteristics:
- It is the responsibility of the employer to ensure the establishment of, and provide the availability of premises, resources and personnel for the effective operation of the committee.
- The workplace safety and health committee will be properly constituted, having members representing both management and workers.
- The committee will be led by two alternating co-chairpersons, one chosen by the employer members and the other chosen by the worker members on the committee.
- The workplace safety and health committee will establish terms of reference pertaining to the administration and operation of the committee.
- Each committee member is entitled to be informed of their responsibilities and receive training in relation to their role on the committee.
- Committee members attending related training or performing committee duties are entitled to receive their regular pay and benefits.
- The committee must keep accurate records of all matters that come before it, as well as minutes of all meetings.

Workplace safety and health representatives

A workplace safety and health representative is required to be designated for each workplace that does not meet the general provisions to establish a workplace safety and health committee. Considerations include:
- Workplace safety and health representatives perform all of the same duties as set out for the workplace safety and health committee.
- Workplace safety and health representatives are selected by the workers they represent, not by the employer.
- A workplace safety and health representative is entitled to the same training and support in their role as workplace safety and health committee members.
- Workplace safety and health representatives are entitled to be compensated for attending training or performing other activities required to fulfill their responsibilities.

Evaluation criteria

As per the points outlined above and all regulatory standards.

M   Protecting vulnerable workers

Intent

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

Principles

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

To protect vulnerable workers, the safety and health management system should include the following:
1. awareness of the needs of vulnerable workers
2. a system to develop support processes appropriate to the characteristics of the vulnerable worker
3. a means of evaluating whether the support processes are effective.

Evaluation criteria

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

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

There should be broad methods to address vulnerabilities, such as considerations for literacy and language in training, programs, culturally-appropriate communications, peer mentorship programs, accommodation programming, open and healthy two-way communication.

N   Safety culture

Intent

Safety culture assessments are used to further support an understanding of the safety and health program and to promote continuous improvement. Specific protections for vulnerable workers should be used.

Principles

Safety culture is a set of shared values and beliefs that influence actions and practices regarding workplace safety and health, shaping how decisions are made, how the organization operates, and how peers and leadership build safe and healthy workplaces.

Safety culture is part of the organization's culture. It does not exist in isolation. Safety culture cannot be managed, but it can be supported and influenced.

A workplace with a strong safety culture shares common values (e.g., what is considered important) and beliefs (e.g., how values are achieved) which include:

Values:
- People expect safety and health in the workplace
- People in the workplace are our most valuable resource
- Safety and health is valued with productivity, quality and pay

Beliefs:
- Workplace injuries and illnesses can be prevented
- Leaders drive improvement
- We all play a part in building safe and healthy workplaces

A workplace enacting these values and beliefs characterizes a workplace with a strong safety culture.

Safety climate is related to safety culture – it is a snapshot of the attitudes and the shared perceptions workers have regarding safety. Understanding attitudes of workers, and their perception of the employer's commitment to safety and health, can reveal information that may not be readily assessed through documentation or observation.

Workers should have confidence in the safety and health of their work and workplace. Worker perceptions should be considered in managing safety and health.

Evaluation criteria

Safety culture is not scored as part of an audit, rather it is used to support an understanding of the safety and health program relative to the organization and for continuous improvement.

The Safety Culture element uses three distinct assessment tools requiring the auditor's assessment and comment:

1. ***Safety Culture Assessment*** (developed in collaboration with the Institute of Work and Health) provides the workplace with an assessment which can further an understanding of their safety culture and contribute to continuous improvement. Using the measurement scale provided for each of the 12 statements, the auditor must determine the percentage of time each practice takes place within the organization as a whole. For the purpose of this assessment, an audit means a formal process of evaluating and reporting on how the organization manages safety and health in accordance with a recognized standard (e.g., CSA, OHSAS, ISO) or a professional safety and health audit. "Regular" means that an audit is repeated at regular intervals (e.g., once every year or once every two years). The Safety Culture Assessment aligns to each of the safety culture values, beliefs and dimensions. Assessment results will be used to support the broad evaluation of the SAFE Work Certified program and safety culture in Manitoba. See: Appendix 4 for a sample of the Safety Culture Assessment tool.

2. ***Safety Perceptions*** - Where workplaces have used safety culture assessments (e.g., surveys, focus groups, etc.) the SAFE Work Certified auditor will also consider these results including:
   • participation
   • confidentiality
   • corrective actions
   • feedback loop to workers.

   The SAFE Work Certified auditor must comment on workers' perceptions of the organization's commitment to safety and health (see: questions 15 and 16 from worker interviews). Where there are negative responses, or responses that are inconsistent with overall audit findings, the auditor should provide a recommendation to improve safety perceptions.

3. ***Culture of Safety Maturity*** *(Adapted from: www.energyinst.org/heartsandminds)* - This tool is used to indicate where an organization sits on the culture of safety and health spectrum. Upon completion of audit activities, the auditor must indicate his or her assessment of the organization's overall performance as either: **Generative** - safety and health programming is fully integrated as a priority into all aspects of business operations, **Proactive** - safety and health programming is driven by leaders and values that drive continuous improvements, **Calculative** - safety and health programming is driven by managing hazards, or **Reactive** - safety and health programming is driven by responses to incidents.

Appendix 1
Worker interview questions

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

1. What are the hazards you can encounter while performing your job and what controls are in place to ensure you are protected from those hazards?

   a) If machinery/equipment is used, are there any safeguards or procedures to remove defective items from service?

   b) Are there any safe work procedures for the work that you do?

   c) What type of personal protective equipment do you need and how is this provided?

   d) Are you required to perform any pre-use inspections of tools or equipment?

   e) If there are hazards present involving chemicals, musculoskeletal injury, other workers, contractors or other related hazards, what are the controls?

2. Tell me about the safety training you have received.

   a) What sort of training was provided?

   b) What was it about?

   c) Who provided it?

   d) How did the trainer make sure that you understood the training?

3. Does your supervisor talk to you about safety?

4. What type of emergencies can occur here?

5. What happens if you or someone else gets hurt or has a medical emergency?

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

7. What incidents get reported and to whom?

8. Does this workplace have a workplace safety and health committee?

9. Tell me about your responsibilities for safety.

10. Do workers in this workplace follow safety rules and procedures?

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

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

13. What are your basic rights as a worker?

14. How do you protect the safety and health of co-workers and other people in the workplace?

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

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

17. Do you have any recommendations to improve safety?

Appendix 2
Senior management, manager and supervisor interview questions

The intent of senior management interviews is to evaluate the Leadership Essential, and in particular the elements related to commitment, the safety and health management system, and roles and responsibilities. In keeping with the intent of this essential, the interview should be with the most senior person of the organization who has a strategic role regarding safety and health, and who is accessible during the audit.

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

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

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

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

1. What are your safety and health responsibilities regarding the safety of the workers who report to you?
2. How do you identify, assess, control and communicate hazards in the areas that you are responsible for?
3. Are you involved in workplace safety inspections?
4. Are safety and health hazards and concerns reported to you?
5. How do you address any safety and health hazards or concerns that are reported to you?
6. Can you give an example of a safety and health hazard or concern that was reported to you and the corrective action that was taken?
7. Do you meet with your workers on a regular basis?
8. How do you ensure that your workers have been properly trained for their assigned tasks?
9. Are all incidents being reported?
10. Explain what happens when there is a workplace incident or illness?
11. Can you give an example of an incident or safety concern that you have investigated?
12. Do you hire contractors? If yes, what is your process for evaluation prior to hiring?
13. Can you describe how you orient and manage contractors when they are present at your workplace?
14. How do you evaluate the safety performance of your workers?
15. Is there a disciplinary action process that addresses safety violations?
16. How is your safety performance evaluated?
17. How is the audit action plan communicated?
18. What is your role with respect to emergency response?

Appendix 3

Workplace safety and health committee and worker representative interview questions

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

1. Tell me about the committee.

   a) Who is on the committee and how often, where and when do you meet? Are there alternates?

   b) What is your role? Have you or other members been trained?

   c) Tell me about your terms of reference.

2. Are opportunities for corrective and preventative action identified, prioritized and resolved in a timely fashion?

3. Have you received any training in your roles and responsibilities?

4. Are you involved in the workplace inspection program?

5. Tell me about your involvement in incident investigation?

6. How is the workplace safety and health committee supported by management?

7. What are some of the issues or concerns the workplace safety and health committee is currently acting on?

8. In your opinion, what is the commitment to safety and health in this workplace?

9. Is the workplace safety and health committee effective (why or why not)? Do you have any recommendations to improve the effectiveness of the workplace safety and health committee?

Appendix 4
Safety Culture Assessment tool

SAFETY CULTURE ASSESSMENT							
Safety Culture Assessment Questions		**Score**					
Question ID	Question	0 (0%-20%)	1 (21%-40%)	2 (41%-60%)	3 (61%-80%)	4 (81%-100%)	Numeric Score
SC01	Formal safety audits at regular intervals are a normal part of our business.	❏	❏	❏	❏	❏	
SC02	Everyone at this organization values ongoing safety improvement in this organization.	❏	❏	❏	❏	❏	
SC03	This organization considers safety at least as important as production and quality in the way work is done.	❏	❏	❏	❏	❏	
SC04	Workers and supervisors have the information they need to work safely.	❏	❏	❏	❏	❏	
SC05	Workers are always involved in decisions affecting their safety and health.	❏	❏	❏	❏	❏	
SC06	Those in charge of safety have the authority to make the changes they have identified as necessary.	❏	❏	❏	❏	❏	
SC07	Those who act safely receive positive recognition.	❏	❏	❏	❏	❏	
SC08	Everyone has the tools and/or equipment they need to complete their work safely.	❏	❏	❏	❏	❏	
SC09	Actions are taken to prevent future incidents.	❏	❏	❏	❏	❏	
SC10	Top management is actively involved in the safety program.	❏	❏	❏	❏	❏	
SC11	Communication is open and workers feel free to voice concerns and make suggestions.	❏	❏	❏	❏	❏	
SC12	There is a high level of trust in the worker/employer relationship at your company.	❏	❏	❏	❏	❏	

Total Safety Culture Assessment Final Score	A	
Number of Questions	B	12
Average Safety Culture Assessment Final Score	C=A/B	

Interpreting Your Score	Check Appropriate Box	
Green (Safety Culture Assessment final score is equal to or greater than 3): You are performing well overall. Keep doing what you are doing and strive for excellence.	If C > 3	❏
Yellow (Safety Culture Assessment final score is equal to or greater than 2 but less than 3): Specific safety and health practices in your organization may need some improvement. Consider if the lower scored items in your survey should be a focus area for your company. Review your practices and policies, and consider consulting your Industry Based Safety Program (IBSP) representative or a safety and health professional for information about how to improve.	If C = 2-3	❏
Red (Safety Culture Assessment final score is less than 2): Your work in safety and health likely needs attention and improvement. It is recommended that you contact your IBSP representative or a safety and health professional for further assistance.	If C < 2	❏

The Safety Culture Assessment was adapted from the Organizational Performance Metric created by the Institute for Work & Health (IWH) and is used with their permission.

SAFETY PERCEPTIONS		
QUESTION	SCORE	Comments
The auditor should offer comments on the majority of worker interview responses to the question, "In your opinion is this workplace committed to safety and health? Is it a priority? How do you know this?"		
The auditor should offer comments on the majority of worker interview responses to the question, "Is safety and health as important as quality of work and getting the work done on time?"		

CULTURE OF SAFETY MATURITY		
Benchmarking - Based on the auditor's discussions and observations, indicate what category is reflective of the organization.	**Generative -** Safety is a condition of employment, it's how we do business. **Proactive** - Safety leadership and values drive continuous improvement. **Calculative -** There are systems in place to manage all hazards. **Reactive -** Safety is important, we do a lot every time we have an incident.	