



SASM
Certification
Process

*For further information,
please call (306)525-7276 or write to:*
Safety Association of Saskatchewan Manufacturers
1313 Broadway Avenue
Regina, Saskatchewan S4P 1E5



SASM Certification Process

Revision 0 – September 27, 2007 – Original Process creation

Revision 1– August 18, 2010 – Changed AMC to SASM; references and cosmetic changes

Revision 2 – September 5, 2012 – first review completed by the Certificate of Recognition Program Review Committee

Revision 3 – June 3, 2013 – CASH removed and replaced with Certificate of Recognition

Revision 4 – January 10, 2017 Removed the requirement of Action Plans and general updating

COPYRIGHT © 2017

All rights reserved. No part of this publication may be duplicated or reproduced in any manner without written permission from SASM. The material contained in this publication is provided as a guide only. To the best of our knowledge the information is current at the date of publication. However, due to the technical nature of the subject matter contained in this publication, all information should be checked and updated before use or reliance upon the material contained herein.

Table of Contents

Contents

- Definitions..... 5
- Element 1: Objective and Scope 12
 - Certificate of Recognition Policy Statement..... 12
 - Certificate of Recognition Program Auditor Code of Ethics..... 13
 - Integrity 13
 - Objectivity 13
 - Confidentiality 14
 - Competency..... 14
 - Certificate of Recognition Program Auditor Conflict of Interest Policy..... 15
- Element 2: Auditor Skill Requirements..... 18
- Element 3: Auditor Non-Conformity 21
 - Breach of Conflict of Interest..... 21
 - Breach of the Code of Ethics 22
 - Investigation..... 22
 - Appeals to the Appeal Committee..... 23
- Element 4: Auditee Requirements & Non-Conformity 25
- Element 5: Audit Tool Selection 26
- Element 6: Audit Process Control..... 27
- Element 7: Audit Scoring..... 29
- Element 8: Audit Approval 30
- Element 9: Audit & Certification Review Process 32
- Element 10: Certification Length..... 33
- Element 11: Temporary Certification..... 35
- Element 12: Equivalency & Reciprocity..... 35
- Element 13: Certification Maintenance 37
 - SASM Executive Director Responsibilities 37
 - SASM Safety Advisor Responsibilities 37
 - Audit Client Responsibilities 37
 - Audit Client’s Internal Auditor..... 37
- Element 14: Change Notification..... 40



SASM Certification Process

Element 15: Certificate of Recognition Program Complaints..... 41
Element 16: Certificate of Recognition Program Review..... 42
 Certificate of Recognition Program Review Committee..... 43
 Terms of Reference..... 43



Definitions

Term	Definition
Accident	An unplanned, unwanted event that results in a loss
Act	Legislation that assigns health and safety duties and responsibilities to individuals in the province; officially refers to <i>The Occupational Health and Safety Act, 1993</i>
Administrative Control	A method of controlling employees' exposure to hazards by rules, procedures, practices, etc.
Assessment	A process for determining hazards associated with a job or activity
Audit	A periodic methodical and in-depth evaluation of an organization's safety programs/systems. Usually the audit is done to a known audit standard
Certified	Indicating that a person or organization conforms with a standard as judged by a qualified party
Committee	An occupational health and safety committee established pursuant to the provincial health and safety legislation
Communication	An exchange of information between or among people or groups of people which could include written, spoken, visual, or other forms of media
Competent	Possessing knowledge, experience and training to perform a specific duty
Compliance	Meeting with the minimum requirements of health and safety legislation
Consultant	One who gives professional or expert advice
Contractor	A person who, or a partnership or group of persons that, pursuant to one or more contracts, directs the activities of one or more employers or self-employed persons involved in work at a place of employment
Contravention	A violation of a legislative duty and/or responsibility
Controlled Product	A controlled product within the meaning section 15(1)(a) of the Hazardous Products Act (Canada)
Critical	Essential to the health, safety and welfare of
Culture	The overall attitudes, outlook and behavior typical of a given organization
Dangerous Occurrence	Any occurrence that does not result in, but could have resulted in, a condition or circumstance set out in sections 8 of the <i>Saskatchewan Occupational Health and Safety Regulations, 1996</i>

Term	Definition
Direction	Instruction, order, command, or guidance for completing a task
Disabling Injury	An injury that prevents a person from coming to work or doing his or her usual job duties
Discrimination	Treatment or consideration of, or making a distinction in favour of or against, a person or thing based on the group, class, or category to which that person or thing belongs rather than on individual merit: racial and religious intolerance and discrimination
Discriminatory Action	Any action or threat of action by an employer that does or would adversely affect a worker with respect to any terms or conditions of employment or opportunity for promotion, and includes dismissal, layoff, suspension, demotion or transfer of a worker, discontinuation or elimination of a job, change of a job location, reduction in wages, change in hours of work, reprimand, coercion, intimidation or the imposition of any discipline or other penalty
Document	Any written item, as a book, article, or letter, especially of a factual or informative nature
Documentation	The act or instance of furnishing a record or authenticating an event, process or thing
Due Diligence	The taking of every precaution reasonable in the circumstances for the protection of the health and safety of workers
Duty to Accommodate	The Supreme Court of Canada has ruled that an employer has a legal duty to take reasonable steps, in policies or conditions of work, to accommodate an employee's individual needs. This duty applies to all grounds of discrimination (race, religious belief, age, mental disability, physical disability, colour, gender, marital status, family status, and source of income, ancestry, place of origin or sexual orientation)
Elimination	The process of removing a hazardous product, substance or process
Emergency	A situation that requires immediate attention, usually relating to a medical, fire or other such emergency
Emergency Plan	Detailed procedures for responding to an emergency, such as fire or explosion, a chemical spill, or an uncontrolled release of energy. An emergency plan is necessary to keep order, and minimize the effects of the disaster
Emergency Preparedness	The overall plan, resources and response required to effectively deal with an emergency situation
Employee	An individual who works for an employer for wages or a salary

Term	Definition
Employer	A person, firm, association or body that has, in connection with the operation of a place of employment, one or more workers in the service of the person, firm, association or body
Engineering Control	The physical arrangement, design or alteration of workstations, equipment, materials, production facilities or other aspects of the physical work environment, for the purpose of controlling risk
Environment	The surrounding conditions, influences, and forces to which an employee is exposed in the workplace
Equipment	Any combination of mechanical parts that transmits from one part to another or otherwise modifies force, motion or energy
Ergonomics	An applied science that studies the interaction between people and the work environment. It focuses on matching the job to the worker
External Auditor	An auditor employed by SASM completing audits at an Auditee's location(s)
First aid	The immediate care given to a person who's injured or who suddenly becomes ill. It can range from disinfecting a cut and applying a bandage to helping someone who is choking or having a heart attack. This treatment is usually provided in house
Follow-up	The process of checking to see that corrective action has taken place after an inspection, investigation or loss
Formal	Made or done in accordance with procedures which ensure validity: a formal inspection, in a favorable sense, applies to desirable conformity with accepted procedures or practices.
Frequency	The measurement of how often a given incident occurs; for example, a lost time frequency would express how many lost time incidents are taking place per a given number of hours worked (e.g. TL/ 200,000 hours)
Guarding	Use of any device or combination of devices designed to keep any part of a worker's body out of the danger zone of a machine during its operating cycle. This usually involves guarding the point of operation, guarding power transmission components by fixed enclosures, and/or protecting the operator and nearby workers from flying fragments
Harassment	Any inappropriate conduct, comment, display, action or gesture by a person that either is based on race, creed, religion, colour, sex, sexual orientation, marital status, family status, disability, physical size or weight, age, nationality, ancestry or place of origin
Hazard	The potential of any machine, equipment, process, material (including biological and chemical) or physical factor that may cause harm to people, or damage to property or the environment.

Term	Definition
Hazard Analysis	A process of identifying the critical steps to a job, the hazards associated with those steps and the actions required to eliminate or reduce the hazards associated with the steps. Also referred to as a Job Task Analysis (JTA) or Job Safety Analysis (JSA)
Hazard Assessment	A process for determining hazards associated with a project
Hazard Control	The process implemented to reduce the likelihood of loss from a hazard
Hazard Identification	The recognition through a formal or informal process of a dangerous object, event, behavior or condition, which could cause injury or loss
Health	The condition of being sound in body, mind and spirit, and shall be interpreted in accordance with the objects and purposes of the Act
Illness	Disease of body or mind; poor health; sickness
Implementation	To put into effect according to, or by means of a definite plan or procedure
Inclement Weather	Any type of weather condition that makes travel on roadways extremely dangerous. It can take the form of: snowstorms, heavy fog, rain and ice build-up on roads
Informal	Not according to the prescribed, official, or customary way or manner; irregular; unofficial: informal proceedings
Incident	Any occurrence which resulted in or had the potential for causing an injury or occupational disease; damage to property; or loss to process
Injuries	Harm or damage that is done or sustained by a worker
Inspection	A deliberate, systematic, critical examination of an activity, object or process.
Instruction	Giving information and direction to a worker with respect to particular subject matter
Internal Auditor	An auditor employed by the Auditee
Investigation	The process of systematically gathering and analyzing information about an accident or incident. This is done for the purposes of identifying causes and making recommendations to prevent the accident / incident from happening again
Job	A piece of work, especially a specific task done as part of the routine of one's occupation or for an agreed price, anything a person is expected or obliged to do; duty; responsibility
Job Hazard Analysis	A procedure performed to identify any present or potential hazards associated with any specific job or task

Term	Definition
Loss	The state in which something of value is lost; these losses could include production loss, property damage and/or injury, including death
Loss Control	Measures taken to prevent and reduce loss. Loss may occur through injury and illness, property damage, poor work quality, etc
Manager	A person who has control or direction of an institution, business, etc., or of a part, division, or phase of it
Material Safety Data Sheet - or "MSDS"	A document disclosing the information referred to in section 13(a)(i) to (v) of the Hazardous Products Act (Canada) and section 12(1) to (3) of the Controlled Products Regulations (Canada)
Minor Accident	An accident which does not require hospital attendance, but could require in-house (First Aid) medical attention. (Non-life threatening). Minor accident could also result in no medical injury, but consist of minor property or equipment damage
Monitoring	The systematic measurement of Health hazards to which workers are exposed. There are two types of measurements that can be taken: biological (worker) and environmental (workplace air)
Near miss	An unwanted, unplanned event that does not result in a loss; these losses could include production loss, property damage and/or injury including death
Owner	In relation to any land or premises used or to be used as a workplace, includes; a trustee, receiver, mortgagee in possession, tenant, lessee or occupier of the land or premises, and a person who acts as an agent or delegate of a person mentioned earlier. But does not include a person who occupies premises used as a private residence, unless that person carries on a business, profession or trade at that residence
Orientation	An introduction, as to guide one in adjusting to new surroundings, employment, activity, or the like: New employees receive two days of orientation
Organization	A company, operation, undertaking, establishment, enterprise, institution or association, or a part or combination thereof that has its own management. An organization may be incorporated, unincorporated, public or private
Periodic	Recurring at intervals of time, occurring or appearing at regular intervals
Personal Protection Equipment (PPE)	Any device worn by a worker to protect against hazards. Some examples are: respirators, gloves, ear plugs, hard hats, safety goggles and safety shoes
Practicable	That which is reasonably capable of being done
Practice	A standardized method for performing generic tasks or operations

Term	Definition
Probability	The likelihood or chance that an event will occur
Procedure	A step-by-step description of how to do a task, job, or activity properly
Procurement	The act of getting possession of something; "he was responsible for the procurement of materials and supplies
Quorum	The minimum number of management and worker members the occupational health and safety committee determines must be present in order to carry out its business
Record Keeping	Keeping documentation of pertinent information regarding important stats, inventory, financial, etc.
Repetitive Muscular Strain	A problem with the muscles, tendons or nerves that happens over time due to overuse. Examples of repetitive strain injuries include: Carpal tunnel syndrome and tendonitis
Responsibility	A particular burden of obligation upon one who is responsible: the responsibilities of authority
Return to Work (RTW)	A program at a company whose work specifies toward an employee's injuries or disabilities to allow an earlier return to work
Rights	Adherence or obedience to moral and legal principles and authority
Risk	The probability and severity of a worker suffering an injury or health problem, or of damage occurring to property or the environment as a result of exposure to or contact with a hazard
Root Cause	The real or underlying cause(s) of an event, Distinguished from immediate cause(s) which are usually quite apparent
Safety	The prevention of physical injury to workers and the prevention of physical injury to other persons arising out of or in connection with activities in the workplace
Safety Management System	A system including administrative and procedural plans for hazard identification, control and loss prevention; the process of putting them in place and maintaining and measuring their performance
Safety Data Sheet - or "SDS"	A document disclosing the information referred to in section 13(a)(i) to (v) of the Hazardous Products Act (Canada) and section 12(1) to (3) of the Controlled Products Regulations (Canada)
Severe Weather	Any type of weather that is a threat to life or property. It can take the form of: hail, strong winds, severe thunderstorms, tornados, or multiple combinations of severe weather striking simultaneously.
Severity	The degree of harm that results from an occurrence
Standard	A guideline, rule, principle, or model that is used as a means to compare, measure or judge performance, quality, etc.
Supervisor	A person who is authorized by an employer to oversee or direct the work of workers

Term	Definition
Supplier	A person who supplies, sells, leases, installs or provides any tool, equipment, machine or device, or any biological substance or chemical substance, to be used in a workplace
Task	A set of related steps that make up a discrete part of a job. Every job is made up of a collection of tasks. For example, answering a phone or entering data into a computer are tasks of a receptionist's job
Tool Box Meeting	An on-site safety meeting, used as an opportunity to discuss existing or potential safety hazards or concerns as well as used as an opportunity to educate personnel in specific safe work practices and procedures
Training	To make proficient with specialized instruction and practice
Worker	A person that works, a labourer or employee. A person engaged in a particular field, activity, or cause
Workplace	Any building, site, workshop, structure, mine, mobile vehicle, or any other premises or location whether indoors or outdoors in which one or more workers, or self-employed persons, are engaged in work or have worked
Workplace Inspection	A regular and careful check of a workplace or part of a workplace in order to identify health and safety hazards and to recommend corrective action. Workplace factors that have potential to cause injury or illness to employees include: equipment, materials, processes or work activities and the environment
Work Refusal	The right of a worker to refuse unusually dangerous work when the worker has reason to believe that he or she would be endangered by performing that task

Element 1: Objective and Scope

Certificate of Recognition Policy Statement

The Safety Association of Saskatchewan Manufacturers (SASM) is committed to the development, implementation and continuous improvement of health and safety management systems for the manufacturing sector in Saskatchewan. To this end, we have developed the Certificate of Recognition Program that is in accordance with the framework of standards for programs, audits and certification as established by the Saskatchewan Joint Industry Committee.

The Certificate of Recognition 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 a SASM auditor. The audit is based on a standard for health and safety that was developed by SASM and approved by the membership. Once an audit is completed, and the scoring criteria are met, the auditor will forward their recommendation for certification to be approved for the organization. The certification will remain valid for a period of three years if audit maintenance is completed (per Element 4: Auditee Requirements & Non-Conformity), at which time another external audit must be completed.

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

All SASM Certificate of Recognition Audits performed by accredited auditors will follow the quality assurance procedures as set forth in this Certificate of Recognition Certification Process. These procedures include items such as audit review and use of the audit protocol.

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

Certificate of Recognition Program Auditor Code of Ethics

SASM is responsible for maintaining the integrity and professionalism of external auditors for the Certificate of Recognition Program. The association has developed the following Auditor Code of Ethics to ensure that external auditors meet standards for integrity, objectivity, confidentiality, and competency.

Integrity

Auditors shall:

- Perform their duties with honesty, fairness, diligence and responsibility
- Respect and act with dedication to the Certificate of Recognition Program's 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 manipulate the audit data to influence the audit outcome
- Never allow the company being audited to influence the audit results
- Never market themselves for private services while conducting an audit
- Conduct themselves within the laws of the provincial legislative body
- Never accept a fee, gratuity or gift during the audit process

Objectivity

Auditors shall:

- Conduct all audits as directed using the tool provided by SASM
- 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, or would be considered a Conflict of Interest

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
- 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
- Not subcontract any obligation of the audit without prior approval from the SASM Executive Director
- Never falsely represent themselves or SASM
- 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

The Code of Ethics form will be signed by all auditors; a copy of the form will be kept on file by the SASM Executive Director.

Certificate of Recognition Program Auditor Conflict of Interest Policy

External Auditors shall not permit any actual, possible, or perceived Conflict of Interest with the interests of the Audit Client or SASM.

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, while as a member of the SASM staff or otherwise
- They have falsified any information on the Conflict of Interest disclosure form
- They have broken the Confidentiality Agreement (page 15)

The Conflict of Interest disclosure form, signed by all participating auditors, will be presented to the company during the Pre-Audit (Opening) Meeting; a copy of the forms will be kept on file by the SASM Executive Director.

Breaches of the Auditor Code of Ethics or Auditor Conflict of Interest will be resolved as per the procedure laid out in Element 3: Auditor Non-Conformity.

See next two pages for Conflict of Interest and Confidentiality Agreement forms to be used.



Conflict of Interest

The Safety Association of Saskatchewan Manufacturers (SASM) and

Firm Name: _____

shall not permit any actual, possible, or perceived conflict of interest with the interest of the company or SASM. Any such conflict will be immediately disclosed upon coming to the knowledge of the auditor.

Disclosures:

- I have taught a great number of classes at this firm
- I knowingly am a shareholder in this company
- I have written, or provided, portions of the Safety Management System
- I have worked as a Safety Consultant (other than with SASM) at this firm
- I am personally involved with Senior Management
- Other: _____
- Other: _____
- Other: _____
- Other: _____

Auditor's Signature _____ Date _____





Confidentiality Agreement

between

Safety Association of Saskatchewan Manufacturers (SASM)

and

(Firm Name)

and

(Auditor's Name)

SASM and our Auditors agree that all information received or obtained in the course of the audit is confidential information. The auditor shall use all reasonable efforts to keep in confidence and not to use or disclose any of the company's confidential information, and to protect same against disclosure, misuse, espionage, loss, or theft.

The auditor acknowledges that the SASM has stated its belief that irreparable harm would be suffered by the company if its confidential information were disclosed or the terms of this agreement were breached. In the event of any breach or threatened breach of the provisions of this agreement, the company or SASM may seek an injunction or other such relief to halt or prevent disclosure. Upon completion of the audit the auditor shall return to the company any confidential information arising from the audit in the auditor's possession in written or other tangible form.

The auditor will not issue any press release or make any statement concerning and dealings with the company or SASM without the express written consent of the company or SASM.

Auditor's Signature _____ Date _____

Element 2: Auditor Skill Requirements

In order to ensure that the Certificate of Recognition Program maintains credibility, SASM Internal and External Auditors will need to meet certain requirements.

Both Internal and External Auditors must:

- Be familiar with the relevant Occupational Health & Safety legislation
- Have a working knowledge of the Certificate of Recognition Standard
- Possess a recognized certificate for auditor training:
 - External Auditors – a Nationally or Internationally accepted Certification in auditing
 - Internal Auditors – SASM SMS/ Certificate of Recognition Development or SASM Internal Auditor training
- Subject themselves to an interview to determine their level of knowledge and experience of the manufacturing industry, practices and procedures utilized for auditing, and safety management systems in general. The interview findings must be documented and kept on file by the SASM Executive Director
- Always conduct themselves as per the Certificate of Recognition Program Auditor Code of Ethics
- Complete one audit acting as lead auditor with an approved SASM auditor evaluating their performance

During the controlled audit the following skills will be evaluated using the Auditor Performance Evaluation form:

- Job Knowledge and Analytical/Decision Making Skills
- Communication Skills and Interpersonal Relations
- Productivity and Adaptability
- Initiative and Dependability
- Client Focus
- General Soft Skills

The purpose of the performance evaluation is to help develop auditor skills by providing constructive feedback and positive reinforcement of work performance.

The rating system on the Auditor Performance Evaluation shall be as follows:

- **Exceptional** – Performance significantly and consistently exceeds normal job requirements and expectations of the position
- **Commendable** – Performance is clearly and consistently above and beyond normal requirements and expectations for the position. Accomplishments are above expected level or essential job requirements
- **Satisfactory** – Performance consistently meets the normal job requirements and expectations of the position in all aspects
- **Needs improvement** – Performance meets most essential job requirements; however, work is not consistent and requires revision and some degree of supervision
- **Unsatisfactory** – Performance does not meet the minimum requirements of the job and requires frequent revision and a high degree of supervision and direction

Auditors will be trained on, and required to complete:

- Audit Plans;
- Confidentiality Agreements;
- Conflict of Interest disclosure forms;
- Documentation review, observations and interviews as required to complete the SASM Certificate of Recognition Audit Tool; and
- The Certificate of Recognition Certification Audit Report and the Certificate of Recognition Audit Report

Records of training and evaluation indicating auditor competence and accreditation will be documented on the Auditor Performance Evaluation form and kept on file by the SASM Executive Director.

Once all of the above has been satisfactorily completed, SASM will make a determination as to whether or not the auditor will be accredited. SASM reserves the right to re-evaluate external auditors at any time, and/or remove accreditation.

SASM Certification Process

Accredited Lead Auditors must contact the company to be audited, after their request for an audit has been approved by the SASM Executive Director, to make arrangements for the audit and ensure that the pre-arrival documentation is forwarded to the SASM office.

The Lead Auditor must forward the documentation list to the company to be audited to ensure expectations for the Auditee and Auditor, in regards to document review, are clear.

The Lead Auditor must also submit an Audit Plan to the company no less than one week prior to the audit commencing.

Element 3: Auditor Non-Conformity

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

Breach of Conflict of Interest

All Auditors are required to adhere to the Certificate of Recognition Program Conflict of Interest Policy. Auditors are considered to be in breach when any conduct is discovered that is contrary to the previously stated policy (page 14), or any parties acting on the behalf of SASM will gain financially based on the audit findings and report.

If a breach of the Conflict of Interest Policy has been discovered, a report of the breach must be made in writing to the SASM Executive Director prior to the Opening Meeting on Day One of the facility audit. If an undisclosed breach is discovered, a report of the breach must be made in writing to the SASM Executive Director within 24 hours of the breach discovery. The Executive Director will immediately respond to the claim of breach of Conflict of Interest, and have an investigation completed not more than seven days from the date of the claim.

The Auditor in question will be removed from the audit process and will have their auditing duties reassigned until the completion of the investigation by the SASM Executive Director.

Any party may report a breach of Conflict of Interest; the written report submitted to the Executive Director must include documentation to support the claim of the breach.

Breach of the Code of Ethics

All Auditors are required to adhere to the Certificate of Recognition Program Code of Ethics. Auditors are considered to be in breach when any conduct is discovered that is contrary to the previously stated code (page 12).

If a breach of Code of Ethics has been discovered, a report of the breach must be made in writing to the SASM Executive Director within 30 days of the date of the breach. The Executive Director will immediately respond to the claim of breach and have an investigation completed not more than seven days from the date of the claim.

Any party may report a breach of Ethics; the written report submitted to the Executive Director must include documentation to support the claim of breach.

The Auditor in question will be removed from the audit process and will have their auditing duties reassigned until the completion of the investigation by the SASM Executive Director.

Investigation

Any issues of Non-Conformity will immediately be investigated by the SASM Executive Director.

When a claim of breach, whether Conflict of Interest or Code of Ethics, is made, the SASM Executive Director will immediately respond to the complainant; an investigation will be undertaken and completed within seven days of the complaint. If multiple investigations are required, investigation sequence will be prioritized based on potential severity.

Complaints of both internal and external parties will be investigated by the SASM Executive Director; all complaints must be in writing and accompanied by documentation to support the claim. The SASM Executive Director will notify the Auditor and Auditee, in writing, that an investigation is taking place based on a claim of breach.

SASM Certification Process

All effected parties will be notified of the results of the investigation, in writing, by the SASM Executive Director within seven days of the investigation completion.

Should evidence of the non-conformity be found, the Auditor in question shall have their auditing privileges revoked and disciplined accordingly; 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 the Appeal Committee

Decisions of the SASM Executive Director in regards to breach, whether Conflict of Interest or Code of Ethics, can be appealed to the Appeal Committee.

SASM has established an Appeal Committee made up of member representatives from around the province. The Committee is made up of six members, all members are volunteers and selected by the SASM Executive Director; three members will be from the Board of Directors, including the President, and three industry representatives, giving preference to firms that are or are in the process of being certified. Three members are required to be present at any given meeting to ensure quorum.

Any appeal to the decision of the SASM Executive Director, whether breach of Conflict of Interest or Code of Ethics must be submitted in writing along with supporting evidence to the President of the Association within 30 days of the disciplinary action. The President of the Association will then contact the Appeal Committee, forward on the submission, and set a hearing date within 60 days of the appeal date.

The President of the Association will notify the SASM Executive Director and the Auditor and Auditee, in writing, that an appeal of the SASM Executive Director's decision of the breach is taking place.

SASM Certification Process

Once the date has been set and a location has been determined, the affected parties will be contacted in writing by the President of the Association.

It is the responsibilities of the Appeal Committee to examine each appeal, case-by-case, and compare the situation to the standards set forth by this Certification Process and make judgment on the appeal before them.

Any disciplinary actions handed out by the SASM Executive Director will remain in effect until the Appeal Committee reaches their decision. The Appeal Committee must reach a majority decision, and that decision will be final. The affected parties will be contacted in writing by the President of the Association within seven days of the Hearing date with the decision of the Appeal Committee. Should the Committee rule against the SASM Executive Director, all actions will be removed from the affected parties.

Element 4: Auditee Requirements & Non-Conformity

In order for a certification audit to be completed by SASM, the Auditee must first submit a request in writing. The written request must be made on the SASM Request for Certificate of Recognition Audit form; this request will include the following information:

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

Upon receiving the Auditee's Safety Manual, the Lead Auditor will review the contents for the sole purpose of supporting the information submitted by the Auditee on the Safety Management System Self Assessment.

Once this information has been received, reviewed for completeness and then accepted by the Association, the individual making the request will be contacted by the Lead Auditor to set a date for the audit to be completed. Information set forth on the "First Contact Checklist" must be discussed during this initial contact. The Lead Auditor will also forward a copy of the "Document list for Audit or Gap" to the Auditee to ensure that the required documentation as indicated on the list is made available before and after the team's arrival at the audit facility.

SASM Certification Process

Organizations that successfully achieve SASM Certification must maintain their certification with annual Internal Audits completed after year one and after year two; these annual internal audits must be submitted to the SASM Executive Director within 30 days of the anniversary of the original certification date.

Internal Auditors must possess the skills and accreditation as set forth in “Element 2: Auditor Skill Requirements”.

In addition to annual Internal Audits, the Auditee must fulfill certain activities to maintain their certification status:

- Inform SASM of any significant changes to the operation or organizational structure
- Inform SASM of any compliance issues with regulatory bodies
- Inform SASM of any disabling or fatal injuries
- Continuously improve their health and safety performance

SASM will return the third year to complete a full Re-Certification Audit.

Element 5: Audit Tool Selection

The only audit document that will be accepted by SASM for the Certificate of Recognition Program is the appropriate SASM Certificate of Recognition Audit Tool (Bronze, Silver or Gold). They have all been designed specifically for the manufacturing industry. The SASM Certificate of Recognition Gold Level Audit Tool exceeds the guidelines set forth in the framework of standards set by the Saskatchewan Joint Industry Committee. The information gathered within all levels of the SASM Certificate of Recognition Audit Tool and audit scoring is, at a minimum, related to all elements and sub-elements content identified in document *JIC-002-1.2*.

Element 6: Audit Process Control

SASM will determine which companies are eligible for participation in the Certificate of Recognition Program using their WCB firm rate codes or membership status. Non-Rate Code Firms must obtain membership prior to submitting their "Request for Certificate of Recognition Audit" form to SASM.

Requests for a Certificate of Recognition Audit must be submitted to the SASM Executive Director; all requests must be made in writing and as per Element 4: Auditee Requirements & Non-Conformity.

Once the application is received, reviewed for completeness, and accepted, the SASM Executive Director will choose a Lead Auditor and an audit team based on the information provided by the organization, Auditor Skill Requirements as indicated in Element 2, auditor availability, and conflict of interest guidelines. Dates for certification audits will be set on a first come, first served basis.

The Lead Auditor will make contact with the Auditee as indicated in Element 4: Auditee Requirements & Non-Conformity. The Lead Auditor will also complete an audit plan, using the "Certificate of Recognition Audit Plan" form, and forward it to the Auditee no less than one week prior to the audit commencing; the audit plan will include:

- The audit objectives
- The audit scope including identification of which facilities or processes are to be audited
- The audit criteria
- Dates and places where on site activities will occur
- The Audit Team and their responsibilities
- Duration of the audit
- Approximate number of interviews to be conducted
- The Auditee responsibilities

SASM Certification Process

The audit will take place beginning on the date agreed upon by the Lead Auditor and the Auditee. The Audit will progress as indicated on the "SASM Flow Chart" found on page 10 in the "Certificate of Recognition Audit Procedure":

- Pre-Audit Meeting
- Familiarization Tour
- Documentation Review, Interviews & Observation Tour per Audit Tool
- Once the onsite activities are complete, the audit team will have a non-scored Post Audit Summary meeting to discuss their findings with the organization.

The completed audit reports based on the 21 element Certificate of Recognition Audit Tool will be finalized within 21 days of the completion of the audit. The Certificate of Recognition Certification Audit Report will include a clear indication of where and why every point was deducted in each of the 21 elements. The Certificate of Recognition Audit Report will include suggestions as to how the organization can improve their safety program and meet the requirements of the Audit Tool.

The Lead Auditor will contact the Auditee Representative to arrange a date for the Closing Meeting, if the date was not agreed upon at the Post Audit Summary Meeting. The Closing Meeting will explain the completed audit reports, including all scoring and an overview of opportunities for improvement. The Lead Auditor's working copy of the SASM Certificate of Recognition Audit Tool (Bronze, Silver or Gold) will be kept on file by the SASM Executive Director.

Successful Certification Audits will have a certification length 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
- High incident rates
- Regulatory issues

Unsuccessful organizations may re-apply for another certification audit no sooner than six months after the abovementioned Closing Meeting.

Element 7: Audit Scoring

The SASM Certificate of Recognition Audit Tool 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:

- 46% documentation
- 22% 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 of the 21 elements of the audit tool.

The information gathered within the SASM Certificate of Recognition Audit Tool and audit scoring is, at a minimum, related to all element and sub-element content identified in document JIC-002-1.2.

Element 8: Audit Approval

The Auditors, both Internal and External, will submit their audits and the accompanying reports to the SASM Executive Director, at the SASM office, within five business days of the audit completion. The SASM Executive Director will then review the document for Quality Assurance purposes; specifically to:

- ensure the Audit Tool has been used correctly
- review of the element and sub-element scoring and weighting
- review of the auditor's comments for improvement
- review to confirm the audit element and sub-element scoring to ensure the scoring relative to the auditor comments are parallel
- review the Certificate of Recognition Audit Report (qualitative) and the Certificate of Recognition Certification Audit Report (quantitative) to ensure they are parallel

Any audits not meeting quality assurance standards will be returned to the auditor for corrections and resubmission; audits will be returned to the auditor by the SASM Executive Director within five business days of submission. Resubmission to the SASM Executive Director of the corrected audit must be within five business days of the audit's return.

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 (overall 80%), organizations may re-apply for another certification audit six months after the initial unsuccessful audit completed by SASM.

SASM Certification Process

Should the organization pass 18 or more, but less than all 21, elements with a score of 60%, and still achieve an overall scoring of 80%, the organization has the opportunity to apply for a Limited Scope Audit. Organizations may apply for a Limited Scope Audit to be completed no less than three months after the original Certification Audit had been completed by SASM.

The Limited Scope Audit will only take into consideration a maximum of three elements that did not receive a score of 60% on the original Certification Audit. The Limited Scope Audit results will be added to the original Certification Audit scores to provide the newly achieved overall audit score.

Organizations that achieve a minimum of 60% on all the elements considered in the Limited Scope Audit will receive their certificate within 30 days of the completion of on-site activities. Unsuccessful organizations may re-apply for another full Certification Audit six months after the Limited Scope Audit. Dates for certification audits will be set on a first come, first served basis.

Element 9: Audit & Certification Review Process

Decisions of the SASM Executive Director made through the quality assurance guidelines in regards to audit scoring and the denial or removal of certification can be appealed to the Appeal Committee (as defined in Element 3: Auditor Non-Conformity). If a current member of the Appeal Committee is from the organization putting forth the appeal, that member will be asked to recuse themselves and be replaced with an alternate member as selected by the President of the Association.

Any appeal to the Appeal Committee must be submitted in writing complete with supporting evidence, to the President of the Association within 30 days of the Certification Audit Closing Meeting. The President of the Association will then contact the Appeal Committee, forward the submission and set a hearing date within 60 days of the appeal date. Once the date has been set and a location has been determined, the affected parties will be contacted in writing by the President of the Association.

The Appeal Committee must reach a majority decision, and that decision will be final. The affected parties will be contacted in writing by the President of the Association within seven days of the Hearing date with the decision of the Appeal Committee.

Element 10: Certification Length

Once certification has been achieved, it will be valid for a period of three years as long as specific requirements are met.

The requirements are as follows:

- Internal Audits completed after year one and year two; Internal Audits must be completed by an Accredited Internal Auditor as per Element 2: Auditor Skill Requirements
- Inform SASM of any changes to the operation or organizational structure
- Inform SASM of any compliance issues with regulatory bodies
- Inform SASM of any disabling or fatal injuries
- Continuously improve their health and safety performance
- SASM must perform a Re-Certification Audit after the third year

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
- High incident rates
- Regulatory issues

SASM may issue a certificate with a shortened expiration date, due to the:

- duration of implementation of the safety management system
- recent significant changes to the organization such as mergers, acquisitions,
- changes to the primary business
- or seasonal work

There are many audit types, all of which serve different purposes:

Benchmark Audits – are used when an organization understands that they will not pass a certification audit, but require a benchmark of their current Safety Management System (SMS)

External Certification Audits – are performed by SASM for the purpose of certifying an organization’s SMS (Certification length: 3 years)

External Re-Certification Audits – are performed after the third year at an organization that has previously passed an External Certification Audit (Certification length: 3 years)

Internal (Maintenance) Audits – are performed by an internal resource at an organization that has passed an External Certification Audit; Internal Audits are performed after year one and after year two (Certification length: 1 year)

Limited Scope Audit – are performed, on not more than three elements, at organizations that did not achieve 60% in every element of their Certification Audit, but did attain an overall score of over 80%. Limited Scope Audits can be requested three months after the initial audit has been completed and submitted to SASM (Certification length: 3 years, if all elements score 60% or higher)

The SASM Executive Director will review the certification process, including Certification Length, annually for adherence to the policies and procedures, as well as program effectiveness.

Auditees that seek any matter of exception or exemption in the certification process must make an application in writing to the SASM Executive Director. The application will then be reviewed and forwarded to the Review Committee for approval or denial. The SASM Executive Director will inform affected parties of the decision of the Review Committee within seven working days of the application.

Element 11: Temporary Certification

SASM has considered the requirements of the JIC Standard which calls for the issuing of Temporary Certification and has made the decision that SASM does not need or want to issue temporary certification, due to the nature of the business of the rate codes we represent.

Element 12: Equivalency & Reciprocity

Auditees that seek any matter of equivalency or reciprocity to another Safety Association's Certification Process must make a request in writing to the SASM Executive Director. This application must be made on the "SASM Request for Certification Equivalency or Reciprocity" form.

Applications will be assigned to an accredited auditor (as defined in Element 2: Auditor Skills Requirements) by the SASM Executive Director. This accredited auditor will analyze the original audit tool for compliance to the JIC-002-1.2 Standard, as well as the Auditee's scoring and original Auditor's findings. Any application containing an audit tool that does not meet the JIC Standard will be automatically rejected, regardless of the Auditee's success in passing said audit. Any application containing a comparable element where the Auditee's score is less than 60% will be automatically rejected, regardless of the Auditee's success in passing the remaining elements of the said audit. Any application that does not achieve an overall score of 80% on comparable elements will be automatically rejected, regardless of the Auditee's success in passing the said audit.

The analysis, with recommendation to accept or reject the application, must be submitted by the accredited auditor to the SASM Executive Director within seven days of the Auditee's application for equivalency or reciprocity.

The SASM Executive Director will inform affected parties of the acceptance or rejection of the request for equivalency or reciprocity within fourteen business days of the application.

SASM Certification Process

Acceptance or rejection will be indicated on the original "SASM Request for Certification Equivalency or Reciprocity" form submitted to the SASM Executive Director. All documents in regard to Equivalency & Reciprocity will be filed and maintained by the SASM Executive Director.

Element 13: Certification Maintenance

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

SASM Executive Director Responsibilities

1. Track which organizations have certification along with their expiration date
2. Send notification to organizations six months prior to their expiration
3. Issue certificates in a timely fashion
4. Track legal requirements and notify members of such
5. Maintain statistics on certified organizations

SASM Safety Advisor Responsibilities

1. Provide training to assist members with certification maintenance
2. Provide the tools and information required by members

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. Have an internal audit completed annually
5. Continuously improve their health and safety performance

Audit Client's Internal Auditor

1. Complete, and submit to SASM, an internal audit after year one and year two of certification (subsequent years after re-certification)

Internal audits are required to be sent to the SASM Executive Director no later than 30 days past the certification anniversary date. The audit client's internal auditor has the option of sending the audit in either hard copy or electronic formats. The SASM Executive Director will review the internal audit results for both Quality Assurance purposes, as well

SASM Certification Process

as client continuous improvement. The SASM Executive Director will contact the audit client, in writing, to verify certification continuance within seven days of receipt of the approved internal audit. Any audits not meeting quality assurance standards will be returned to the auditor for corrections and resubmission; audits will be returned to the auditor by the SASM Executive Director within seven days of submission. Resubmission to the SASM Executive Director of the corrected audit must be within seven days of the audit's return.

If an internal audit is not provided when requested, certification may be suspended. Any circumstances that may hinder an organization's 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 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 Certificate of Recognition 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 Benchmark, will be set for the industry in October of each year and published on the SASM website (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

SASM Certification Process

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.

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 SASM Executive Director. This information will be used to determine whether another certification audit will be conducted. Orders that are issued by regulatory bodies will also require notification to the Association. They must be accompanied by an action plan for the removal of the contravention.

Element 14: Change Notification

SASM recognizes that over time organizations evolve and change; this may have an affect on the certification that a particular organization possesses. 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
- Changes to the organization's business name
- Changes of the business address
- Changes to Senior Management
- Changes to the organization's Saskatchewan WCB rate codes

It is the responsibility of the Certified Organization to notify the SASM Executive Director if any of the aforementioned changes occur.

Failure to meet these notification requirements will have an affect on the ongoing validity of the organizations certification, and may result in suspension of certification. This notification must be made within 90 days of the changes becoming effective.

Element 15: Certificate of Recognition Program

Should any member of the Association feel that they have not been treated fairly, or have a concern about the program, they may ask the SASM Executive Director to have the Appeal Committee (as defined in Element 3: Auditor Non-Conformity) convene and hear their case. Requests for review must be in writing and include all supporting documents.

The written request for review, along with supporting documentation, shall be forwarded from the SASM Executive Director to the President of the Association. The President of the Association will forward the information to the Appeal Committee members and set a date for meeting within 60 days of receiving the complaint. Once the date has been set and a location has been determined, the affected parties will be contacted in writing by the President of the Association.

The Appeal Committee will hear the evidence provided, and fully investigate the written complaints. The Appeal Committee must reach a majority decision, and that decision will be final. If multiple investigations are required, investigations will be prioritized based on potential severity of the complaint.

The affected parties will be contacted in writing by the President of the Association within seven days of the Hearing date with the investigation findings, complete with the recommendations of the Appeal Committee.

Element 16: Certificate of Recognition Program Review

The Certificate of Recognition Program will be evaluated by the Certificate of Recognition Program Review Committee 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.

The Certificate of Recognition Program Review Committee will be selected on a volunteer basis. A general inquiry of interest will be sent to member firms that are currently certified or in the process of becoming certified, to solicit participation in the Review Committee. Of those responding positively, a minimum of six member firm representatives, from the served rate codes, will be selected by the SASM Executive Director keeping in mind the diversity in firm size and the maturity of their safety program. These representatives along with two SASM accredited auditors will complete the committee. Quorum for this committee is at least three member firms and one SASM advisor.

The Certificate of Recognition Program Review Committee will be responsible to review both the Certificate of Recognition Audit Tools and this SASM Certification Process for adherence to the JIC Framework of Standards for Certification and Quality Assurance (JIC-002-3.2), the Saskatchewan Occupational Health & Safety Act & Regulations and best practices. The Certificate of Recognition Program Review Committee must reach a majority decision on any recommendations for improvement they want put forth. Once the review is complete, recommendations shall be forwarded to the SASM Executive Director within 14 days, by one of the SASM accredited auditors that sat on the Review Committee. A Gap Analysis of the old Audit Tool versus the new Audit Tool will be completed by one of the accredited auditors that sat on the Certificate of Recognition Program Review Committee to justify any changes.

Changes to the Audit Tool will be announced in the SASM Manufacturing Safety Newsletter. Any member firms wishing a copy of the Audit Tool can contact the SASM Executive Director.

Certificate of Recognition Program Review Committee

Terms of Reference

Purpose of the Committee

This Certificate of Recognition Program Review Committee is a committee convened every three years to systematically review the Certificate of Recognition processes, procedures and audit tools. The committee will work together to improve existing Certificate of Recognition processes, procedures and audit tools or give recommendations for the development of new tools.

1.0 Structure of the Certificate of Recognition Program Review Committee

- 1.1 A minimum of six member firm representatives, from the served rate codes, will be selected by the SASM Executive Director to serve on the Certificate of Recognition Program Review Committee with two SASM Safety Advisors which are accredited auditors. The members will be selected for their knowledge of the safety in general, as well as their leadership skills.
- 1.2 A quorum for this committee will consist of at least three representatives and one accredited auditor.
- 1.3 The committee shall meet on a regularly established schedule as indicated by the Committee Chair. Prior to the scheduled meeting time, the committee chair shall provide an agenda indicating the information to be reviewed at the meeting, as well as proposed changes to the information that the accredited auditors would like the committee to consider. Changes are not limited to these suggested changes.
- 1.4 There shall be one (1) chairperson with (1) one alternate chairperson; both positions to be held by the respective accredited auditors sitting on the committee.
- 1.5 A chairperson may, with the consent from the committee, invite any additional person(s) to attend the meeting to provide additional information and comment.

2.0 Duties and Function of the Certificate of Recognition Program Review Committee

- 2.1 To fully review all processes, procedures and audit tools relating to the Certificate of Recognition Program, as well as:
- a) to provide recommendations to the SASM Executive Director on any or all of the Certificate of Recognition Program elements;
 - b) to provide recommendations for new programs, initiatives and policies;
 - c) to continually strive for the improvement of the Certificate of Recognition Program as a whole, without individual business bias.

Meetings

- 2.2 The committee will meet in the review year at weekly intervals, until a full review of all Certificate of Recognition Program processes, procedures and tools have been reviewed.

Meeting Agenda

- 2.3 The chairperson will prepare an agenda and forward a copy of the agenda to all committee members at least three days in advance of the meeting.

Minutes of Meetings

- 2.4 The committee chair will record all changes to be made on a hard copy of the process or tool in red ink; this copy shall be retained by the SASM Executive Director. In the case of an audit tool, the retained copy will be filed with the Gap Analysis of changes.

3.0 Recommendations and Updates to the SASM Executive Director

- 3.1 This committee may make recommendations for change to the SASM Executive Director. All recommendations are to be made in writing and there must be consensus by this committee. The SASM Executive Director has the power to veto or accept any recommendation put forth by the committee.
- 3.2 Any changes made to the process or tools will be made available by request through the SASM Website, or direct contact to the SASM Executive Director.