



FOUNDATIONAL PILLARS

Safety Management System

Assessment Preparation

Reference Guide



Table of Contents

1. Introduction	2
2. Abbreviations	3
3. Definitions	3
4. Safety Management System Assessment Preparation Document Inventory Checklist Supporting Information	8
Element 1 Management and Leadership	8
Element 2 Hazard Identification, Risk Assessment and Control	9
Element 3 Training and Communications	10
Element 4 Inspections	11
Element 5 Investigations	12
Element 6 Emergency Response	13
5. Document Control System	13
6. Elements of a Safety Management System, Additional Information	15
Management and Leadership	15
Hazard Identification, Risk Assessment and Control	15
Orientation, Training and Communication	17
Workplace Inspections	18
Incident Reporting and Root Cause Incident Investigations	18
Emergency Response	19
Appendix 1. Foundational Pillars Safety Management System Assessment	20
Preparation Document Inventory Checklist	20

The information/training provided is not a substitute for nor does it take precedence over *The Workers' Compensation Act*. This form does not take the place of or take precedence over Occupational Health and Safety (OHS) legislation. This form may be used to complement or supplement your OHS obligations but in no way replaces any obligations that exist under OHS legislation. Should you choose to use this form, WorkSafe Saskatchewan assumes no responsibility or liability for any outcomes that may arise from its use. All employers and workers should be familiar with *The Workers' Compensation Act*, *The Saskatchewan Employment Act* and *The Occupational Health and Safety Regulations*. This form should be adapted to meet the particular requirements of your workplace.

1. Introduction

The purpose of this reference guide is to provide additional information for employers in completing the Foundational Pillars Safety Management System Assessment Preparation Document Inventory Checklist (Appendix 1). Section 4 provides specific information for each question in the checklist. The checklist is to assist workplaces in identifying gaps in their safety management systems before a Foundational Pillars Safety Management System Assessment.

An effective safety management system is the best way to:

- Confirm compliance with Saskatchewan occupational health and safety legislation.
- Create and maintain a healthy and safe workplace.

For further clarification on commonly used words please refer to the “Definitions” section.

For more guidance on what to look for please see section 6 “Elements of a Safety Management System”.

More information on the foundational pillars, including sample templates and applicable legislation and information on the Joint Industry Committee (JIC) Framework of Standards for Health and Safety Programs can be found through the WorkSafe Saskatchewan website located at: www.worksafesask.ca. Online courses, including hazard assessment and generic workplace hazardous materials information system (WHMIS) are also available on the WorkSafe Saskatchewan website.

2. Abbreviations

Act – *The Saskatchewan Employment Act*

ANSI - American National Standards Institute

CLCII – Canada Labour Code, Part II

CSA – Canadian Standards Association

ISO - International Organization for Standardization

Ministry – Occupational Health & Safety Division of the Ministry of Labour Relations and Workplace Safety

OHC – Occupational Health Committee (sometimes called Joint Occupational Health and Safety Committee)

OHS –Occupational Health and Safety

Regulations – *The Occupational Health and Safety Regulations, 2020*

WCB ACT – *The Workers' Compensation Act, 2013 (Saskatchewan)*

WHMIS - Workplace Hazardous Materials Information System

3. Definitions

ACCIDENT - see incident definition.

ADMINISTRATIVE CONTROLS - controls that alter the way work is done, including timing of work, policies, safety rules, safe work practices, standards, safe work procedures, housekeeping practices, preventative equipment maintenance, personal hygiene practices, competent supervision etc.

CERTAIN ACCIDENTS—an employer shall ensure that every accident that causes or may cause the death of a worker or that requires a worker to be admitted to a hospital as an in-patient for a period of 24 hours or more is investigated as soon as reasonably possible by the co-chairpersons or their designates, the employer and the representative or where there is no committee or representative the employer. Section 3-18 of the Regulations

COMPETENT - possessing knowledge, experience and training to perform a specific duty. Section 3-1(1) (e) of the Act

COMPLIANCE - meeting OHS legislated standards, recognized OHS standards and/or standards established by the employer's safety management system.

CONTRACTOR - an individual or organization that provides supplies, services or work for an employer, but not as an employee for wages or salary.

DANGEROUS OCCURRENCES – any situation that did not cause but could have caused a fatality or a serious injury and any incident, whether or not a worker is injured that involves: the structural failure or collapse of a structure, scaffold, temporary false work or concrete formwork; or all or any part of an excavated shaft, tunnel, caisson, coffer dam, trench or excavation; the failure of a crane or hoist or the overturning of a crane or unit of powered mobile equipment; an accidental contact with an energized electrical conductor; the bursting of a grinding wheel; an uncontrolled spill or escape of a toxic, corrosive or explosive substance; a premature detonation or accidental detonation of explosives; the failure of an elevated or suspended platform; or the failure of an atmosphere-supplying respirator. Section 2-3 of the Regulations

DIRECTIVE DOCUMENTS – an employer’s policies, procedures and standards that structure OHS activities.

EMERGENCY - a situation that requires immediate attention, usually relating to a medical, fire or other such emergencies.

EMERGENCY PREPAREDNESS - the overall plan, resources and response required to effectively deal with an emergency situation.

EMERGENCY RESPONSE PLAN - a detailed program of action to control and/or minimize the effects of an emergency requiring prompt corrective measures beyond normal procedures to protect human life, minimize injury, to optimize loss control, and to reduce the exposure of physical assets and the environment to harm.

ENGINEERING CONTROLS – controls that make physical changes to plant or processes that minimize a worker's exposure to hazards; and include design modifications to plant, automating hazardous processes, providing mechanical aids, enclosing or isolating equipment, installing shields or barriers, diluting hazards, etc.

EQUIPMENT - means any mechanical or non-mechanical article or device, and includes any machine, tool, appliance, apparatus, implement, service or utility, but does not include the personal property owned by an individual unless that property is used in the carrying on of an occupation. Section 3-1(1) (k) of the Act

FIRST AID - immediate assistance given in case of injury until medical aid has been obtained. Section 1-2(1) of the Regulations

GENERAL SAFETY ORIENTATION - the process of familiarizing new employees with safety information applicable to all employees.

GOALS - planned objectives that an organization strives to achieve.

HAZARD - a dangerous object, event, behavior or condition, which could cause hurt, injury or loss.

HAZARD ASSESSMENT - the systematic process used to identify hazards; analyze or evaluate the risk associated with each hazard; and to determine appropriate ways to eliminate or control the hazard. Hazard assessments may include, but are not limited to, job hazard assessments

(JHAs), job safety analyses (JSAs), pre-job hazard assessments, field level risk assessments (FLRAs), pre-task risk analysis, etc.

HAZARD CONTROL - a means of reducing the risk of exposure to a hazard and could include elimination of the hazard, substitution of a hazardous product, engineering controls, administrative controls and personal protective equipment.

HAZARD IDENTIFICATION - the recognition through a formal or informal process of a dangerous object, event, behavior or condition, which could cause injury or loss.

HAZARDOUS PRODUCT – means any product, mixture, material or substance that is classified in accordance with the regulations made pursuant to subsection 15(1) of the *Hazardous Products Act* (Canada) in a category or subcategory of a hazard class listed in Schedule 2 of that Act. Section 3-47(c) of the Act

HIERARCHY OF HAZARD CONTROL - when identifying methods to control hazards, controls should be considered in the following order: elimination, substitution, engineering controls, administrative controls and personal protective equipment.

INCIDENT - any unplanned, unwanted event that may or may not cause injury, illness or damage.

INSPECTION - an examination of a workplace, selected work area or particular hazards, machinery, tools, equipment and work practices.

INSTRUCT - to give information and direction to a worker with respect to particular subject-matter. Section 1-2(1) of the Regulations

INVESTIGATION - a systematic process to uncover facts and factors involved in an incident, determining the root causes of the incident and future corrective actions to prevent re-occurrence.

JOB-SPECIFIC SAFETY ORIENTATION - the process of familiarizing new and transferring employees with safety information applicable to a job position or job task.

LAGGING INDICATOR – a measure of past performance and trends, after the fact.

LEADING INDICATOR – a measure of future performance, management commitment or systems to drive performance change.

MANAGEMENT – employees within an employer’s organization who coordinate, direct and control the employer’s activities.

MEDICAL AID - means the provision of medical and surgical aid, of hospital and professional nursing services, of chiropractic and other treatment and of prosthetics or apparatus. *WCB ACT*

NEAR MISS - an unwanted, unplanned event that did not but could have resulted in a loss. These losses could include production loss, property damage and/or injury including death.

ORIENTATION - the process of familiarizing an individual to a work process, workplace, work site or environment.

PERSONAL PROTECTIVE EQUIPMENT (PPE) - means any clothing, device or other article that is intended to be worn or used by a worker to prevent injury or to facilitate rescue. Section 1-2(1) of the Regulations

PLANT - includes any premises, site, land, mine, water, structure, fixture or equipment employed or used in the carrying on of an occupation. Section 3-1(1)(w) of the Act

POLICY - the documented principles by which an employer is guided in its management of affairs

POWERED MOBILE EQUIPMENT - means a self-propelled machine or a combination of machines, including a prime mover that is designed to manipulate or move materials or to provide a work platform for workers. Section 1-2(1) of the Regulations

PRACTICE - a standardized method for doing a generic job or operation.

PREVENTATIVE MAINTENANCE - is the systematic maintenance and servicing of machines and facilities so as to provide satisfactory operating conditions. Preventative maintenance inspections look at critical operating parts of machines and equipment based on manufacturer specifications and/or legislative requirements.

PROCEDURE - a series of actions that are done in a certain way or order; and an established or accepted way of doing something.

PROCESS - a series of actions or steps taken in order to achieve a particular end.

RECOGNIZED OCCUPATIONAL HEALTH AND SAFETY STANDARDS - are occupational health and safety standards set by the Canadian Standards Association (CSA), Standards Council of Canada (SCC), American National Standards Institute (ANSI), International Standards Organizations (ISO), National Fire Protection Association (NFPA) and any other external agencies or associations that set occupational health and safety standards applicable to the employer's operations

RELIABLE SOURCES OF OCCUPATIONAL HEALTH AND SAFETY INFORMATION – there are organizations and associations that can provide reliable information to assist workplaces. Examples include information contained on Safety Data Sheets (SDSs), or in manufacturers' manuals or specifications. Organizations that provide occupational health and safety information include various industry safety associations, the Canadian Centre for Occupational Health and Safety (CCOHS), National Institute for Occupational Safety and Health (NIOSH), and the American Conference of Industrial Hygienists (ACGIH).

RECORD - documented evidence maintained by a workplace to prove compliance to the employer's occupational health and safety policies, procedures, processes, standards, and guidelines; and compliance to OHS legislation.

REPORT - a detailed account of an action, activity, event, occurrence or subject.

RISK - the probability that during a given period of activity, a hazard could result in an incident with definable consequences.

RISK ASSESSMENT - the process of evaluating and estimating the levels of risk associated with a hazard(s) to help prioritize hazard control activities.

ROOT CAUSE - the fundamental or underlying cause(s) for the presence of a hazard or occurrence of an incident which indicate defects in the employer's health and safety management system.

RULE - a prescribed guide for conduct or action.

SAFETY RULES - short directives established to govern OHS behaviors and/or actions.

SAFE WORK PRACTICES - generally written directives so work can be completed with minimum risk to people, equipment, materials, environment, and processes.

SAFE WORK PROCEDURES - a series of specific steps that guide a worker safely through a job task from start to finish in a chronological order.

SAFETY MANAGEMENT SYSTEM - a systematic approach to managing occupational health and safety, including the necessary organizational structures, accountabilities, directive documents and supporting records.

SAFETY TALK/TOOLBOX MEETING – a regular, brief meeting to discuss safety issues and hazards in the workplace, generally held at the start of the day or job.

SERIOUS ACCIDENTS – an employer or contractor shall give notice to the division as soon as is reasonably possible of every accident at a place of employment that causes or may cause the death of a worker or will require a worker to be admitted to a hospital as an in-patient for a period of 72 hours or more. Section 2-2 of the Regulations

SITE-SPECIFIC SAFETY ORIENTATION - the process of familiarizing new and transferring employees with safety information applicable to a workplace, facility, or work site.

STANDARD - a level of quality or excellence by which something is judged.

SUPERVISOR - a person who is authorized by an employer to oversee or direct the work of the employer's workers. Section 3-1(1)(dd) of the Act

TASK - a definite piece of work assigned to, falling to, or expected of a person.

TRAIN - to give information and explanation to a worker with respect to a particular subject-matter and to require a practical demonstration that the worker has acquired knowledge or skill related to the subject-matter. Section 3-1(1)(ff) of the Act

WORK REFUSAL – a worker may refuse to perform any particular act or series of acts at a place of employment if the worker has reasonable grounds to believe that the act or series of acts is unusually dangerous to the worker's health or safety or the health or safety of any other person at the place of employment until sufficient steps have been taken to satisfy the worker otherwise or the occupational health committee has investigated the matter and advised the worker otherwise. Section 3-31 of the Act *or if applicable CLCII 128*

WORKSAFE SASKATCHEWAN - is an injury prevention and workplace strategy partnership between the Workers' Compensation Board and the Ministry of Labour Relations and Workplace Safety. WorkSafe's vision is the elimination of occupational injury and illness in Saskatchewan. WorkSafe's mission is to create a culture that prevents occupational injury and illness.

4. Safety Management System Assessment Preparation Document Inventory Checklist Supporting Information

Each question corresponds to the “Foundational Pillars Safety Management System Assessment Preparation Document Inventory Checklist” (Appendix 1). *Italicized* words are defined in Section 3, Definitions.

Element 1 Management and Leadership

- 1a Health and safety policy: documented commitment from senior management to provide a safe and healthy workplace. May be called something else, such as a Health and Safety Policy Statement. There may be two – a corporate level and a local level policy.
- 1b Safety responsibilities of managers, supervisors and workers: directive document that defines the general safety responsibilities for all levels of employees. May be part of a policy, a responsibilities statement, etc.
- 1c Process to hold employee’s accountable for safety related actions (ex. discipline policy): a directive document that defines the process to hold employees accountable for their safety actions. May be part of an overall progressive disciplinary policy and procedure that includes safety violations. May be in an employee handbook, human resources policies/procedures, collective bargaining agreement, etc.
- 1d Records that indicate all levels of employees are held accountable for safety related actions: May be written warning records, reprimands, caution letters, coaching letters, safety coaching notations in files or supervisor notebooks, verbal warning records, etc. in files. Often kept in human resources files.
- 1e SMART safety *goals* (specific, measurable, attainable, relevant, timely): safety is part of strategic planning process.
- 1f Leading indicators for safety goals: Leading indicators are a measure of future performance, management commitment or system to drive performance change. Leading indicators focus on identifying and measuring actions that will reduce the likelihood of a negative outcome before it happens. For example, a leading indicator might be measuring whether hazard assessments are being properly completed; are risks being identified and reported; or measuring the percentage of workers who have safety training beyond the legislated minimum. To be effective, the link between what leading indicators measure and the desired outcome should be clear. (Energy Safety Canada)
- 1g Lagging indicators for safety *goals*: Lagging indicators measure past performance and trends, after the fact. Some examples of lagging indicators include: number of time loss injuries / illnesses, number of lost work days or cost of property damage.
- 1h Records safety *goals* reviewed for effectiveness at least annually: may be annual organizational goal setting, management meeting minutes, year-over-year change in safety goals, etc.

- 1i Performance evaluations for all levels of employees that include a safety performance measure: records of completed employee evaluations are maintained. May be employee evaluations, employee performance reviews, etc. Often kept in human resources files.
- 1j Records safety measures on performance evaluations are reviewed for effectiveness at least annually: may be annual organizational goal setting, management meeting minutes, year-over-year change in performance evaluation measurements, etc.

Element 2 Hazard Identification, Risk Assessment and Control

- 2a *Risk assessment* method (ex. Risk matrix): standard risk assessment method used on safety records such as hazard assessments, inspections and investigations; Commonly a risk method may use consequences/severity and likelihood/probability. May be called a risk level estimator, etc.
- 2b Hazard identification, assessment and control directive document(s): document(s) that specify the processes to identify, assess and control any existing, potential, or new hazards. The document(s) should include a reference to the hierarchy of hazard controls (see definitions), prioritizing hazards according to the risk, and that hazard assessments are to be created and or evaluated whenever changes are made to operational processes (such as new equipment, different materials, etc.). May be a hazard identification procedure, hazard assessment policy, hazard control procedures, job safety analysis procedure, job task analysis procedure, field level risk assessment procedures, etc.
- 2c Completed hazard assessment records that assign a degree of risk to each hazard **and** identifies hazard controls: job hazard assessments (JHAs), job safety analyses (JSAs), pre-job hazard assessments, field level risk assessments (FLRAs), pre-task risk analysis, other completed hazard assessments etc..
- 2d Hazard reporting directive document: documented process for how hazards are reported and controlled. May be a hazard reporting procedure or policy. May be found in safety manual, employee handbook, etc.
- 2e Records identified hazards are addressed/controlled: may be on records such as hazard assessments, inspection reports, and investigation reports; on spreadsheets, in databases, etc.
- 2f *Safe work procedures*: series of specific steps that guide a worker safely through a job task from start to finish in a chronological order. May also be called safe operating procedures, standard work procedures, etc. May be found outside of the safety manual in an operating procedures binder, procedures manual, etc. but must address how to safely perform the task.
- 2g *Safety rules and/or safe work practices*: documented directives to perform a task while minimizing risk.
- 2h List of all chemical substances used, produced, handled, disposed of and stored in the workplace. May be in the Safety Data Sheet (SDS) binder.

- 2i Safety Data Sheets for all WHMIS hazardous products used, produced, handled, disposed of and stored in the workplace.
- 2j Procurement/purchasing policies/procedures that health and safety is considered by people who purchase goods and services: may be part of procurement/purchasing policies, finance policies, Master Services Agreement, pre-qualification document, contractor policies, etc.
- 2k Document that specifies the selection *standards/criteria* for purchased goods (ex. Regulatory standards, industry standards such as CSA, ANSI, etc.): may be part of procurement/purchasing, finance policies or as part of specific sections in a safety manual (example personal protective equipment, powered mobile equipment, etc.).
- 2l Records that purchased goods meet the established standards above: Completed purchase orders, contracts, tenders, purchase requests, request for proposal (RFP), agreements with reputable safety suppliers, etc.
- 2m Safety responsibilities are defined for *contractors*: may be in a directive document or record
- 2n Safety responsibilities are communicated to *contractors*: may be completed contractor orientation checklists, signed master service agreements, bid documents, etc.

Element 3 Training and Communications

- 3a Records of health and safety *orientations* for all employees (may have several types): the general safety orientation may be provided by human resources and/or the new employee's immediate supervisor; and/or may be web-based. Typically the new employee general safety orientation is only one section of a new employee orientation process. May be kept in human resources files.
- 3b Records of health and safety orientation topics reviewed annually with all employees: may include orientation refresher checklists, safety talk minutes or safety meeting minutes.
- 3c Document that identifies *instruction* and *training* necessary for workers to perform jobs/tasks safely and in compliance with OHS legislation: may be on and job-specific safety orientation checklists, training databases/matrix, training plan, job descriptions, etc.

Note: instruction/training records as required below may include: completed general, site specific and job-specific safety orientation checklists; copies of training certificates; completed on the job training record/log books; completed exams; copies of professional certifications/designations, etc. Records may be kept electronically or paper, and may be in department files, human resources files or elsewhere.

- 3d Records of all training required by legislation: OHS legislated training requirements will vary based upon the employer's operations.

- 3e Records of safe work practices and procedures instruction or training: training requirements will vary based on the position/task
- 3f Records of basic personal protective equipment (PPE) instruction: instruction requirements will vary based on the position/task and should include how to use, store, maintain and recognize the limitations of PPE.
- 3g Records of generic WHMIS education
- 3h Records of site – specific WHMIS training
- 3i Records of safety training for *supervisors*: any person who is a supervisor (is authorized by the employer to oversee or direct the work of the employer’s workers) has received training for their OHS supervisor responsibilities; WorkSafe Saskatchewan Supervision & Safety or equivalent
- 3j Records of OHC co-chair training: both OHC co-chairs have received training on the duties and functions of OHCs; WorkSafe Saskatchewan OHC Level 1 and Level 2 or equivalent
- 3k Records of first aid training: first aid certificates that confirm an adequate number and class of first aid providers to meet OHS legislative requirements (Section 5-5 of the Regulations)
- 3l Records of emergency response training: designated employees have received training for their specific emergency response roles and responsibilities. Records may include: training records for fire wardens, fire extinguisher use, employer’s emergency response team or incident command teams, internal rescue team, etc.
- 3m Training that requires recertification has been identified: this may be in a training policy, training matrix, etc. Examples of type of recertification training include first aid training, powered mobile equipment, etc.
- 3n Occupational health committee (OHC) minutes confirming committee is structured as required by OHS legislation and meets at least every 3 months (or more often if employer requires)
- 3o Records of OHC *inspections*: completed OHC inspection checklists per Section 3-17 of the Regulations
- 3p *Safety talk/tool box meeting* schedule: may be in safety talk policies, safety talk meeting minutes, safety talk agendas, etc.
- 3q Records of safety talk/tool box meetings, the meetings must be held per the schedule above: may be in safety talk meeting minutes, safety talk agendas, etc.

Element 4 Inspections

- 4a *Inspections* processes that:

- Specify types of inspections to be conducted: will vary based on the employer's operations, should comply with Section 3-12 of the Regulations and any other applicable OHS legislation. Types of inspections may include: facility inspections, PPE inspections, supervisor daily housekeeping inspections, pre-use powered mobile equipment inspections, pre-use tool inspections, pre-use vehicle inspections, pre-use machine/equipment inspections, scaffold inspections, crane inspections, etc.
- Assign personnel to conduct each type of inspection
- Set a schedule for inspections for each type

Processes may be in inspection policies/procedures, other policies (such as personal protective equipment), inspection checklists, etc.

- 4b Records of inspections completed per the processes above: completed inspection checklists that include what was inspected, who conducted the inspection and the date.
- 4c *Preventative maintenance* schedule: a schedule for each piece of equipment that meets or exceeds manufacturers' specification. May be in the maintenance department, contracts with vendors who provide preventative maintenance, etc.
- 4d *Preventative maintenance* records: completed preventative maintenance equipment specific inspection checklists, work orders, maintenance logs, detailed invoices, etc.

Element 5 Investigations

- 5a *Incident* reporting directive document(s): directive document(s) that indicate what types of incidents are to be reported and the procedure for reporting incidents. Incidents should include certain accidents (Section 2-2 of the Regulations), dangerous occurrences (Section 2-3(1) of the Regulations), *medical aid, first aid*, property/equipment damage and *near miss* incidents. May be in incident reporting policy/procedure, investigation policy/procedures, employee handbook, etc.
- 5b Directive document for reporting *incidents* to the Ministry as required: directive document that outlines the OHS legislated reporting requirements for serious accidents (Section 2-2 of the Regulations) and dangerous occurrences (Section 2-3(1) of the Regulations) The directive document must indicate the types of incidents (as defined by Sections 2-2 and 2-3(1) of the Regulations) that must be reported to the Ministry and who is responsible for reporting to the Ministry. May be in incident reporting policy/procedure, investigation policy/procedures, etc.
- 5c Records of completed *incident* reports: records may include completed incident reports, first aid registers, etc.
- 5d Incident *investigation* directive document(s): directive document(s) that indicate what types of incidents are to be investigated, assign responsibilities for conducting the incident investigations and document the process for completing root cause incident investigations. The employer should consider investigating incidents that have a high risk potential that may not fall under the incidents outlined in 5a. For certain accidents (Section 3-18(1) of the Regulations), dangerous occurrences (Section 3-20(1) of the Regulations), and work refusals (Section 3-31 of the Act) the directive document(s)

should reference the OHC co-chairs' OHS legislated investigative duties and that the procedures meet OHS legislated requirements. May be in an investigation policy/procedure, right to refuse policy, etc.

- 5e Records of completed *investigation* reports that identify *root cause* and corrective actions

Element 6 Emergency Response

- 6a Documentation that potential *emergencies* have been identified: based on the employer's operations and location. May be vulnerability assessments, hazard assessments, as part of business continuity plan, etc. Emergencies may include: fires, chemical/biological spills, violence, medical emergencies, pandemics, tornadoes, other severe weather, etc.
- 6b *Emergency response plans*: that address the potential emergencies identified above, are appropriate for the employer's operations/location that comply with Saskatchewan occupational health and safety legislation. Plans should include, when applicable, provisions for sounding the alarm, directing emergency response efforts, provisions for evacuating or sheltering-in-place, accessing external resources and/or initiating rescue operations and attending to casualties.
- 6c Fire drill records (at least annually): records may include fire drill reports, meeting minutes, etc.
- 6d Fire drill evaluation records: may be fire drill reports, meeting minutes, etc.

5. Document Control System

A document control system is an important part of a health and safety system and other systems at the workplace, such as corporate policies and records, financial, human resources, etc.

The document control system should consider the life cycle of a document. Depending on the employer, there may be a need for a directive document for document control in the different stages of a document. The four stages of the life cycle of a document and considerations are:

- Creation
 - who can create
 - who needs to approve
 - where are draft documents stored
 - how are they named?
- Implementation
 - how do documents get implemented
 - who is responsible for communicating about a new document
 - where are they stored (both electronic and paper if applicable) so the people who need them can access them?
- Revision
 - who revises
 - who approves

- who communicates there's a revised document
- how to indicate a document has been revised (ex. Revision 1, or Revised and Date)?
- Repealing
 - how to ensure old documents get pulled from service (this is especially important for forms)
 - is there an archive folder for history
 - how long do you need to retain documents (consider there may be legal requirements for some documents)?

Two types of documents used on the checklist and in the guide:

1. **Directive documents** - policies, procedures, standards that structure OHS activities. Directive documents outline what is supposed to happen.

Examples of directive documents include:

- Policy – the documented principles by which an employer is guided in its management of affairs. A policy influences decisions, actions and other activities of the organization. Examples may include a health and safety policy, a harassment policy, a violence prevention policy, etc.
- Practice – a standardized method for doing a generic job or operation. Examples may include a hygiene practice or ergonomics practice.
- Procedure – a series of actions that done in a certain way or order; an established or accepted way of doing something. A procedure could be for a larger element of the safety management system (such as an investigation procedure that outlines the types of incidents that are investigated, who investigates and where the investigation reports go) or could be for a specific task (such as a safe work procedure for changing a tire).

Note that employers may use different terms such as standards, statements, guidelines, etc.

Documented policies/procedures/practices:

- Document the organization's standards/expectations
- Assist in ensuring consistency with existing policies, procedures and practices
- Facilitate the communication of the policy/procedure/practice
- Facilitate training workers to the organization's expected standards/expectations
- Facilitate consistency in the performance of the Safety Management System
- Identify assignment of responsibility and accountability

2. **Records** – a completed form that provides documented evidence of compliance to the directive documents. Records indicate what actually happened. Over time records provide information as to the patterns of safety activities and the results of those activities.

Examples of records include:

- Completed inspection reports and records of the corrective actions taken
- Completed hazard assessments

- Completed incident investigation reports and records of the corrective actions taken
- Orientation and training records showing the date, names of attendees, and topics covered (including evidence that the training was understood)
- OHC meeting minutes
- Records showing use of progressive discipline to enforce safe work rules, practices and procedures

Another term you may hear is forms - a blank document to be completed per a directive document. A form becomes a record when it is completed. Example: a blank investigation form that is to be used to conduct an incident investigation, it becomes a record when it is complete.

6. Elements of a Safety Management System, Additional Information

A good safety management system has the following elements:

Management and Leadership

- A documented commitment from senior management to provide a healthy and safe workplace.
- Documented general safety responsibilities for all levels of employees and contractors.
- Directive documents supported by records that employees are held accountable for their safety actions.
- Directive documents supported by records that all elements of the safety management system are reviewed and revised as necessary at specified intervals that are not greater than three years and whenever there is a change of circumstances that may affect the health or safety of employees.
- Directive documents supported by records that the employer sets measurable safety goals using lagging and leading indicators.
- Directive documents supported by records that employee safety performance is evaluated.

Hazard Identification, Risk Assessment and Control

- Hazard identification, assessment and control directive documents that:
 - Assign responsibilities for identifying hazards.
 - Specify the processes for identifying biological, chemical, ergonomic, physical and psychosocial hazards in the workplace.
 - Specify the hierarchy of hazard controls is to be used when identifying hazard controls.
 - Reference prioritizing hazards based on the risk they pose.
 - Specify the processes for assessing the risk hazards pose to employees.

- Specify that hazard assessments are to be created and/or evaluated whenever changes are made to existing operational processes.
- Specify the processes for assessing the risk hazards pose to employees whenever changes are made to existing operational processes.
- Specify the processes for implementing controls to eliminate or reduce the risk hazards pose to employees.
- Specify the rules, practices and procedures that employees must follow to complete job tasks safely.
- Assign accountability for implementing hazards controls.
- Assign accountability for monitoring hazard control implementation.
- A documented plan for the control of any biological or chemical substance handled, used, stored, produced or disposed of at the place of employment and, where appropriate, the monitoring of the work environment.
- A hazard reporting directive document that:
 - Assigns responsibility for reporting hazards.
 - Identifies who hazards are to be reported to.
 - Describes how to report hazards.
 - Specifies what form is to be used to report hazards.
- A risk assessment method that:
 - Rates risk by the likelihood/probability the hazard will cause harm and the potential consequences if the hazard causes harm.
 - Identifies what actions a risk rating will prompt.
- A process to verify identified hazard controls are implemented. Identified hazard controls could result from completed hazard assessments, hazard reports, inspections, incident investigations, etc.
- Procurement directive documents that:
 - Indicate employee health and safety is considered by those purchasing goods within the organization.
 - Specify safety standards that meet or exceed regulatory (*OHS, CLCII, WHMIS, etc.*) or industry safety standards (*CSA, ISO, ANSI, etc.*) for purchasing goods, including tools, equipment and personal protective equipment (PPE).
 - Indicate employee health and safety is considered by those contracting services for the organization.
 - Define the general safety responsibilities of contractors.
- Forms, templates and tools that assist employees to:
 - Identify and report hazards.
 - Assess the risk hazards pose to employees.
 - Identify and implement controls to eliminate or reduce the risk hazards pose to employees.
- Records that include:

- Hazard inventories
- Completed risk assessments
- Completed job safety analyses and field level risk assessments
- Completed hazard reporting forms
- Request for Purchase/Proposal (RFPs) that identify specific selection criteria/standards for purchased goods
- Purchase orders (POs) that identify specific selection criteria/standards for purchased goods
- Contractor orientation checklists or signed master service agreements.

Orientation, Training and Communication

- Directive documents that identify what specific:
 - Safety information, instruction and training is required for each job position so that all employees can do their job safely and in compliance with Saskatchewan occupational health and safety legislation.
 - Training is required by Saskatchewan occupational health and safety legislation for each job position.
- A documented plan for employees to receive:
 - All the information, instruction and training necessary to protect their health and safety at work, including any procedures, plans, policies or programs that the employer is required to develop by Saskatchewan occupational health and safety legislation that apply to the work of workers and supervisors.
 - A general, site-specific and job-specific safety orientation before starting work.
 - All applicable recertification training.
 - Information about their rights under Saskatchewan occupational health and safety legislation.
- Records that verify all employees have received:
 - All the information, instruction and training necessary to protect their health and safety at work.
 - A general, site-specific and job-specific safety orientation before starting work.
 - All applicable recertification training before their certifications expire.
- Directive documents supported by records that the occupational health committee is functioning effectively and as required by Saskatchewan occupational health and safety legislation.
- A documented strategy for employee participation in occupational health and safety activities, including audit inspections and investigations of serious injuries, dangerous occurrences and refusals to work.
- Directive documents supported by records that the employer uses safety talk or toolbox meetings as a health and safety communication tool.

Workplace Inspections

- A documented schedule for the regular inspection of the place of employment and of work processes and procedures that complies with Saskatchewan occupational health and safety legislation.
- Directive documents that specify:
 - The types of inspections to be conducted.
 - Responsibility for conducting all inspections.
 - A process for addressing deficiencies identified during inspections.
- Inspection checklists for all types of inspections that:
 - Are site specific or customized specifically for the workplace where they are used.
 - List hazards and hazardous activities that should be inspected.
 - List safe work practices and procedures that should be inspected.
 - Clearly identify standards to measure workplace conditions and actions against.
- An inventory list of all equipment and a preventative maintenance schedule for each piece of equipment that meets or exceeds manufacturers' specifications.
- Records that include:
 - Completed inspection checklists for all types of inspections.
 - Completed preventative maintenance equipment specific inspection checklists, work orders, maintenance logs or maintenance invoices.

Incident Reporting and Root Cause Incident Investigations

- Directive documents that specify:
 - The types of incidents are to be reported.
 - The procedure for reporting incidents internally and to external regulators.
 - Responsibility for reporting incidents.
 - The types of incidents to be investigated.
 - The procedure for root cause incident investigations.
 - Responsibility for investigating incidents.
 - A process for addressing root causes identified during incident investigations.
- A documented procedure for the investigation of serious accidents, dangerous occurrences and refusals to work that complies with Saskatchewan occupational health and safety legislation.
- Records of:
 - Completed incident reporting forms.
 - Completed incident investigations that identify and address root causes of incidents.

Emergency Response

- Documented emergency response plans that:
 - Are appropriate for the employer's operations and location.
 - Are required by Saskatchewan occupational health and safety legislation.
 - Include the identification of internal and external resources, including personnel and equipment that may be required to respond to an emergency, including having first aid providers on site as required by Saskatchewan occupational health and safety legislation.
 - Include provisions for: sounding the alarm; directing emergency response efforts; evacuation/shelter-in-place; accessing external resources or initiating rescue operations; and attending to casualties.
- Records that indicate:
 - Employees have received training for their emergency response roles and responsibilities.
 - Fire drills are being conducted at least annually.
 - Fire drill results are evaluated and revised as necessary to correct any deficiencies.
- Processes to maintain all first aid supplies and equipment required by Saskatchewan occupational health and safety legislation.

Appendix 1. Foundational Pillars Safety Management System Assessment Preparation Document Inventory Checklist

The purpose of this checklist is to determine what documents an employer has in their safety management system. Two key definitions to complete this checklist are:

Directive documents – an employer’s *policies, procedures* and *standards* that structure occupational health and safety (OHS) activities.

Record - documented evidence maintained by a workplace to prove compliance to the employer’s occupational health and safety policies, procedures, processes, standards, and guidelines; and compliance to OHS legislation.

Note: *italicized words* are defined in section 3 of this reference guide.

Documents may be paper, electronic, or part of a computer program (ex. training matrix, preventative maintenance schedule)

Does your Safety Management System include the following documents:
(If your workplace thinks a short explanation is required (ex. it is incomplete, in draft) please put in “Comments” column)

	Document:	Yes	No	Comments
Element 1 Management and Leadership				
1a	Health and safety <i>policy</i>			
1b	Safety responsibilities of managers, supervisors and workers			
1c	Process to hold employee’s accountable for safety related actions (ex. discipline policy)			
1d	Records that indicate all levels of employees are held accountable for safety related actions			
1e	SMART safety <i>goals</i> (specific, measurable, attainable, relevant, timely)			
1f	<i>Leading indicators</i> for safety <i>goals</i>			
1g	<i>Lagging indicators</i> for safety <i>goals</i>			
1h	Records safety <i>goals</i> reviewed for effectiveness at least annually			
1i	Performance evaluations for all levels of employees that include a safety performance measure			
1j	Records safety measures on performance evaluations are reviewed for effectiveness at least annually			

Element 2 Hazard Identification, Risk Assessment and Control				
2a	Risk assessment method (ex. Risk matrix)			
2b	Hazard identification, assessment and control directive document(s)			
2c	Completed hazard assessment records that assign a degree of risk to each hazard and identifies hazard controls			
2d	Hazard reporting directive document			
2e	Records identified hazards are addressed/controlled			
2f	Safe work procedures			
2g	Safety rules and/or safe work practices			
2h	List of all chemical substances used, produced, handled, disposed of and stored in the workplace.			
2i	Safety Data Sheets (SDS) for all WHMIS hazardous products in workplace			
2j	Procurement/purchasing policies/procedures that health and safety is considered by people who purchase goods and services.			
2k	Document that specifies the selection standards/criteria for purchased goods (ex. Regulatory standards, industry standards such as CSA, ANSI, etc.)			
2l	Records that purchased goods meet the established standards above			
2m	Safety responsibilities are defined for contractors			
2n	Safety responsibilities are communicated to contractors			
Element 3 Training and Communications				
3a	Records of health and safety orientations for all employees (may have several types)			
3b	Records of health and safety orientation topics reviewed annually with all employees			
3c	Document that identifies instruction and training necessary for workers to perform jobs/tasks safely and in compliance with OHS legislation			
3d	Records of all training required by legislation			
3e	Records of safe work practices and procedures instruction or training			
3f	Records of basic personal protective equipment (PPE) instruction			
3g	Records of generic WHMIS education			
3h	Records of site – specific WHMIS training			
3i	Records of safety training for supervisors			
3j	Records of OHC co-chair training			
3k	Records of first aid training			
3l	Records of emergency response training			
3m	Training that requires recertification has been identified			

3n	Occupational health committee (OHC) minutes: confirming committee is structured as required by OHS legislation and meets at least every 3 months (or more often if employer requires)			
3o	Records of OHC <i>inspections</i>			
3p	<i>Safety talk/tool box meeting</i> schedule			
3q	Records of safety talk/tool box meetings, the meetings must be held per the schedule above			
Element 4 Inspections				
4a	<i>Inspections</i> processes that:			
	<ul style="list-style-type: none"> • Specify types of inspections to be conducted 			
	<ul style="list-style-type: none"> • Assign personnel to conduct each type of inspection 			
	<ul style="list-style-type: none"> • Set a schedule for inspections 			
4b	Records of inspections completed per the processes above			
4c	<i>Preventative maintenance</i> schedule			
4d	<i>Preventative maintenance</i> records			
Element 5 Investigations				
5a	<i>Incident</i> reporting directive documents			
5b	Directive document for reporting <i>incidents</i> to OHS Division as required.			
5c	Records of completed <i>incident</i> reports			
5d	Incident <i>investigation</i> directive documents			
5e	Records of completed <i>investigation</i> reports that identify <i>root cause</i> and corrective actions			
Element 6 Emergency Response				
6a	Documentation that potential <i>emergencies</i> have been identified			
6b	<i>Emergency response plans</i>			
6c	Fire drill records (at least annually)			
6d	Fire drill evaluation records			