



# SASM Certification Process

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## Element 1: Objective and Scope

### CASH Policy Statement

The Safety Association of Saskatchewan Manufacturers (SASM) Safety Association is committed to the development, implementation and continuous improvement of health and safety management systems for the agricultural manufacturing sector in both Saskatchewan and Manitoba. To this end, we have developed the Certificate of Achievement in Safety and Health Program that abides with the framework established by the Saskatchewan Joint Industry Committee.

The CASH Program is designed to recognize those manufacturers that have developed and implemented a functioning health and safety management system. The program requires said organizations to submit their facility to and pass an external audit performed by an SASM recognized auditor. The audit is based on a standard for health and safety that was developed by SASM and approved by the membership. Once the audit is completed, the auditor will forward their recommendation for a certificate to be issued to the organization. The certificate will remain valid for a period of three years, at which time another external audit must be completed.

The CASH Program contains an element of continuous improvement that also evaluates the performance of certified organizations annually. Using industry accident rates as a bench mark, the organizations will be measured to ensure their safety management system continues to deliver consistently improved results.

All SASM employees will abide by and conduct themselves in accordance with the Auditor Code of Ethics that has been developed for the CASH Program.

## **CASH Program Auditor Code of Ethics**

The Safety Association of Saskatchewan Manufacturers (SASM) Safety Association is responsible for maintaining the integrity and professionalism of external auditors for the Certificate of Achievement in Safety and Health Program. The association has developed the following Auditor Code of Ethics to ensure that external auditors have a standard to be accountable to. These include integrity, objectivity, confidentiality, and competency.

### **Integrity**

Auditors shall:

- Perform their duties with honesty, fairness, diligence and responsibility
- Respect and act with dedication to the CASH Program objectives and scope
- Conduct themselves without any perceived or real conflicts of interest
- Advise the Association of any activities or actions of an auditor that may be in conflict with this Code of Ethics
- Never submit any report, information or judgment that is known to be false
- Never market themselves for private services while conducting an audit
- Conduct themselves within the laws of the provincial legislative body

### **Objectivity**

Auditors shall:

- Conduct all audits as directed using the tool provided by the Association
- Conduct all audits without prejudice or bias, be it personal or professional
- Not participate in activities that may influence or impair their judgment
- Immediately disclose to the Association and the Audit Client any information that may detrimentally affect their objectivity

## Confidentiality

Auditors shall:

- Maintain the confidentiality of any information they are privy to during an audit
- Ensure that any information acquired during an audit is not used for personal or professional gain
- Maintain, to the best of their ability, the results of any audit
- Ensure that any information gathered during interviews conducted while auditing is held confidential between the auditor and the interviewee

## Competency

Auditors shall:

- Engage in services only for which they have sufficient knowledge, skills, and experience to conduct
- Not subcontract any obligation of the audit
- Never falsely represent themselves or the Association
- Be consistent and accurate in their evaluation and ensure that they report only verified facts
- Conduct themselves and the audit in a professional, effective and efficient manner

## Element 2: Auditor Skill Requirements

In order to ensure that the CASH Program maintains credibility, SASM external auditors will need to meet certain requirements. They are outlined below.

1. Auditors must possess a recognized certificate for auditor training. One can be obtained by attending SASM Auditor Training.

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2. Auditors must subject themselves to an interview to determine their level of knowledge and experience of the agricultural manufacturing industry, auditing and safety management.
3. Auditors must complete one audit acting as lead auditor with an approved SASM auditor evaluating their performance.

Once all of the above has been satisfactorily completed, SASM will make a determination as to whether the auditor will be accredited. SASM reserves the right to re-evaluate external auditors at any time, and/or remove accreditation.

### **Element 3: Auditor Non-Conformity**

Auditor non-conformity is an issue that must be addressed in order to ensure the CASH Program External Auditors conduct themselves appropriately. SASM sees two important issues surrounding this element of the program. They are:

- Conflict of Interest
- Breach of Ethics

#### **Conflict of Interest**

All SASM External Auditors are required to complete a Conflict of Interest Disclosure prior to conducting an audit for the Association. This disclosure will be reviewed by the Association and if necessary discussed with the Audit Client to ensure the results of the audit will be accepted as valid. An External Auditor is deemed to be in a Conflict of Interest when:

- They stand to gain either personally or financially from the results of an audit
- They have been involved with the development and/or implementation of the safety management system being audited
- They have falsified any information on the Conflict of Interest Disclosure

### **Breach of Ethics**

All External Auditors are required to adhere to the CASH Program Code of Ethics. Auditors are considered to be in breach when any conduct is discovered that is contrary to the previously stated code.

### **Investigation**

Any issues of Auditor Non-Conformity will immediately be investigated by the CASH Program Director. Should evidence of the non-conformity be found, the Auditor in question shall have their auditing privileges revoked and the audit conducted while the non-conformity took place will be considered void.

If it is found that the Audit Client or Auditee were involved or had knowledge of the non-conformity, their application to the program will be removed and they shall be unable to reapply for a period of one year. If they were unaware of non-conformity, or unable to prevent it, SASM will schedule another audit to take place within ten working days.

### **Appeals to Committee of Review**

SASM has established a Committee of Review made up of member representatives from around the province. The Committee is made up of six members, three of which are required to be present at any given meeting to ensure quorum. Any appeal to the decision of the CASH Director must be submitted in writing along with supporting evidence to the Association within 30 days of the disciplinary action. The Association will then contact the Committee of Review, forward on the submission and set a hearing date within 60 days. Once the date has been set and a location has been determined, the affected parties will be contacted.



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The Committee of Review must reach a majority decision, and it will be final. Any disciplinary actions handed out remain in effect until the Committee reaches their decision. Should the Committee rule against the CASH Director, all actions will be removed from the affected parties.

### **Element 4: Auditee Requirements**

In order for a certification audit to be completed by the SASM Safety Association, the Auditee must first submit a request in writing. This request will include the following:

1. The complete business name of the organization making the request, including phone, fax and WCB account numbers.
2. The number of persons employed at the organization.
3. A completed Safety Management System Self Assessment, which can be requested from SASM at any time.
4. A copy of the current Safety Manual.
5. A statement reflecting the organizations commitment to provide adequate resources for the audit to be completed.
6. The scope of the audit (which plants are to be audited).
7. The name and contact information of the person requesting the audit on the organization's behalf.

Once this information has been received, reviewed and accepted by the Association, the individual making the request will be contacted to set a date for the audit to be completed.

### **Element 5: Audit Tool Selection**

The only audit document that will be accepted by SASM for the CASH Program is the SASM CASH Audit Tool. It has been designed specifically for the agricultural

manufacturing industry using the guidelines set forth by the Saskatchewan Joint Industry Committee.

## **Element 6: Audit Process**

The SASM Safety Association will determine which companies are eligible for participation in the CASH Program using their WCB account numbers. Only members within our prescribed rate code may enroll. The Association will then choose an audit team based on the information provided by the organization, experience and knowledge within the industry, and conflict of interest guidelines. Dates for certification audits will be set on a first come, first served basis.

Once the application is received and reviewed, the Lead Auditor will put together an audit plan and forward it to the Auditee. It will include:

- The audit objectives
- The audit criteria
- The audit scope including identification of which facilities or processes are to be audited
- Dates and places where on site activities will occur
- Duration of the audit
- Responsibilities of the audit team members and representatives from the organization
- Any follow up dates that may be required

The audit will take place beginning on the agreed date between the Lead Auditor and the Auditee. Once the onsite activities are completed, the audit team will have a wrap up meeting to discuss their findings with the organization. A completed audit report will be forwarded to the organization within 14 days of the completion of the audit. Should

a follow up meeting be desired by the Audit Client, one may be set by contacting the Association after receipt of the report.

## **Element 7: Audit Score**

The CASH Program audit has been developed to ensure that it not only measures the written content of the safety management system, but also the level of implementation.

The score has been set as follows:

- 45% documentation
- 23% observation
- 32% interview

In order for an organization to receive certification, they must achieve an overall score of 80%, with a minimum of 60% in each element of the audit tool.

## **Element 8: Audit Approval**

Once completed, certification audits will be forwarded to the CASH Director within 7 days. The Director will then review the document to ensure that it has been used correctly and the score is accurate. Organizations that achieve a pass will receive their certificates within 30 days of the completion of on site activities.

Should the organization fail to reach the required grade in a certification audit, the Association will require an action plan that outlines the activities planned to ensure a pass on the next audit. Unsuccessful organizations may re-apply for certification one year after the action plan has been received and accepted by SASM.

## Element 9: Certification Length

Once certification has been received, it will be valid for a period of three years. However, SASM reserves the right to audit a plant at any time during the three year period. Organizations will be given 30 days notice prior to a re-audit, and an explanation as to why the audit is required. Occurrences that may require an early audit include but are not limited to:

- A fatality on site
- A disabling injury
- Regulatory issues

SASM may issue a certificate with a shortened expiration due to the duration of implementation of the safety management system, recent significant changes to the organization such as mergers or acquisitions, or seasonal work.

## Element 10: Certification Maintenance

Once certification has been received by an organization, they must undertake certain activities to maintain it. The SASM Safety Association will also have responsibilities to ensure certificates are maintained. They are as follows.

### SASM Responsibilities

1. Track which organizations have certification along with their expiration date.
2. Send notification to organizations 6 months prior to their expiration.
3. Issue certificates in a timely fashion.
4. Provide training to assist members with certification maintenance.
5. Provide the tools and information required by members.
6. Track legal requirements and notify members of such.
7. Maintain statistics on certified organizations.

### **Audit Client Responsibilities**

1. Inform SASM of any changes to the operation or organizational structure.
2. Inform SASM of any compliance issues with regulatory bodies.
3. Inform SASM of any disabling or fatal injuries.
4. Complete an internal audit annually.
5. Continuously improve their health and safety performance.

Any disabling or fatal injury will require an immediate investigation by the certified organization. This investigation, complete with corrective actions must be forwarded to the Association for review by the CASH Director. This information will be used to determine whether another certification audit will be conducted. Orders that are issued by regulatory bodies will require notification to the Association also. They must be accompanied by an action plan for the removal of the contravention.

Internal audits are not required to be sent to the Association. However, they must be available on request from the CASH Director. If an internal audit can not be provided when requested, certification may be suspended. Any circumstances that may hinder an organizations ability to complete the required internal audit must be divulged to the Association as soon as they are noted. SASM will then work with the organization to find a solution.

Should a certificate be suspended, the offending organization must go through the application process again. They will be required to send an internal audit with a completed action plan before being scheduled for another certification audit. Should a certificate lapse, the organization must complete the application process again.

Continuous improvement is one of the staples of the CASH Program. Certified companies will have their Injury rates monitored annually by the Association using the statistical data provided by WCB. The information gathered will be compared against the industry average. A number, which is called the Continuous Improvement

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Benchmark, will be set for the industry in October of each year and published on the SASM website ([www.sasm.ca](http://www.sasm.ca)). The following is the formula which will be employed.

$$(\text{Injury Severity} \times 1.2) + (\text{Injury Frequency} \times 1.5) + (100 - \text{Audit Score} \times 0.25) + 2.5$$

For the purpose of benchmarking, the audit score will always be set at 80%, as this is the minimum grade required for certification.

Due to the fact that the Continuous Improvement Benchmark (CIB) will decrease as the industry improves itself, organizations that find themselves above this number will keep their certification as long as their individual benchmark decreases. For those organizations that are below, or finally surpass the industry CIB, their individual score may move up and still maintain their certification, unless they go above the Continuous Improvement Benchmark. The formula that will be used to set an individual organization's benchmark will be as follows.

$$(\text{Injury Severity} \times 1.2) + (\text{Injury Frequency} \times 1.5) + (100 - \text{Audit Score} \times 0.25)$$

Note that the additional 2.5 has been removed from the formula above. This allows an organization some margin of error without exceeding the CIB.

## **Element 11: Change Notification**

The SASM Safety Association recognizes that over time organizations evolve and change. This may have an affect on the certificate that a particular organization may possess. For this reason, the Association must be notified of any changes to:

- The scope of the operation, or significant changes to the products manufactured
- Ownership of the organization

This notification must be made within 90 days of the changes becoming effective.

## **Element 12: CASH Program Complaints**

Should any member of the Association feel that they have not been treated fairly, or have a concern about the program, they may ask to have the Committee of Review adjourn and hear their case. The request shall be forwarded to the CASH Director in writing, along with supporting evidence. The CASH Director will forward the information to the Committee members and set a date for meeting within 60 days of receiving the complaint. All affected parties will then be notified of the date and location of the meeting. The Committee will hear the evidence provided and forward recommendations to the CASH Director within 7 days of the meeting.

## **Element 13: CASH Program Review**

The CASH Program will be evaluated by the Committee of Review at intervals not exceeding three years. The purpose of this evaluation will be to recommend improvements to the program and the results of the review will be made available to all members. This will ensure that the SASM staff is held accountable to the industry. Once the review is complete, recommendations shall be forwarded to the CASH Director within 14 days.