



The list below contains examples of documentation that can be attached to the SECOR submission to verify the questions listed.

Question #	Question Topic	Documents to Submit
A1	Health & Safety Policy	Policy
A2	Employee Awareness of Health & Safety Policy	One document verifying awareness for each applicable level of employee
A3	Health and Safety Roles and Responsibilities	Policy, procedure or process
A4	Employee Awareness of Responsibilities	One document verifying awareness for each applicable level of employee
A5	Applicable Legislation	List of legislation
B1	Company Positions	List of all positions/disciplines and all formal hazard assessments
B2	Tasks Identified	Formal hazard assessments
B3	Health and Safety Hazards	Formal hazard assessments
B4	Evaluate Risk	Policy, procedure or process
B5	Hazards Assessed	Formal hazard assessments
B6	Hazards Prioritized	Formal hazard assessments
B7	Review of Formal Hazard Assessments	Policy, procedure or process

Question #	Question Topic	Documents to Submit
B8	Inspection System (Policy)	Policy, procedure or process
B9	Inspections Completed	A sample of each type of inspection completed. The number of samples to submit is based on Table 1: Document Submission Numbers at the end of this list.
B10	Inspection Training Records	Inspection training records for ALL current employees that perform inspections.
B11	Hazard Reporting System	Policy, procedure or process
B12	Hazard Report Records	A sample of completed hazard reports. The number of samples to submit is based on Table 1: Document Submission Numbers at the end of this list.
C1A	Engineering Controls	Formal hazard assessments
C1B	Administrative Controls	Formal hazard assessments
C1c	PPE Controls	Formal hazard assessments
C2	PPE System (Policy)	Policy, procedure or process
C3	Training Records PPE	PPE training records for ALL current employees that require the use of PPE.
C4	Disciplinary System	Policy, procedure or process
C5	Work Safe Procedures, Rules and/or Code of Practices	List safe work procedures, rules and/or Code of Practices and a completed procedure, a rule or a Code of Practice
C6	Preventative Maintenance Program	Policy, procedure or process
C7	Preventative Maintenance Records	A sample of completed maintenance records. The number of samples to submit is based on Table 1: Document Submission Numbers at the end of this list.
D1	Orientation System (Policy)	Policy, procedure or process

Question #	Question Topic	Documents to Submit
D2	Orientation Records	Orientation records for ALL NEW employees, visitors or contractors hired within the last 12 months.
D3	Industry Hazard Training	A sample of employee training records. The number of samples to submit is based on Table 2: Training/Employee Document Submission Numbers.
D4	On-the-Job Training	Policy, procedure or process and training records for employees hired within the last 12 months.
D5	Right to Refuse	Policy, procedure or process and communication records for employees hired within the last 12 months.
E1	Emergency Response Plan (ERP)	Emergency response plan.
E2	Emergency Response Procedures	Procedures.
E3	Communication of Emergency Response Procedures	Policy, procedure or process and communication records for employees hired within the last 12 months.
E4	ERP Training	ERP training records for ALL current employees that have specific responsibilities.
E5a	ERP Form	Process or form.
E5b	ERP Records	A sample of completed ERP drill(s)/table top drills. The number of samples to submit is based on Table 1: Document Submission Numbers at the end of this list.
F1	Incident Reporting System (Policy)	Policy, procedure or process.
F2	Incident Reporting	All completed injuries, illness, incidents and near miss reports. The number of samples to submit is based on Table 1: Document Submission Numbers at the end of this list.
F3	Investigation System (Policy)	Policy, procedure or process.
F4a	Investigation Forms	Investigation form.
F4b	Completed Investigation Forms	All investigations completed within the last 12 months (near miss investigations are accepted).

Question #	Question Topic	Documents to Submit
F5	Investigation Training Records	Investigation training records for ALL current employees that conduct investigations.
F6	Near Miss Reports	All near miss reports completed within the last 12 months
F7	Statistics	Completed statistics for previous 12 months.
G1	Safety Meeting System (Policy)	Policy, procedure or process.
G2	Safety Meeting Records	A sample of completed safety communications. The number of samples to submit is based on Table 1: Document Submission Numbers at the end of this list.
G3a	Site-specific Orientations	A sample of completed site-specific orientations. The number of samples to submit is based on Table 1: Document Submission Numbers at the end of this list.
G3b	Plan or Site-specific Hazard Assessment	A completed plan or site-specific hazard assessment.
G3c	Plan or Site-specific Hazard Assessment Communication	A completed plan or site-specific hazard assessment.
G4	Action Plan Developed	Previous year's action plan.
G5	Action Plan Implemented	Previous year's action plan.



Table 1: Document Submission Numbers

Frequency of Document Used/ Number of Documents Available	Number of Documents to Submit
Daily >52	6-10
Weekly 25-52	5-9
Semimonthly 13-24	3-8
Monthly 5-12	2-4
Quarterly 2-4	2
Yearly 1	1

Table 2: Training/Employee Document Submission Numbers

Total Number of Employees to as per WCB Account	Minimum Number of Documents Submit*
8 - 10	6
5 - 7	4
3 - 4	3
2	2
1 (Owner/Operator)	1

*unless otherwise instructed by the audit question



Definitions

The following terms are used throughout the SECOR protocol:

Contractor	An individual or employer that is not covered under the hiring employer's WCB account number, who is contracted to provide materials or services.
Directive Documents	Documents that provide direction to the organization, such as policies, procedures, and safety manuals. Directive documents tell the auditors how the organization intends to manage their health and safety system.
Employee	Anyone who works for an organization and has coverage by the company's WCB account (i.e., managers, supervisors, and workers).
Formal Hazard Assessment	Involves a step-by-step ongoing process to identify hazards, evaluate risks, and determine and assess control measures for an organization's overall operations.
Hazard	<p>A situation, condition, or behavior from a physical, chemical, biological or psychological exposure that has the potential to cause harm.</p> <p>Health Hazards: Hazards that could result in an illness, such as pneumonia or cancer.</p> <p>Safety Hazards: Hazards that could result in an injury, such as trauma or burns.</p>
Hazard Assessment	<p>A written process to recognize existing and potential hazards at work before they cause harm to people or property.</p> <p>Formal Hazard Assessment: Involves a step-by-step ongoing process to identify hazards, evaluate risks, and determine and assess control measures for an organization's overall operations.</p> <p>Site-Specific Hazard Assessment: A process to check for the introduction of any unexpected hazards or hazards for which additional controls may be needed. Used when work is conducted at temporary worksites or when workers are conducting activities at a worksite not owned by their employer, and a new activity has been temporarily introduced.</p>

Hazard Control	<p>Method used to eliminate or control loss.</p> <p>Administrative Control: Any method that relies on human behaviour to manage hazards (ex. safe work practices, safe operating procedures, rules, worker training, signs, etc.)</p> <p>Engineering Control: Provides an inherent, automatic physical restraint on the hazard (ex. example barricades, ventilation, guarding)</p> <p>Personal Protective Equipment (PPE): PPE includes equipment or clothing used for protection from health or safety hazards (ex. hard hats, safety glasses, steel toed boots)</p>
Hazard Reporting	An immediate process that allows employees to report hazardous conditions or practices as they notice them. Allows for prompt reporting and subsequent corrective action without waiting for a planned inspection, a field-level hazard assessment, or a near miss to occur.
Incidents	An undesired, unplanned, unexpected event that results, or has the potential to result, in physical harm to a person or damage to property (loss or no loss).
Manager	A person who directs and/or supervises the affairs of a business, office, or organization.
Operational Records	Health and safety system records that provide written proof as to whether the organization is following their policies and procedures (ex. meeting minutes, memos, bulletins, inspection reports, preventive maintenance records, hazard reports, hazard analyses, emergency response drills, training records, accident reports).
Owner/Operator (O/O)	Companies with only one person covered under their Worker's Compensation Board (WCB) account.
Preventative Maintenance Program	Program that includes the care and servicing of equipment and machinery with the purpose of maintaining safe and satisfactory operating conditions.
Supervisor	A person in charge of, or directing, the activities of workers.
Worker	Any person engaged in a job who is not a manager or supervisor.
Work Site	A location where a worker is, or is likely to be, engaged in any occupation. Includes any vehicle or mobile equipment used by a worker in an occupation.