



## **Appendix A: Standards and Procedures**

### **Manitoba's safety and health certification program**

**Effective: March 11, 2016**

**Revised: December 12, 2019**

**December 9, 2021**



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## **ADMINISTRATIVE GUIDELINES**

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

- standards and procedures for the program
- standards and procedures to support quality assurance and dispute resolution
- other standards and procedures as determined necessary by SAFE Work Manitoba to support and implement the SAFE Work Certified Program.

The *SAFE Work Certified Standards and Procedures* (Appendix A), *Audit Framework* (Appendix B) and *Brand Standards* (Appendix C) are published under this authority.



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**SAFE Work Certified**  
Appendix A  
Standards and Procedures



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SAFE Work Manitoba developed the SAFE Work Certified Program in partnership with an advisory group of stakeholders (the Safety Certification Working Group) that included representation from employers, labour and safety associations. Broad consultations were held with safety and health groups, professionals, businesses and labour. SAFE Work Manitoba extends its thanks to the many individuals and groups who participated in this process. The views expressed in this document are those of SAFE Work Manitoba and do not necessarily represent those of the stakeholders who provided input.

SAFE Work Manitoba would like to acknowledge our safety prevention counterparts in British Columbia, Alberta, Ontario, Saskatchewan, Nova Scotia, Newfoundland and Labrador for providing their expertise and insights.

*SAFE Work Manitoba has published these Standards and Procedures to support the administration and operation of the SAFE Work Certified Program, consistent with Section 3 of WCB Policy 52.30 'SAFE Work Certified Program'.*



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## **1 Introduction**

This standards and procedures document intends to provide Manitobans with an understanding of the SAFE Work Certified Program, including its requirements, processes, stakeholder roles and responsibilities, and quality assurance mechanisms.

### **1.1 *SAFE Work Certified***

The SAFE Work Certified Program is overseen by SAFE Work Manitoba and is delivered through a network of industry-based safety programs (IBSPs) or associations that have formal agreements with SAFE Work Manitoba as certifying partners. Certifying partners have the responsibility to offer employers industry-based safety and health certification programs that meet the requirements of the SAFE Work Certified Program. Certifying partners certify employers, monitor compliance with program requirements and serve as an employer's main point of contact for all operational aspects related to safety and health certification.

IBSPs help employers develop safety and health management systems and recognize employers and workplaces that achieve and maintain effective, responsive safety and health measures.

Certifying partners have the flexibility to offer a certification program that is tailored to their industry, provided it meets the standards of the SAFE Work Certified Program. Some certifying partners have chosen a name for their program that leverages the SAFE Work Manitoba brand, while others have named their program based on the strength of national certification programs in their industry (for example, COR™ offered by the Construction Safety Association of Manitoba and Manitoba Heavy Construction Association's WORKSAFELY™). The certification programs of certifying partners may have their own guidelines not covered in this document or that are variations of guidelines in this document. Please contact the respective certifying partner for your industry to obtain more information.



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Please note: references to "the certification program" and "certification" within this document encompass both the SAFE Work Certified Program and programs offered by certifying partners that meet the standards of the SAFE Work Certified Program.

## ***1.2 Foundational principles***

The SAFE Work Certified Program is founded on the following key principles from WCB Policy 52.30:

- 1.2.1. Maintain consistency with Manitoba's and Canada's legislative and regulatory requirements.
- 1.2.2. Provide occupational safety and health measures and audit processes that can be used or adapted by industries to meet their sectors' needs.
- 1.2.3. Serve as a voluntary program that is accessible to all Manitoba workplaces.
- 1.2.4. Be accessible and relevant to Manitoba workplaces, including different industries and workplaces of all sizes
- 1.2.5. Meet the specific needs and resources of different sized employers and workplaces.
- 1.2.6. Provide co-ordination and oversight to industry-based safety programs or associations acting as certifying partners.
- 1.2.7. Emphasize and foster a culture of safety and health within workplaces and throughout Manitoba.
- 1.2.8. Emphasize the importance of active participation by workers in the safety and health management system of a workplace and the certification process.



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- 1.2.9. Support the measurement of prevention performance by workplaces, industry-based safety programs or associations, and SAFE Work Manitoba.
  - 1.2.10. Build on the strengths of safety and health certification programs to leverage opportunities for collaboration between SAFE Work Certified and these programs.
  - 1.2.11. Administer quality assurance processes to ensure the integrity of certifying partners to build confidence with stakeholders.



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## **2 Safety and Health Requirements**

Participation in the certification program requires every workplace, regardless of size, to demonstrate the implementation of a comprehensive and effective safety and health management system based on three safety essentials and their correlating measures.

The safety and health essentials required are:

- **leadership commitment**
- **hazard identification and risk control**
- **worker participation.**

The measures are the elements upon which each safety essential will be assessed. These elements are included in the certification auditing tools and standards and have been customized for each industry.

### ***2.1 Safety and health essentials and measures***

Each of the safety and health essentials and their correlating measures applicable to the employer will be assessed through an audit, which involves observing the workplace, reviewing documentation, and interviewing staff using an audit tool and an audit process that has been approved by SAFE Work Manitoba.

#### **2.1.1 Leadership commitment**

Safety and health starts at the top. It requires that leaders who have control and influence over their workplaces commit to make safety a priority. How an organization defines and communicates its safety goals and objectives, and demonstrates its commitment to safety performance, is dependent on the employer, but always requires strong leadership. An effective safety and health management system needs buy-in from leadership, a commitment to the program and a willingness to improve the workplace safety culture.



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Leadership commitment to the safety and health management system required for certification is measured by assessing the following:

- **Employer commitment:** the employer makes a commitment to workplace safety and health, which is formalized, resourced and integrated into business operations, and includes worker participation.
- **Evaluation and continuous improvement:** the safety and health management system includes regular review of goals and measures for continuous improvement.
- **Safety is communicated and demonstrated:** leaders communicate and demonstrate their commitment to workplace safety and health.
- **Roles and responsibilities:** there is a clear assignment of roles and responsibilities within the safety and health management system and all levels of staff share accountability.

### **2.1.2 Hazard identification and risk control**

Every workplace has hazards that can result in injury and/or illness. Hazard identification and risk control is the process of determining factors likely to cause incidents (hazards), and then developing corrective actions (controls) to eliminate or minimize the risk. All facets of work (e.g., jobs, equipment, machinery, worker activities and on-site conditions) and all types of hazards (e.g., physical, chemical, biological, environmental, psychological, psycho-social and musculoskeletal) need to be considered in identifying what can harm workers.

A workplace's hazard identification and risk control practices are measured by assessing the following:

- **Hazard identification, risk assessment and control:** hazards should be eliminated. Where hazards cannot be eliminated, the risks must be controlled to the



greatest degree possible following a hierarchy of controls: elimination, substitution, barriers, administrative practices and personal protective equipment.

- **Emergency management:** there should be an emergency response plan to manage emergencies in the workplace.
- **Contracted workers and other people in the workplace:** there should be a plan to ensure the safety and health of all workers, including full-time staff, contract workers, service providers and anyone else in the workplace.
- **Safety and health training and orientation:** workers should receive a safety and health orientation when they start or change their job, and have the training and competence to perform their jobs in a safe and healthy manner.
- **Inspections:** regular workplace inspections should be conducted and actions taken to address deficiencies.
- **Incident reporting and investigation:** hazards and incidents should be reported and investigated, and actions should be taken to address deficiencies.

### **2.1.3 Worker participation**

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

Workers' participation is measured by assessing the following:



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- **Worker rights and responsibilities:** workers should understand and be engaged in carrying out their rights and responsibilities.
  - **Workplace safety and health committees and worker representatives:** there should be an active and effective workplace safety and health committee, comprised of both an employer and worker co-chair as well as members representing the employer and the workers, or a worker representative for smaller organizations.
  - **Protections for vulnerable workers:** there should be specific protections for vulnerable workers and provisions for their inclusion in safety and health programming.
  - **Safety culture:** workers should have confidence in the safety and health of their work and workplace. Consider the perception of workers when managing safety.

The details and standards on which the above safety requirements are assessed and scored can be found in the certification program audit tools.



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## **3 Certification Process**

### ***3.1 Becoming a certifying partner***

An industry-based safety program (IBSP) or association that provides a safety and health certification program to employers may become a certifying partner of SAFE Work Certified, provided the standards and criteria of their certification program(s) meet the requirements of the SAFE Work Certified Program.

IBSPs or associations apply to SAFE Work Manitoba for certifying partner designation for the industry or set of industries they service. Applications are considered based on the ability and willingness of the IBSP or association to meet the standards and requirements set out for certifying partners administering certification. This includes an assessment of the following:

- the alignment of the IBSP's or association's audit tools to the SAFE Work Certified Program's "essentials and measures" and the SAFE Work Certified Audit Framework
- the alignment of the IBSP's certification processes and services as outlined in this section
- the capacity of the IBSP's ability to administer and manage a safety and health certification program, given the size of the industry, and/or the number of employers who could potentially participate.

### ***3.2 Becoming a SAFE Work Certified employer***

Employers who wish to become SAFE Work Certified must work with their certifying partner, have the appropriate staff attend safety training, have or develop a safety and health management system, and complete an audit to verify that they have met the applicable safety and health requirements of their certifying partner's safety program. An employer can become



SAFE Work Certified by achieving certification through a program that meets the requirements of SAFE Work Certified as determined by SAFE Work Manitoba<sup>1</sup>.

The process for an employer to become SAFE Work Certified is outlined within this section.

### **3.2.1 Apply to the program**

#### **3.2.1.1 Align with a certifying partner**

Employers interested in becoming SAFE Work Certified should approach their certifying partner. Employers who are unsure of which certifying partner to approach, or who have difficulty identifying one for their industry sector, should contact SAFE Work Manitoba for assistance:

- phone: (204) 957-SAFE or toll free: 1-855-957-SAFE (7233)
- email: [swc@safeworkmanitoba.ca](mailto:swc@safeworkmanitoba.ca)

#### **3.2.1.2 Apply to become SAFE Work Certified**

To become SAFE Work Certified, the employer must contact their certifying partner and complete an application form.

#### **3.2.1.3 Identify a path to certification**

The certifying partner will consider the needs of the workplace, including its safety and health strengths and gaps, number of workers, size, capacity and the nature of the work, to provide the supports and services associated with one of the following three paths to certification:

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<sup>1</sup> Certifications offered by certifying partners may have a different name and branding, but still meet the standards of the SAFE Work Certified Program as determined by SAFE Work Manitoba. Contact your certifying partner or SAFE Work Manitoba for more details.



| Path to certification | Employers this path is for                                                                                                                                                                                                                                      | Features of this path                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-----------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Guided</b>         | <ul style="list-style-type: none"><li>• employers who may be new to safety and health management</li><li>• employers with a workplace safety and health representative in accordance with legislation</li><li>• employers with 19 or fewer employees.</li></ul> | <ul style="list-style-type: none"><li>• includes a strong coaching component</li><li>• certifying partner develops a detailed milestone plan, provides regular follow-up, mentoring and tailored consultation</li><li>• certifying partner provides a support package that includes templates and tools to support program development and maintenance</li><li>• certifying partners may provide resources to support certification program maintenance activities.</li></ul> |



| Path to certification | Employers this path is for                                                                                                                                                                                                                                                           | Features of this path                                                                                                                                                                                                                                                                                                                                                 |
|-----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Self-directed</b>  | <ul style="list-style-type: none"> <li>employers who already have an established safety and health management system</li> <li>employers that have an established safety and health committee in accordance with legislation</li> <li>employers with 20 or more employees.</li> </ul> | <ul style="list-style-type: none"> <li>focuses on improving existing safety and health activities and programs that are appropriate for the organization's size and maturity</li> <li>relies on internal staff who are trained to conduct maintenance audits to assess and maintain their certified status.</li> </ul>                                                |
| <b>Self-employed</b>  | <ul style="list-style-type: none"> <li>individuals who own/operate their own vehicle or business with no more than two additional full-time or part-time employees.</li> </ul>                                                                                                       | <ul style="list-style-type: none"> <li>certifying partner verifies self-employed person is trained and competent relative to their specific work</li> <li>advanced training on legislative requirements, hazard recognition and risk controls associated with working as a self-employed person</li> <li>development of a personal safety and health plan.</li> </ul> |



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Note: For self-insured employers, and employers who are already certified under recognized certification programs, see section 3.5, [Certification for self-insured employers](#).

### **3.2.2 Participate in training and implement a safety and health management system**

The employer, worker representatives and maintenance auditors complete safety and health courses delivered by the certifying partner, including a combination of the following:

- Principles of Workplace Safety and Health Management
- Safety and Health Leadership
- Auditing for Certification (Maintenance Auditor)
- Worker Participation in Safety and Health Certification.

The certifying partner ensures training options are accessible to employers and workers. Training content and requirements are detailed in Section 4.2 of Roles and Responsibilities, [Certifying partners](#).

Together, the employer and workers implement or modify their safety and health management system using the safety and health essentials and correlating measures of the certification program as a guide, and/or by accessing the services and supports of the certifying partner.

### **3.2.3 Prepare for a certification audit**

The employer and certifying partner assess audit readiness before a certification audit is scheduled. This may involve conducting a gap analysis performed by a person internal to the workplace or certifying partner representative.

#### **3.2.3.1 Audit tools**

The employer and certifying partner should have an understanding of the audit tools used by the certification program in order to prepare for a certification audit. The audit tools contain the



criteria used to assess an employer's safety and health management system against the requirements of the certification program and the safety and health essentials and measures.

The audit tools have been developed to reflect the safety requirements a workplace must meet to become certified through their certifying partner. The audit tools assess the implementation of safety and health essentials and measures using a combination of the following:

- **Interviews:** confidential, open-ended questions for workers, committees/representatives, supervisors and senior management/owners.
- **Workplace observations:** on-site observations of workplace safety and health practices, processes, equipment and environment, including discussions with workers on the job.
- **Documentation review:** a review of all pertinent documents and records relative to the safety and health management system.
- **Scoring:** the audit tools include specific scoring formats for each of the safety and health essentials and measures required to pass.

Audit tools emphasize the importance of responsiveness and continuous improvement. They promote the flexibility to accommodate change, incorporate unique situations and fit the needs and culture of individual workplaces. The certification program uses a "performance-based" approach that is distinct from the "prescriptive" approach, which focuses on static factors such as processes, rules and documentation.

Audit tools focus on what the program is doing and achieving, and relies heavily on observations and interviews to substantiate the effectiveness of the program. The audit looks for activities arising out of programming, such as corrective actions, that are a result of inspections, follow-up to workplace safety and health committee recommendations and



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worker input into safe work procedures. A workplace cannot pass a certification audit based on documentation alone.

Continuous improvement is also scored to ensure there is a focus on continuously enhancing workplace safety and health. Continuous improvement scores are built into the audit tools in two ways. First, it is a safety measure to assess leadership commitment. Secondly, an employer is expected to develop and implement an action plan to address any deficiencies identified by the audit process. Subsequent audits examine whether these action plans have been completed.

### **3.2.4 Pass a certification audit**

To become SAFE Work Certified, an employer must pass an audit performed by a SAFE Work Certified auditor. A SAFE Work Certified auditor must not be an employee or a contractor of the employer. Details regarding SAFE Work Certified auditors are outlined in Section 4, [Roles and Responsibilities](#).

The requirements for a SAFE Work Certified audit are described as follows:

#### **3.2.4.1 Application for an audit**

An employer who wishes to become SAFE Work Certified must submit an Audit Application Form to a certifying partner for a certification audit. A certifying partner will then determine an employer's readiness for a certification audit. There must be a reasonable expectation that the audit of an employer's health and safety management system will be successful. This may be determined through discussions between an employer and a certifying partner, or through a program review conducted by a staff member who has attended Auditing for Certification (Maintenance Auditor) training. If a certifying partner considers an employer ready for an audit, then a SAFE Work Certified auditor will be assigned to conduct the audit.



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### 3.2.4.2 Certification audit process

The certification audit process includes the following steps:

- 3.2.4.2.1. The SAFE Work Certified auditor receives an Audit Application Form from the certifying partner confirming the scope of the audit.
- 3.2.4.2.2. The SAFE Work Certified auditor arranges an audit with the employer within **one (1)** business day of receiving the Audit Application Form.
- 3.2.4.2.3. The SAFE Work Certified auditor sends an audit confirmation letter to the employer within **two (2)** business days of arranging the audit.
- 3.2.4.2.4. The SAFE Work Certified auditor conducts a pre-audit meeting with the employer to discuss the audit scope, audit processes, required resources, roles, responsibilities, privacy considerations, and the Auditor Code of Ethics and Standards of Conduct. The pre-audit meeting must include a worker representative.
- 3.2.4.2.5. The SAFE Work Certified auditor conducts the audit using an audit tool provided by the certifying partner that has been approved by SAFE Work Manitoba.
- 3.2.4.2.6. The SAFE Work Certified auditor prepares a preliminary audit report upon completion of the audit. The report must include an executive summary describing the audit scope, the audit process, and the strengths, weaknesses and opportunities for improvement within the safety and health management system. The body of the audit report must include a detailed description of findings, recommendations, scoring and a commentary on the safety culture.
- 3.2.4.2.7. The SAFE Work Certified auditor provides the preliminary audit report to the certifying partner within **five (5)** business days of completing the audit for a quality assurance review.



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- 3.2.4.2.8. The certifying partner provides a link to the SAFE Work Certified Auditor Evaluation survey to the employer within **one (1)** business day of receiving the preliminary audit.
- 3.2.4.2.9. The employer completes the SAFE Work Auditor Evaluation survey within **five (5)** business days in order to receive their final report and score.
- 3.2.4.2.10. The certifying partner completes their quality assurance procedures using the Audit Quality Assurance Review Record within **five (5)** days of receiving the preliminary audit report then sends the completed recommendation package to SAFE Work Manitoba. The recommendation package includes the Audit Application Form, the Audit Quality Assurance Review Record, and the final audit report. If the certifying partner is not ready to recommend certification, they may continue to work with the employer. See section 3.2.4.3, [Unsuccessful audit](#).
- 3.2.4.2.11. SAFE Work Manitoba reviews the audit recommendation package submission and informs the Certifying Partner if the submission is incomplete within **three (3)** business days. The Certifying Partner may need to resubmit all or part of the audit recommendation package to SAFE Work Manitoba.
- 3.2.4.2.12. The certifying partner sends a copy of the final audit report and their written determination of the audit outcome to the employer and the SAFE Work Certified auditor.
- 3.2.4.2.13. The SAFE Work Certified auditor reviews the audit findings with the employer and a worker representative.
- 3.2.4.2.14. The SAFE Work Certified auditor explains the worker representative's electronic signature on the bottom portion of the executive summary section in the audit tool. The signature does not imply agreement with the content of the audit



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report, but is a verification that the content of the report has been reviewed, and that the audit scope and the audit processes described in these standards and procedures were followed during the audit.

- 3.2.4.2.15. The employer emails a signed electronic copy of the audit report to the certifying partner and may also choose to copy SAFE Work Manitoba.
- 3.2.4.2.16. SAFE Work Manitoba will send the employer's certification date to the certifying partner within **one (1)** business day of receiving the signed audit report providing all other required documents have been submitted. SAFE Work Manitoba will inform the Certifying Partner of any outstanding documents or revisions.
- 3.2.4.2.17. The certifying partner will send the certification date and action plan template to the employer within **three (3)** business days of receiving the date from SAFE Work Manitoba.
- 3.2.4.2.18. The certifying partner will provide the employer with their certificate within **30** days after sending the certification date.
- 3.2.4.2.19. The certifying partner must receive the completed action plan back from the employer within **90** days of sending the template and review the action plan. See section 3.2.4.4, [Audit action plan](#).

The certification date provided by SAFE Work Manitoba to the certifying partner will become the employer's certification anniversary date. To remain SAFE Work Certified, the employer must adhere to the certification program requirements, which include remaining registered with the WCB and completing annual maintenance audits prior to the certification anniversary date. For more information, see section 3.3, [Maintaining certification](#).



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#### **3.2.4.3 Unsuccessful audit**

If the employer does not meet the requirements of the certification audit, they have the following options:

- 3.2.4.3.1. The certifying partner, in consultation with the SAFE Work Certified auditor may allow an employer to request a limited scope audit to address the audit deficiencies.
- 3.2.4.3.2. The employer may request a limited scope audit, which must be received by the certifying partner in writing, describe the corrective actions to be taken and provide a timeline of no more than six **(6)** weeks to complete the corrective actions. The certifying partner will assign a SAFE Work Certified auditor to conduct the limited scope audit if the request is accepted. A certifying partner has complete discretion to accept or deny a request for a limited scope audit, and to assign the same or a different SAFE Work Certified auditor to conduct the limited scope audit.
- 3.2.4.3.3. The employer may choose to appeal their audit result if they feel it is incorrect or unjustified. The employer must submit a written audit appeal request to their certifying partner using the process outlined by the Certifying Partner.

#### **3.2.4.4 Audit action plan**

As a condition of certification, an employer must develop an action plan based upon the results of any audit conducted within scope of this standard. At a minimum, the action plan must address any weaknesses identified during the audit. An action plan must:

- be developed in consultation with a worker representative
- describe actions to be taken, expected outcomes, and timelines to implement

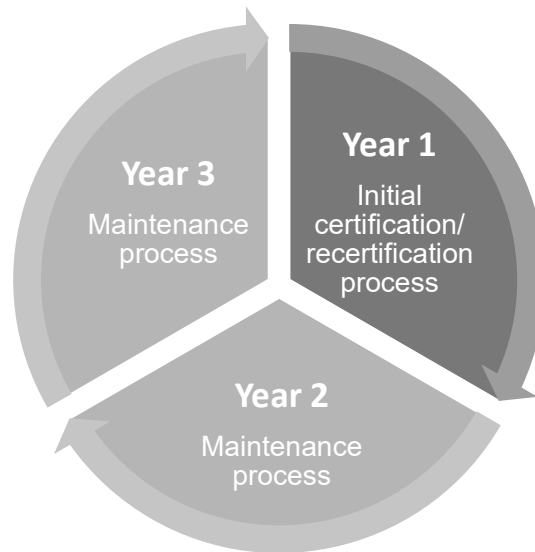


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- include the names of both the employer representative and the worker representative who participated in the development or review and it must be submitted to the certifying partner within **90** days of audit completion.

It is the responsibility of a certifying partner to ensure that the employer develops and submits an action plan based on the result of the completed audit. Maintenance or recertification audits must verify the steps taken by an employer to address the items included in the previous action plan.

### ***3.3 Maintaining certification***

The certification audit, conducted by a SAFE Work Certified auditor, is repeated every three years from the employer's original certification date for as long as the employer wishes to maintain their SAFE Work Certified status. Employers must demonstrate that the standards of their certification are maintained in the years between certification audits (maintenance years) based on the maintenance requirements established by their certifying partner. Maintaining certification is the primary criteria to remain eligible for the annual prevention rebate. Workers are expected to be actively involved and to have input into the maintenance requirements including maintenance audits and the development of action plans.



Once an employer becomes SAFE Work Certified through a certifying partner, the employer must maintain certification (and their eligibility for the prevention rebate) through the following:

- submitting and implementing annual action plans following every certification/re-certification audit and maintenance audits prior to their certification anniversary date
- co-operating with quality assurance reviews, which may include verification audits, or limited scope audits recommended by either the certifying partner and/or SAFE Work Manitoba
- completing a recertification audit (conducted by a SAFE Work Certified auditor) every three years
- ensuring appropriate staff have participated in required SAFE Work Certified training
- remaining registered with the WCB.

### **3.3.1 Annual maintenance audits**



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Conducting an annual maintenance audit is the method used by the certification program to confirm maintenance and continuous improvement of safety and health management systems, including verification of progress made on the action plan developed after the previous year's audit. Maintenance audits are typically performed by maintenance auditors, but may be performed by a SAFE Work Certified auditor.

The scheduling of maintenance audits should consider the following:

- Both certification and maintenance audits must be performed during a period when the employer is in a normal operating mode and has the majority of their workforce active. Scheduling requires consideration of seasonal variation in the volume and/or type of work, which could include factors such as weather or other business considerations.
- Maintenance audits can be completed no earlier than six months after the original certification date or last maintenance audit.
- Maintenance audits are to be completed prior to the certification anniversary date to remain SAFE Work Certified and maintain eligibility for the prevention rebate.

### **3.3.2 Maintenance audit procedure**

3.3.2.1. The certifying partner ensures the maintenance auditor has the most current copy of the maintenance audit tool and the action plan template.

3.3.2.2. The maintenance auditor conducts the maintenance audit, focusing on implementation of action plans resulting from the previous audit.

3.3.2.3. The maintenance auditor submits the maintenance audit to the certifying partner.

3.3.2.4. The certifying partner conducts a quality assurance review of the maintenance audit.



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- 3.3.2.5. The certifying partner advises the maintenance auditor if they have met audit requirements within **10** business days of receiving the completed audit.
- 3.3.2.6. The certifying partner works with the maintenance auditor to resolve issues or concerns with the audit results.
- 3.3.2.7. The certifying partner emails a copy of the completed maintenance audit to SAFE Work Manitoba.

### **3.3.3 Considerations for self-employed individuals**

Each maintenance year, the certifying partner has the discretion to meet with the self-employed individual to:

- review changes in his or her line of business
- work with the individual to update and improve his or her safety and health management system where required
- provide refresher/additional training, as applicable.

### **3.3.4 Alternatives for guided employers (19 or fewer employees)**

A guided employer may be able to complete an alternative process to a maintenance audit each year. Any alternative process must be designed in conjunction with the certifying partner and reviewed by SAFE Work Manitoba.

## **3.4 Recertification**

Every third year, the employer must pass a recertification audit that is consistent with the auditing for certification steps outlined in Section 3.3, [Maintaining certification](#). To avoid a lapse in certification, Employers must submit recertification audits before their certification anniversary date.



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### ***3.5 Certification for self-insured employers***

SAFE Work Manitoba will work with the self-insured industry based safety program and may act as a certifying partner to recognize self-insured employers as having met the standards of SAFE Work Certified.

### ***3.6 Virtual Audit Eligibility***

An employer who has applied for a SAFE Work Certified Program certification audit, or whose re-certification audit is due, may be eligible for a virtual audit, once all reasonable efforts to safely conduct an in-person audit are exhausted.

3.6.1 To be eligible for a virtual audit, the employer and the certifying partner must:

3.6.1.1 Verify that a SAFE Work Certified auditor's on-site visit at the employer's worksite cannot safely take place due to public health orders, recommendations or restrictions, remote work locations, extreme adverse weather conditions, and/or other valid restrictions or prohibitions. The reason for conducting a virtual audit and the virtual audit process must be clearly outlined in the (virtual) audit confirmation letter (see 3.6.2.4 below) and the auditor's executive summary report.

3.6.1.2 Consider the use of available audit extensions that could postpone the certification/re-certification audit to a date that permits safe on-site visits.

#### **Virtual Audit Requirements**

3.6.2 For an employer to be eligible for a virtual audit as described in 3.6.1, the employer and the certifying partner must ensure that the following requirements are met before proceeding to the virtual audit:



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- 3.6.2.1 The SAFE Work Certified auditor must have experience auditing similar sites and operations.
  - 3.6.2.2 The employer must provide the SAFE Work Certified auditor with all necessary layouts, background information and descriptions of active work locations, including multiple work shifts.
  - 3.6.2.3 The employer must appoint an employee to act as the SAFE Work Certified auditor's proxy on site (maintenance auditor). This employee must have excellent knowledge of the site(s), must be familiar with the equipment and software to be used, and must have attended auditing for certification (maintenance auditor) training provided by the certifying partner.
  - 3.6.2.4 The SAFE Work Certified auditor, in coordination with the employer and the certifying partner, must specify in a virtual audit confirmation letter a detailed audit schedule that would mention dates and times with the selected and commonly agreed upon equipment, method and software for the virtual site observations.
  - 3.6.2.5 The virtual audit confirmation letter described in 3.6.2.4 must be approved by the certifying partner prior to commencement of the virtual certification/re-certification audit. The certifying partner must also submit a copy of the virtual audit confirmation letter to SAFE Work Manitoba with the audit recommendation package.

### **Virtual Audit Techniques**

- 3.6.3 The SAFE Work Certified auditor will utilize the following three techniques to conduct a virtual audit:

- 3.6.3.1 **Documentation**



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- 3.6.3.1.i The employer must provide and/or make available to the SAFE Work Certified auditor any safety and health documentation requested, to complete the virtual audit in accordance with the agreed upon method(s) of transmission.
- 3.6.3.1.ii The SAFE Work Certified auditor must adhere to the audited employer's policy/procedure and may be required to sign an agreement at the request of the employer, regarding the review of the documents and other information obtained for virtual audit purposes.
- 3.6.3.2 **Virtual Observations**
- 3.6.3.2.i The SAFE Work Certified auditor must conduct virtual (live video) observations at the work location(s) specified in the virtual audit confirmation letter. The virtual observations will use one or more of the following methods/equipment:
- Any form of video call, live streaming directly to the SAFE Work Certified Auditor. Video call equipment on-site must be operated by the maintenance auditor. The maintenance auditor must be available for all scheduled audit document reviews and observations and must follow the SAFE Work Certified auditor's lead and instructions at all times. Failure to do so may result in audit delays, cancellation or postponement of the virtual certification/re-certification audit.
  - Drone equipment operated by a competent maintenance auditor, following all safety protocols and streaming directly to the SAFE Work Certified Auditor.
- 3.6.3.2.ii In the event of unforeseen circumstances, or failure of live



streaming video, the SAFE Work Certified auditor reserves the right to postpone, reschedule or select an alternate work location for virtual audit purposes.

3.6.3.2.iii Any deviations from the submitted virtual audit confirmation letter will be documented by the SAFE Work Certified Auditor and the accompanying rationale shall be contained in the auditor's executive summary report.

3.6.3.2.iv The SAFE Work Certified auditor may request permission from the employer to record virtual audit observations for future reference in completing the virtual audit.

**3.6.3.3 Interviews**

3.6.3.3.i If necessary, interviews can be conducted using live video calls with open cameras.

3.6.3.3.ii Interviews cannot be monitored or recorded by the employer (to ensure employee confidentiality).

3.6.3.3.iii The SAFE Work Certified Auditor may request permission from the employer and the interviewee to record audit interviews for the auditor's exclusive future use and reference in completing the virtual audit.

**On-site Visit Exemption Requirements**

3.6.4 The certifying partner can accept a partial virtual audit where only part of the audit activities are conducted virtually.

For example, the employer may allow in-person access to some parts of the organization, but may prevent access to other parts due to public health orders,



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recommendations, or restrictions, remote work locations, extreme adverse weather conditions, and/or other valid restrictions or prohibitions. In these instances, the virtual audit confirmation letter must identify the in-person and virtual audit activities and techniques in accordance with section 3.6.3

### **Post Virtual Audit Requirements**

- 3.6.5 Following the virtual audit recommendation package submission to SAFE Work Manitoba, SAFE Work Manitoba will perform a quality assurance review (observation video samples may be requested) before processing the submission.
- 3.6.6 In cases where a virtual audit has been performed, the certifying partner or SAFE Work Manitoba may require additional verification that could include requiring the next maintenance audit to be performed by a SAFE Work Certified Auditor.
- 3.6.7 Two (2) consecutive virtual audits for the same parts of an employer's operations are not permitted to be performed, unless otherwise agreed in writing by SAFE Work Manitoba.



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## 4 Roles and Responsibilities

The information provided in this section outlines the definition, purpose, roles and responsibilities of each of the key participants in the SAFE Work Certified Program:

- SAFE Work Manitoba
- certifying partners
- employers
- workers
- SAFE Work Certified auditors
- maintenance auditors.

These responsibilities set out a common, minimum level of expectations regarding the implementation and operation of the SAFE Work Certified Program in any industry.

### 4.1 SAFE Work Manitoba

***SAFE Work Manitoba is a separate arm of the WCB, dedicated to the prevention of workplace injury and illness.***

SAFE Work Manitoba oversees the development, operation, administration and quality assurance of the SAFE Work Certified Program.

SAFE Work Manitoba ensures the SAFE Work Certified Program represents leading practices, reflects the program's design principles, recognizes legislative requirements and operates efficiently and fairly.

#### **SAFE Work Manitoba responsibilities**

Ownership of the SAFE Work Certified Program rests with SAFE Work Manitoba. SAFE Work Manitoba provides oversight for the program, defines program standards, and assigns responsibilities to the various stakeholders.



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SAFE Work Manitoba's responsibilities are as follows:

- 4.1.1. Approve and refine the SAFE Work Certified Program through annual reviews:
  - 4.1.1.1. Establish and then review the evaluation framework and other metrics.
  - 4.1.1.2. Seek input from certifying partners, employers, workers and other stakeholders.
  - 4.1.1.3. Consider provincial and federal safety and health legislative amendments, leading practices and other emerging standards, and communicate any relevant changes.
  - 4.1.1.4. Maintain a consolidated list of certified employers and those enrolled in the program.
  - 4.1.1.5. Collect data as required from certifying partner and other stakeholders to evaluate the SAFE Work Certified Program and to support SAFE Work Manitoba prevention activities.
- 4.1.2. Review, approve and contract with IBSPs or associations that have met the standards set out by SAFE Work Manitoba to act as certifying partners for the SAFE Work Certified Program.
  - 4.1.2.1. Delegate authority to the IBSP or association to act as certifying partner.
- 4.1.3. Encourage and facilitate the relationship between the SAFE Work Certified Program and the industry sectors represented by the certifying partners.
- 4.1.4. Facilitate certification recognition between certifying partners, to accommodate situations such as employers performing work in more than one sector or transitioning to a different certifying partner. Note:
  - 4.1.4.1. By establishing a common set of standards and guidelines, the SAFE Work Certified Program creates a foundation for recognition between certification programs and certifying partners.



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- 4.1.4.2. Certifying partners are responsible for developing procedures and/or agreements for recognizing certifications in response to the needs of their sector.
  - 4.1.4.3. SAFE Work Manitoba may assist with the resolution of disputes that may arise should an employer's certification not be recognized in another industry sector.
  - 4.1.5. Ensure procedures and/or agreements used by certifying partners to recognize other certification programs meet SAFE Work Certified standards.
    - 4.1.5.1. Work with the certifying partner and industry to help identify and address gaps in support of recognition between certification programs. Certifying partners are responsible for confirming the eligibility of employers in their industry sectors for certification.
    - 4.1.5.2. Liaise with counterparts in other certification programs to identify opportunities to streamline programming.
  - 4.1.6. Assign employers who do not have an industry-based safety program and/or are multi-class to a certifying partner.
    - 4.1.6.1. Assign a certifying partner based on the class for which the multi-class employer has the largest payroll, or assign the certifying partner that best aligns with the workplace.
    - 4.1.6.2. Determine whether there is an existing certifying partner that has a natural alignment to another industry's line of business, and whether the existing certifying partner is capable and willing to offer safety and health certification to non-industry members.
  - 4.1.7. Exercise authority to suspend, deny or remove certification. This will usually involve consultation with the relevant certifying partner. However, SAFE Work Manitoba may act on its own discretion.



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- 4.1.8. Provide oversight and quality assurance in relation to the performance of certifying partners.
    - 4.1.8.1. Establish standards and qualifications for certifying partners, and prescribe responsibilities under the SAFE Work Certified Program.
    - 4.1.8.2. Provide support and direction to certifying partners regarding the services they provide to employers.
    - 4.1.8.3. Conduct process reviews of certifying partners once every three years at minimum.
  - 4.1.9. Provide responses to complaints or appeals in a timely manner.
    - 4.1.9.1. Establish an open, transparent process for certifying partners to deal with complaints from workers in a manner that preserves the credibility of the SAFE Work Certified Program and which attempts to resolve the issue and any root causes.
    - 4.1.9.2. Ensure employers have a mechanism to appeal decisions related to the SAFE Work Certified Program.
    - 4.1.9.3. Disclose personal information only as authorized or required by law.
  - 4.1.10. Provide quality assurance in relation to audits and auditors.
    - 4.1.10.1. Develop and maintain the base audit framework, content and methodology and approve all audit tools used by certifying partners.
    - 4.1.10.2. Confirm that safety and health certification programs offered by certifying partners meet the requirements of SAFE Work Certified.
    - 4.1.10.3. Develop and maintain the content for SAFE Work Certified auditor training and ensure that role requirements are being met.
    - 4.1.10.4. Approve content of industry specific supplements to ensure that the requirements for the role are being met.
    - 4.1.10.5. Conduct, or request certifying partners to conduct, verification audits of workplaces as required, to assess auditor performance, verify audit



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outcomes and assess employers' suitability for becoming SAFE Work Certified.

4.1.11. Provide quality assurance in relation to data.

- 4.1.11.1. Review the certified employer data submitted by certifying partners for consistency with WCB and SAFE Work Manitoba data requirements.
- 4.1.11.2. Uphold the security of paper and electronic records and apply appropriate usage protocols to protect employer privacy.
- 4.1.11.3. Require that certifying partners establish and maintain appropriate electronic data storage systems.



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## 4.2 Certifying partners

*A **certifying partner** is an independent, not-for-profit industry-based safety program or association approved by SAFE Work Manitoba to administer safety and health certification programs that meet the requirements of the SAFE Work Certified Program. The certifying partner serves as the employer's main point of contact regarding all operational aspects of obtaining safety and health certification that meets the standards of the SAFE Work Certified Program.*

Safety and health certification is provided by certifying partners who are industry-based safety programs (IBSPs) or associations whose programs have met the SAFE Work Certified criteria and who have been approved by SAFE Work Manitoba to provide safety and health certification to employers. The role of the certifying partner is to help the employer achieve and maintain safety and health certification by providing supports and resources, and coordinating training and auditing services. The certifying partner is responsible for maintaining a standard of quality assurance and upholding this standard for auditors and employers.

### **Certifying partner responsibilities**

In fulfilling their contractual responsibilities with respect to the SAFE Work Certified Program, certifying partners are expected to carry out the following:

- 4.2.1. Consistently satisfy the basic qualifying criteria for certifying partners.
  - 4.2.1.1. Provide SAFE Work Manitoba with documentation confirming alignment with the SAFE Work Certified Program.
  - 4.2.1.2. With the exception of pre-existing programs, all certifying partners must adopt the SAFE Work Certified Program's audit tool and make necessary additions, if necessary, to meet the needs of their industry.
  - 4.2.1.3. Retain extensive in-house knowledge of the type of work performed in the industry the certifying partner represents.



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- 4.2.1.4. Maintain representation in Manitoba with an office and staff.
  - 4.2.1.5. Remain registered with the WCB as an employer.
  - 4.2.1.6. Operate in compliance with the SAFE Work Certified Program's safety essentials.
  - 4.2.1.7. Operate in compliance with all applicable laws, including, but not limited to, those laws that allow the employer to legally conduct its business or undertaking in Manitoba.
  - 4.2.1.8. Participate in ongoing activities to provide input into the direction of the SAFE Work Certified Program.
  - 4.2.1.9. Maintain a certification safety council to support and provide guidance on the oversight and administration of their safety and health certification program. A worker representative and a representative from SAFE Work Manitoba will have a seat on this council. The certification safety council may be the IBSP governance body.
  - 4.2.2. Maintain effective governance and operating structures, policies and practices. These include, but are not limited to the following:
    - 4.2.2.1. **Code of ethics/conduct** – to ensure the certifying partner commits itself and its members to ethical, business-like conduct, and that the certifying partner exercises proper use of authority and appropriate decorum on behalf of the SAFE Work Certified Program.
    - 4.2.2.2. **Conflict of interest** – to minimize the possibility of conflicts between the private interests and official duties of the certifying partner, directors, officers and staff.
    - 4.2.2.3. **Privacy** – to protect the privacy of its members, workers, volunteers and other stakeholders.
    - 4.2.2.4. **Risk management** – to define the process and responsibilities for identifying, evaluating and managing risks.



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- 4.2.2.5. **Financial management** – to ensure effective policies, practices and capability for financial planning, management and reporting.
  - 4.2.2.6. **Complaints** – to create a transparent and fair method for responding to complaints from the public, staff or volunteers in regards to activities, programs or services.
  - 4.2.3. Plan and implement a comprehensive communications strategy to promote their safety and health certification program and ensure that all key participants remain informed about operations and developments.
    - 4.2.3.1. Promote safety and health certification to their industry sector(s) to ensure awareness of the program and knowledge of how to pursue safety and health certification.
    - 4.2.3.2. Provide information and access to safety and health materials and certification application procedures to interested employers.
    - 4.2.3.3. Maintain ongoing communication with employers regarding training opportunities, safety resources, program requirements and progress towards safety and health certification.
    - 4.2.3.4. Adhere to the SAFE Work Certified Brand Standards (Appendix C) when using the SAFE Work Certified or a joint co-branded official mark.
  - 4.2.4. Report regularly, and in a timely manner, to SAFE Work Manitoba regarding:
    - 4.2.4.1. Progress towards strategic goals, objectives and work plans related to the certification program.
    - 4.2.4.2. Employer involvement and progress toward safety and health certification.
    - 4.2.4.3. Other information and statistics that may be requested by SAFE Work Manitoba to fulfill the responsibilities of a certifying partner.
  - 4.2.5. Facilitate the registration of employers who fall within their area of responsibility.
    - 4.2.5.1. Receive applications from interested employers within the WCB classification code(s) for which they are responsible.



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- 4.2.5.2. Advise employers on the requirements for achieving safety and health certification.
  - 4.2.5.3. Register the employer in their safety and health certification program and keep an up-to-date record of the employer's participation in the program (information to be collected from each employer can be found in the SAFE Work Certified Application Form).
  - 4.2.6. Help employers identify and meet their needs for training, supports and audits related to safety and health certification. Support employers through the process to obtain safety and health certification and to maintain appropriate records/documentation required to make a recommendation the employer become SAFE Work Certified when all requirements have been met by:
    - 4.2.6.1. Assessing employer training and support needs to satisfy safety and health certification requirements.
    - 4.2.6.2. Working with employers to develop a plan for achieving safety and health certification.
    - 4.2.6.3. Advising employers of their administrative responsibilities, such as record keeping and costs for various aspects of the program.
    - 4.2.6.4. Identifying and communicating appropriate training opportunities to employers.
    - 4.2.6.5. Maintaining records of all training completed that is related to safety and health certification.
    - 4.2.6.6. Developing and maintaining a list of accredited SAFE Work Certified auditors.
    - 4.2.6.7. Assigning accredited SAFE Work Certified auditors to conduct audits.
    - 4.2.6.8. Conducting a quality assurance review of all audits submitted by employers or SAFE Work Certified auditors for approval.



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- 4.2.6.9. Sharing employer safety and health data and other safety and health certification data with SAFE Work Manitoba to support program evaluation and prevention strategies.
- 4.2.7. Develop required training courses, based on SAFE Work Manitoba's required training standards, and deliver or co-ordinate delivery of this training for employers.

The certifying partner must develop training that is accessible to workers and employers in their industry, which may include online courses.

SAFE Work Manitoba must approve these mandatory courses before they are offered. Review the [Prepare Employers for a SAFE Work Certified Audit](#) information on the SAFE Work Certified website and the training courses below for additional information:

**4.2.7.1. Principles of Workplace Safety and Health Management**

Recommended course participants:

- senior management
- persons accountable for, and who have authority over, safety and health in the workplace
- persons responsible for conducting maintenance audits.

**4.2.7.2. Safety and Health Leadership**

- Required course for at least one person from the employer's organization in a senior leadership position, for example, chief executive officer (CEO), executive director, etc.
- Recommended for persons from the employer's organization who have authority over workers, for example, forepersons, supervisors, managers, directors, etc.

**4.2.7.3. Worker Participation in Safety and Health Certification**

Recommended course participants:



- workplace safety and health committee worker co-chairs
- workplace safety and health committee members
- workplace safety and health representatives.

#### 4.2.7.4. **Auditing for Certification (Maintenance Auditor)**

Recommended course participants:

- workers responsible for conducting maintenance audits.

4.2.8. Provide employers registered in the certification program with appropriate support which may include:

4.2.8.1. Develop a guided support package for new employers or employers with 19 or fewer workers to obtain certification, including the following:

- action plan including a roadmap with milestones and follow-up dates (developed in collaboration with the employer)
- safety program templates and tools.

4.2.8.2. Develop a safety and health certification program support package for self-employed individuals including:

- personal safety plan
- training that addresses rights and responsibilities
- hazards of their specific industry and occupation.

4.2.9. Grant certification to employers in their industry sector(s) upon verifying that an employer has met all the requirements of the certification program.

4.2.10. Establish and communicate to the employer the expectations for certification maintenance.

4.2.11. Develop procedures and/or agreements for recognition of safety and health certification between certifying partners.

4.2.11.1. In cases where certifying partners cannot arrive at an agreement with respect to recognition of safety and health certification between certifying partners, SAFE Work Manitoba will assist with resolution of the dispute. SAFE Work



Manitoba will work closely with certifying partners and industry sectors to support recognition between certifying partners.

4.2.12. Develop procedures and/or agreements to recognize other certification programs, in cooperation with SAFE Work Manitoba.

4.2.12.1 The ISO 45001:2018 standard may be recognized by the certifying partner.

- To be considered for SWC recognition, the ISO certification must be issued from a designated accreditation body (Standards Council of Canada or one of its authorized registrars) as recognized for this purpose by ISO.
- Recognition of ISO 45001:2018 may be offered for SWC certification, re-certification and maintenance purposes.
- Certifying partners will review and verify the employer's ISO 45001:2018 submission and inform SAFE Work Manitoba of those employers who qualify for SWC recognition.

#### **SAFE WORK CERTIFIED STANDARD**

4.2.12.2 An employer may apply to their certifying partner for SWC certification if it holds ISO 45001:2018 certification from a designated certification body.

- The employer must provide the certifying partner with documentation to confirm it has ISO certification.
- The employer's ISO 45001:2018 audit deliverables must be reviewed by the certifying partner.

4.2.12.3 For SWC certification, the certifying partner must review and approve the employer's application, including verification of the following:

- employer has a valid ISO 45001:2018 certificate;
- the certificate must be issued from an ISO designated certification body;



- confirm the audit scope (must include all WCB classifications for multi-class employers and the audit must have been performed on Manitoba-based work location(s); and
- name of the auditor(s).

4.2.12.4 For approved SWC applications, a regular three-year SWC certificate will be issued to match the scope of the employer's Manitoba-based operations that were included in their ISO 45001:2018 audit.

- If some of the employer's operations were not included in the scope of the ISO 45001:2018 audit, then recognition by the certifying partner may be restricted to the industry(ies) covered (for a multi-class employer), or to the site-specific operations covered if only part of the employer's industry classification is in scope. SAFE Work Manitoba will recognize an employer as SWC once the entire account (including all classifications for multi-class employers) has achieved SWC.

4.2.12.5 For SWC maintenance purposes, an employer Certified in accordance with the recognition process outlined in 4.2.12.3 and 4.2.12.4, may use their annual ISO 45001:2018 maintenance activities (e.g. annual surveillance assessment) to meet SWC requirements. The employer must maintain any existing certification anniversary dates and audit cycles.

- The employer must provide the certifying partner with documentation to demonstrate it has maintained its ISO 45001:2018 certification for each maintenance year.
- The employer's ISO 45001:2018 maintenance deliverables are subject to review by the certifying partner.

4.2.12.6 If an employer fails to maintain ISO certification, the employer must notify the



certifying partner promptly. Upon receiving notification, the certifying partner may decide to decertify the employer, or require a full certification audit to be completed on or prior to the certification anniversary date.

## **QUALITY ASSURANCE**

### **Certifying Partner Responsibilities:**

4.2.12.7 Develop and implement an approval and tracking process for employers who wish to apply to use ISO 45001:2018 certification for SWC recognition, including ensuring that the scope of the SWC issued matches the scope of the ISO 45001:2018 certification audit. These records may be requested by SAFE Work Manitoba during quality assurance reviews.

- Ensure that the ISO 45001:2018 recognition process follows and maintains SWC Standards and Procedures.
- Ensure completion of the required safety culture assessment form.
- Obtain the signature of the worker safety representative on the audit report findings.
- Submit a recommendation for certification upon successful verification of certification to SAFE Work Manitoba.

### **SAFE Work Manitoba Responsibilities:**

4.2.12.8 May conduct a quality assurance review on the Certifying Partner's approval and tracking process of employers who utilize the ISO 45001:2018 recognition process to obtain SWC certification.

### **Employer Responsibilities:**

4.2.12.9 The SWC audit framework is founded on and consistent with well-developed legislative and regulatory requirements for workplace safety and health



programs, however obtaining safety and health certification does not mean an employer is in compliance. The employer of a workplace must identify the legislation (including local bylaws), standards, safety and health guidelines, codes of practice, or any other information that is relevant to the safe management of their workplace activities. This information must be used by employers in the development of their safety and health management systems and will be considered by the auditors when they are auditing an employer to obtain SWC.

4.2.13. Qualify auditors for the industry.

4.2.13.1. Verify that approved SAFE Work Certified and maintenance auditor candidates meet the qualifications and certification program training requirements.

4.2.13.2. Provide industry-specific training to prospective SAFE Work Certified auditors and maintenance auditors to conduct SAFE Work Certified certification, recertification and maintenance audits for their industry sector:

| SAFE Work Certified auditor training                                                                                                                                                                                                                                                                                                                          | Maintenance auditor training                                                                                                                                                                                      |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> <li>Industry-specific auditor training, testing and a practicum to supplement the SAFE Work Certified auditor training delivered by SAFE Work Manitoba. The practicum component must include: <ul style="list-style-type: none"> <li>conducting an audit using the certifying partner's audit tool,</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>The training topics are included in the Auditing for Certification (Maintenance Auditor) training standard.</li> <li>Training includes testing and a practicum.</li> </ul> |



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| <p>under the supervision of an<br/>SAFE Work Certified auditor</p> <ul style="list-style-type: none"><li>○ developing an audit report for<br/>submission to the certifying<br/>partner.</li></ul> |  |
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- 4.2.13.3. Issue SAFE Work Certified auditor accreditation to those who satisfy both the general and industry-specific requirements.
  - 4.2.13.4. Grant maintenance auditor approval to those who satisfy the maintenance auditor requirements.
  - 4.2.13.5. Maintain a register of accredited SAFE Work Certified auditors and approved maintenance auditors for their industry.
  - 4.2.13.6. Develop processes and standards for recognition of SAFE Work Certified auditors who have been accredited with another certifying partner.
  - 4.2.13.7. Ensure a SAFE Work Certified auditor participates in SAFE Work Manitoba's annual forum.
  - 4.2.13.8. Regularly provide SAFE Work Certified auditors and maintenance auditors with industry updates and other information as required to support the continuous improvement of audit processes and practices.
  - 4.2.14. Assign SAFE Work Certified auditors to employers and provide quality assurance.
    - 4.2.14.1. Ensure SAFE Work Certified auditors are assigned in a manner that demonstrates neutrality and independence from the employer.
    - 4.2.14.2. Review employer evaluations with the SAFE Work Certified auditor for continuous improvement.
    - 4.2.14.3. Ensure a SAFE Work Certified auditor conducts a minimum of one audit per year.
    - 4.2.14.4. Ensure a SAFE Work Certified auditor does not conduct consecutive certification or recertification audits for the same employer.
  - 4.2.15. Maintain appropriate safety and health certification program records and provide information to SAFE Work Manitoba as required.
    - 4.2.15.1. Develop and maintain a system to collect and organize certification program information related to registered employers, SAFE Work Certified auditors and maintenance auditors.



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- 4.2.15.2. Develop a process for maintaining data to ensure it is current, valid and secure.
- 4.2.15.3. Take appropriate precautions to protect employer data.
- 4.2.16. Review, suspend, deny or remove safety and health certification as required, and alert SAFE Work Manitoba of circumstances that may call into question an employer's entitlement to certification.
- 4.2.16.1. Recommend to SAFE Work Manitoba that an employer's certification be reviewed, suspended, denied or removed according to the criteria outlined in Section 5, [Quality Assurance and Continuous Improvement](#).
- 4.2.16.2. Notify SAFE Work Manitoba of concerns that may call into question an employer's certified status, such as a clear violation of safety practices, unethical practices, fraud, and other activities that may breach WCB and/or other provincial and federal policies and legislation.
- 4.2.17. Perform a quality assurance review on all certification, maintenance and recertification audits. This includes conducting verification audits as required. See [Manage SAFE Work Certified Audits](#) on the SAFE Work Manitoba website for additional information.
- 4.2.18. Follow recommended limited scope audit procedures and guidelines offered by SAFE Work Manitoba. Contact SAFE Work Manitoba to obtain a copy of the Limited Scope Audit Procedures and Guidelines.

### **4.3 Employers**

*An employer is a person or legal entity that falls within either or all definitions of an "employer" as defined by The Workplace Safety and Health Act, The Workers Compensation Act or the Canada Labour Code. The SAFE Work Certified Program places employers into the following categories:*

- **guided employer** – an employer with 19 or fewer employees



- ***self-directed employer*** – *an employer with 20 or more employees.*

As the entity most directly involved in overseeing the day-to-day activities of its workers, the employer is in the best position to manage the risks associated with their workplace, and to create and maintain a safe and healthy working environment. By ensuring that operations are conducted to maximize the safety and health of workers, employers who become SAFE Work Certified through a certifying partner make an important contribution to the personal wellbeing of their workers. By participating in a safety and health certification program that meets the requirements of the SAFE Work Certified Program, an employer demonstrates their commitment to everyone with whom it does business that it is taking active, meaningful steps to create and maintain a safe and healthy working environment.

### **Employer responsibilities**

In order to become certified, employers must actively choose to participate in the certification program, and adhere to the following responsibilities:

- 4.3.1. Apply to the certification program of with the appropriate certifying partner.
  - 4.3.1.1. Employers who are unsure which certifying partner they should register with or who are having difficulty identifying a certifying partner for their industry sector should contact [SAFE Work Manitoba](#) for assistance.
- 4.3.2. Provide the certifying partner with current business information and report relevant changes
  - 4.3.2.1. Complete an application form and submit it to the appropriate certifying partner.
  - 4.3.2.2. Report any changes in the scope of operations or other factors that may affect alignment with a certifying partner in a timely manner. Significant changes may require an additional certification audit to remain certified. Examples of changes that should be reported to the certifying partner include:



- 
- change of WCB classification code
  - addition of WCB classification code
  - merging with or acquiring another business
  - change of ownership.
- 4.3.3. Complete training as directed by the certifying partner, ensuring participation by the managers, supervisors and other workers.
- 4.3.4. Develop and implement a comprehensive safety and health management system based on the certifying partner's requirements and guidelines.
- 4.3.4.1. The certifying partner can provide relevant resources and assistance to employers in developing their safety and health management systems and practices.
- 4.3.5. Pass a certification audit.
- 4.3.6. Ensure the worker representative has access to the audit report and is able to provide input to the action plan.
- 4.3.7. Employers must have at least one individual from their workplaces qualified as a maintenance auditor in order to conduct maintenance audits.
- 4.3.7.1. Employers may have more than one maintenance auditor.
- 4.3.7.2. Employers may engage a SAFE Work Certified auditor to complete a maintenance audit at their discretion.
- 4.3.8. Complete maintenance audit requirements as outlined by the certifying partner.
- 4.3.9. Maintain performance consistent with an employer that has a strong safety and health management system.
- 4.3.10. Co-operate with quality assurance activities, such as providing requested information or complying with reviews, verification audits, limited scope audits.



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## 4.4 Workers

*A worker is a person that falls within either or all definitions of a "worker" as defined by The Workplace Safety and Health Act or The Workers Compensation Act, or an "employee" as defined by the Canada Labour Code.*

As those closest to the work and the associated safety and health risks of and organization, workers, together with co-workers, managers and employers, play an active role in building improvements to safety and health in the workplace. Workers are key contributors to building a comprehensive safety and health management system.

Workers participate in the safety and health of their workplaces through committees, training, safety and health management system development, hazard assessments, reviewing audit reports and providing input into audit action plans. To highlight the importance of worker participation, the certification program's safety and health requirements include worker participation as one of the three safety and health essentials.

### **Worker responsibilities**

Workers participate in the certification program by fulfilling the following roles and responsibilities:

- 4.4.1. Participate in assigned safety and health roles and responsibilities under the workplace's safety and health management system.
- 4.4.2. Participate in the certification program and certification audit activities. At least one worker participant for every employer will represent the workers in the audit process. This will be the workplace safety and health committee worker co-chair and, where a committee is not required, the worker representative. Their responsibilities include:
  - 4.4.2.1. Attend safety and health certification training (Worker Participation in Safety and Health Certification).



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- 4.4.2.2. Review certification audit outcomes with auditor and sign the worker representative acknowledgement upon receipt of the final audit report. Review the [Manage SAFE Work Certified Audits](#) section on the SAFE Work Manitoba website for more details.
- 4.4.2.3. Participate in the development of action plans to address audit recommendations.
- 4.4.2.4. Share information with safety and health committee members and other workers.
- 4.4.3. Participate in the certification safety council.
- 4.4.3.1. In addition to providing guidance and support to the certifying partner, the worker participant of the certification safety council will participate in regular meetings arranged by SAFE Work Manitoba to enhance the SAFE Work Certified Program and to provide input and clarification on:
- how worker participants are chosen for the certification safety council
  - the role of the worker participant on the certification safety council
  - opportunities for communication and consultation with workers and unions within the particular industry
  - addressing barriers to participation, including compensation for time away from work
  - the role of the worker participant in decision making relative to industry-based safety and health programs.

## **4.5 SAFE Work Certified auditors**

*A **SAFE Work Certified auditor** is an individual external to the organization being certified who is accredited and approved to conduct SAFE Work Certified audits on behalf of certifying partners. The SAFE Work certified auditor has been specially*



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*trained and recognized as qualified to assess an employer's safety and health management system.*

By reviewing the essential aspects of the safety and health management system that he or she is engaged to audit, the SAFE Work Certified auditor is responsible for ensuring that the quality and effectiveness of the employer's safety and health management system are assessed in a fair and consistent manner according to criteria defined in prescribed audit tools.

### **Becoming a SAFE Work Certified auditor**

Certifying partners are responsible for providing oversight of auditing services that are provided to participating employers in the certifying partner's industry sector. As part of these responsibilities, certifying partners manage the assessment and recommendation of SAFE Work Certified auditor candidates in their industry sector. Certifying partners will develop additional SAFE Work Certified auditor qualifications to ensure auditors are qualified to conduct audits within their industry sector.



The skills, experience and knowledge that certifying partners should seek in a SAFE Work Certified auditor are outlined below:

| SAFE Work Certified auditor skills, experience and knowledge                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                              |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Preferred                                                                                                                                                                                                                                                                                                           | Required                                                                                                                                                                                                                                                                                                     |
| <p>Post-secondary education in occupational safety and health.</p> <p>Designations such as:</p> <ul style="list-style-type: none"> <li>• Canadian Registered Safety Professional (CRSP)</li> <li>• Certified Health and Safety Consultant (CHSC)</li> <li>• British Standards Institute - Auditor (BSI).</li> </ul> | <p>Knowledge and prior work experience in safety and health.</p> <p>Demonstration of the following competencies:</p> <ul style="list-style-type: none"> <li>• written and oral communication</li> <li>• interpersonal skills</li> <li>• critical thinking and analysis</li> <li>• sound judgment.</li> </ul> |

Those who possess the skills, experience and knowledge for SAFE Work Certified auditors listed above should complete the following steps to become accredited:

- 4.5.1. Align with a certifying partner.
- 4.5.2. Complete industry maintenance (internal) auditor training provided by the certifying partner.
- 4.5.3. Sign the Auditor Code of Ethics and Standards of Conduct.
- 4.5.4. Complete Manitoba Advanced Safety and Health Auditor Training (MASHAT) and receive your SAFE Work Certified auditor certificate from SAFE Work Manitoba.
- 4.5.5. Receive accredited SAFE Work Certified auditor status from the certifying partner.



## **Becoming accredited for multiple industries**

Individuals may be accredited to provide certification auditing services for multiple certifying partners. While Manitoba Advanced Safety and Health Auditor Training (MASHAT) is completed only once, industry-specific requirements, which may include a practical component, must be completed with each certifying partner individually.

## **SAFE Work Certified auditor responsibilities**

SAFE Work Certified auditors are responsible for the following:

- 4.5.7. Review the scope of the audit with the certifying partner and the employer to make sure it is appropriate for the employer's current business operations before conducting an audit.
- 4.5.8. Submit an audit report to the employer. See [Manage SAFE Work Certified Audits](#) on the SAFE Work Manitoba website for more information.
- 4.5.9. Maintain your SAFE Work Certified auditor accreditation.
  - 4.5.9.1. Meet SAFE Work Manitoba's forum attendance requirements.
  - 4.5.9.2. Conduct a minimum of one certification audit each year. See section 3.2.4.2, [SAFE Work Certified audit process](#), for additional responsibilities.
  - 4.5.9.3. Do not conduct subsequent certification/re-certification audits for the same employer.
- 4.5.10. All responsibilities as outlined in section 4.7, [Responsibilities for all auditors](#).

## **4.6 Maintenance auditors**

*A **maintenance auditor** has completed the Auditing for Certification (Maintenance Auditor) training course and has been deemed qualified to conduct maintenance*



*audits for program development, continuous improvement and/or to demonstrate standards are maintained between certification audits.*

Employers who are following the self-directed or guided certification process (see Section 3, [Certification Process](#)) of the certification program must have at least one worker approved by their certifying partner as a maintenance auditor (see section 4.2.13, [Qualify auditors for the industry](#)).

To become a maintenance auditor, a candidate must complete the Auditing for Certification (Maintenance Auditor) course provided by the appropriate certifying partner for the employer's industry sector.

### **Maintenance auditor responsibilities**

Maintenance auditors are responsible for the following:

- 4.6.1. Act as a role model and conform to all workplace safety and health practices.
- 4.6.2. Complete maintenance audits, including identifying all observations in the final maintenance audit report, which will assist in the development of an action plan for improvements. See section 3.3.2, [Maintenance audit procedure](#).
- 4.6.3. All responsibilities as outlined in section 4.7, Responsibilities for all auditors, below.

Employers choose maintenance auditors to conduct audits within their company and can select an auditor they feel is best suited to work with them.

## **4.7 Responsibilities for all auditors**

SAFE Work Certified and maintenance auditors are expected to carry out the responsibilities outlined below:

- 4.7.1. Observe professional practices. Auditors are required to comply with SAFE Work Manitoba's Auditor Code of Ethics and Standards of Conduct.



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- 4.7.2. Conduct all audits using the certifying partner's approved audit tools and methodologies.
  - 4.7.3. Participate, as requested by the certifying partner or SAFE Work Manitoba, in dispute resolutions.



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## 5 Quality Assurance and Continuous Improvement

The success of the SAFE Work Certified Program rests with all stakeholders having confidence and trust in the SAFE Work Certified standards and procedures. Regular quality assurance reviews help maintain program integrity and ensure there is continuous improvement in all aspects of the program. The framework for quality assurance is embedded within the roles and responsibilities of the program's stakeholders, including SAFE Work Manitoba, certifying partners, auditors, employers and workers.

The SAFE Work Certified program includes quality assurance features to verify it is operating as intended and ensure there is a mechanism to identify and follow up on concerns. The quality assurance features include:

- Continuous improvement embedded into all aspects of the certification program through the safety essentials and measures; audit tools; audit process; maintenance requirements of SAFE Work Certified; and through the roles and responsibilities of each of the programs' stakeholders.
- Stakeholder roles and responsibilities designed for quality assurance, including:
  - regular quality assurance activities that are scheduled and defined
  - quality assurance activities triggered by concerns
  - clearly outlined conditions and processes under which certified employers may be put under review or have their certification removed
  - clearly outlined conditions and processes under which SAFE Work Certified Auditors may have their auditing privileges suspended or terminated.

### ***5.1 Regular quality assurance activities***

This section describes the regular quality assurance activities for which certifying partners and SAFE Work Manitoba are each responsible. The effectiveness of these activities will be reviewed annually with the SAFE Work Certified Advisory Committee.



### 5.1.1 Certifying partner quality assurance activities

Certifying partners must complete the activities described below and be able to provide the information to SAFE Work Manitoba upon request.

| 1 Audits           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|--------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Activity</b>    | <ul style="list-style-type: none"> <li>complete a second QA on a sample of audits annually <ul style="list-style-type: none"> <li>a person other than the auditor and other than the person who completed the initial QA must complete the second QA</li> </ul> </li> <li>for all audits, ensure an action plan was received.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Rationale</b>   | <ul style="list-style-type: none"> <li>to maintain audit and audit process integrity</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Data source</b> | <ul style="list-style-type: none"> <li>completed certification/recertification audits: <ul style="list-style-type: none"> <li>a sample of 10% of certification/audits per year to a maximum of five</li> <li>the sample must include audits for employers whose certification was placed under review and audits completed by different auditors</li> </ul> </li> <li>completed maintenance audits: <ul style="list-style-type: none"> <li>a sample of 10% of maintenance per year to a maximum of five</li> <li>the sample must include audits with scores at or below minimum standards, audits with scores that far exceed the average (i.e., 100%) and audits completed by different auditors.</li> </ul> </li> </ul> |
| <b>Frequency</b>   | annually                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |



## 2 SAFE Work Certified auditors

|                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|--------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Activity</b>    | <p>maintain an up-to-date list of approved SAFE Work Certified auditors and track the following information for each auditor:</p> <ul style="list-style-type: none"> <li>• ratings and comments from auditor evaluations</li> <li>• audit information: <ul style="list-style-type: none"> <li>○ number of audits conducted</li> <li>○ number of approved upon submission</li> <li>○ number of audits requiring revisions</li> <li>○ audit scores</li> </ul> </li> <li>• auditor attendance at annual auditor forum.</li> </ul> |
| <b>Rationale</b>   | <ul style="list-style-type: none"> <li>• to monitor auditor activities and performance</li> <li>• to identify auditors who may need additional support or training</li> <li>• to determine whether a SAFE Work Certified auditor review may be required.</li> </ul>                                                                                                                                                                                                                                                            |
| <b>Data source</b> | <ul style="list-style-type: none"> <li>• auditor evaluation surveys</li> <li>• completed certification/recertification audits</li> <li>• completed maintenance audits</li> <li>• notes from annual auditor forum.</li> </ul>                                                                                                                                                                                                                                                                                                   |
| <b>Frequency</b>   | annually                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |



### 3 Maintenance auditors

|                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Activity</b>    | <p>maintain an up-to-date list of approved maintenance auditors and track the following information for each auditor:</p> <ul style="list-style-type: none"> <li>• list of required training completed</li> <li>• list of all maintenance audits completed for the year including: <ul style="list-style-type: none"> <li>○ employer WCB account number</li> <li>○ employer name</li> <li>○ whether the audit was approved upon submission</li> <li>○ whether the audit required revisions</li> <li>○ audit score.</li> </ul> </li> </ul> |
| <b>Rationale</b>   | <ul style="list-style-type: none"> <li>• to monitor auditor activities and performance</li> <li>• to identify auditors who may need additional support or training.</li> </ul>                                                                                                                                                                                                                                                                                                                                                            |
| <b>Data source</b> | <ul style="list-style-type: none"> <li>• completed maintenance audits</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Frequency</b>   | annually                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |

### 4 Audit Tool - Element N/MB Supplement

|                    |                                                                                                                                                                                                                                  |
|--------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Activity</b>    | <ul style="list-style-type: none"> <li>• review documents and observations questions to ensure relevance and legislative conformance</li> <li>• Identify and communicate any necessary changes to SAFE Work Manitoba.</li> </ul> |
| <b>Rationale</b>   | <ul style="list-style-type: none"> <li>• to ensure the Element N/MB Supplement continues to meet industry needs and conforms with legislative requirements</li> </ul>                                                            |
| <b>Data source</b> | audit tool - element N (SAFE Work Certified) or MB supplement (COR)                                                                                                                                                              |
| <b>Frequency</b>   | every three years, at minimum                                                                                                                                                                                                    |



### 5 Certification training course curriculum

|                    |                                                                                                                              |
|--------------------|------------------------------------------------------------------------------------------------------------------------------|
| <b>Activity</b>    | complete SAFE Work Manitoba course review form to compare course curriculum to current SAFE Work Manitoba training standards |
| <b>Rationale</b>   | to ensure certification training meets SAFE Work Manitoba training standards, industry needs and legislative requirements    |
| <b>Data source</b> | certification training course materials                                                                                      |
| <b>Frequency</b>   | every three years, at minimum                                                                                                |

### 6 Certification training course delivery

|                    |                                                                                                                                                |
|--------------------|------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Activity</b>    | review course evaluations from participants and prepare a summary of ratings and test results (if applicable) grouped by course and instructor |
| <b>Rationale</b>   | to ensure training courses and instructors are regularly evaluated                                                                             |
| <b>Data source</b> | course evaluations                                                                                                                             |
| <b>Frequency</b>   | annually                                                                                                                                       |

### 7 Certification training courses attendance

|                    |                                                                                                                                               |
|--------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Activity</b>    | track the locations where required certification training courses are delivered, the number of attendees at each location and their employers |
| <b>Rationale</b>   | to ensure adequate training is offered across Manitoba                                                                                        |
| <b>Data source</b> | course registrations                                                                                                                          |
| <b>Frequency</b>   | annually                                                                                                                                      |



## 8 Certification and audit metrics

|                    |                                                                                                                                                                                                                                                                                                                                                                                      |
|--------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Activity</b>    | <p>track the following:</p> <ul style="list-style-type: none"> <li>• number of failed certification audits</li> <li>• number of maintenance audits that scored below the minimum standard for certification</li> <li>• audit score trends, for example average audit score year-over-year comparison</li> <li>• duration, in days, between application and certification.</li> </ul> |
| <b>Rationale</b>   | <ul style="list-style-type: none"> <li>• to identify and improve certification processes if there are excess failed audits or concerning audit score trends</li> <li>• to ensure there is not excess time between application and certification. Certifying partners should follow up with employers who have applied, but have not yet achieved certification.</li> </ul>           |
| <b>Data source</b> | certifying partner's Customer Relationship Management (CRM) system                                                                                                                                                                                                                                                                                                                   |
| <b>Frequency</b>   | annually                                                                                                                                                                                                                                                                                                                                                                             |



### 5.1.2 SAFE Work Manitoba quality assurance activities

SAFE Work Manitoba will complete the quality assurance activities outlined below. Certifying partners will be informed of the results as needed.

| 1 Audits                          |                                                                                                                                                                                                                                                                                                                                    |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Activity</b>                   | <ul style="list-style-type: none"> <li>perform a QA review on a sample of certification/recertification audits completed by the certifying partner</li> <li>confirm audit action plans were received by the certifying partner.</li> </ul>                                                                                         |
| <b>Data source</b>                | <ul style="list-style-type: none"> <li>two completed certification/recertification audits, including audit action plans, as chosen by SAFE Work Manitoba, to be provided by the certifying partner</li> <li>two completed maintenance audits, as chosen by SAFE Work Manitoba, to be provided by the certifying partner</li> </ul> |
| <b>Frequency</b>                  | annually                                                                                                                                                                                                                                                                                                                           |
| 2 SAFE Work Certified audit tools |                                                                                                                                                                                                                                                                                                                                    |
| <b>Activity</b>                   | review the documents, observations and interview questions with the SAFE Work Certified Advisory Committee to validate relevance and legislative conformance                                                                                                                                                                       |
| <b>Data source</b>                | SAFE Work Certified Audit Tool (excluding element N)                                                                                                                                                                                                                                                                               |
| <b>Frequency</b>                  | at minimum, every three years (beginning January 2020)                                                                                                                                                                                                                                                                             |



| 3 Certification effectiveness            |                                                                                                                                                                                                                                              |
|------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Activity</b>                          | <ul style="list-style-type: none"> <li>analyze injury rate changes for certified employers</li> <li>review percentage of payroll certified within an industry classification.</li> </ul>                                                     |
| <b>Data source</b>                       | SAFE Work Manitoba's customer relationship management system (CRM)                                                                                                                                                                           |
| <b>Frequency</b>                         | annually                                                                                                                                                                                                                                     |
| 4 Safety culture                         |                                                                                                                                                                                                                                              |
| <b>Activity</b>                          | compare safety culture assessment scores between the SAFE Work Certified completed application, certification audit and maintenance audit                                                                                                    |
| <b>Data source</b>                       | completed SAFE Work certified: <ul style="list-style-type: none"> <li>application</li> <li>certification audit</li> <li>maintenance audit</li> </ul>                                                                                         |
| <b>Frequency</b>                         | annually                                                                                                                                                                                                                                     |
| 5 SAFE Work Certified training standards |                                                                                                                                                                                                                                              |
| <b>Activity</b>                          | review training standards with the SAFE Work Certified Advisory Committee to validate relevance and legislative conformance                                                                                                                  |
| <b>Data source</b>                       | training standards, including: <ul style="list-style-type: none"> <li>Principles of Workplace Safety and Health Management</li> <li>Safety and Health Leadership</li> <li>Worker Participation in Safety and Health Certification</li> </ul> |



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|                                                                             |                                                                                                                                                 |
|-----------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                             | <ul style="list-style-type: none"><li>Auditing for Certification (Maintenance Auditor)</li></ul>                                                |
| <b>Frequency</b>                                                            | at minimum, every three years (beginning January 2020)                                                                                          |
| <b>6 SAFE Work Certified and Prevention Rebate Standards and Procedures</b> |                                                                                                                                                 |
| <b>Activity</b>                                                             | review SAFE Work Certified and Prevention Rebate Standards and Procedures and revise as necessary                                               |
| <b>Data source</b>                                                          | <ul style="list-style-type: none"><li>SAFE Work Certified Standards and Procedures</li><li>Prevention Rebate Standards and Procedures</li></ul> |
| <b>Frequency</b>                                                            | at minimum, every three years (beginning January 2020)                                                                                          |



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## **5.2 Certification review**

A certification review is a review of an organization's safety and health management system through a verification audit, limited scope audit or other safety monitoring mechanisms. It is conducted if deemed warranted by SAFE Work Manitoba and/or a certifying partner.

Certain criteria may trigger a review of an employer's certification. The intent of a certification review is to help an employer maintain the requirements of the certification program, thereby reducing the risk of injury or illness.

Either a certifying partner or SAFE Work Manitoba may determine a certification review is required. Certification reviews shall be conducted by the certifying partner.

Under certain conditions, a certification review may result in the removal of an employer's certification.

### **5.2.1 Triggers**

The following conditions will trigger a certification review:

- 5.2.1.1. any violation under the 'Legislative compliance' section of WCB Policy 52.40, *Prevention Rebate Program*
- 5.2.1.2. a workplace fatality claim submitted to the WCB for adjudication
- 5.2.1.3. sufficient concerns raised by any stakeholder including certifying partners, SAFE Work Manitoba, Workplace Safety & Health, Canada Labour Program, labour associations, workplace safety and health committees, workers, or the public.

### **5.2.2 Scope**

The scope of a certification review is situational and will be determined by the certifying partner. The certifying partner must define guidelines for certification reviews in their quality



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assurance program. The review could range, for example, from a document review of the employer's certification to a full verification audit. The review and its findings must be documented by the certifying partner. An action plan must also be included if warranted by the findings.

### **5.2.3 Notification of review**

SAFE Work Manitoba will immediately place an employer's certified status under review when any of the conditions in section 5.2.1 have been met and then notify the certifying partner that a certification review is required.

If a certifying partner has made their own determination that a certification review is warranted, they must notify SAFE Work Manitoba immediately. The employer's certified status will then be placed under review.

### **5.2.4 Notification of review findings**

At the conclusion of a certification review, the certifying partner will advise SAFE Work Manitoba of the findings and outcome. SAFE Work Manitoba will change the employer's certified status accordingly.

### **5.2.5 Other considerations**

SAFE Work Manitoba and/or the certifying partner will communicate with the complainant as agreed between the two parties.

The certifying partner will provide sufficient opportunity for the employer to respond to any complaints and concerns before conducting a review.

Costs associated with verification audits will be assumed by the employer.

An employer's prevention rebate will be withheld until the certification review concludes favourably and their certified status is no longer under review.



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### **5.3 SAFE Work Certified auditor review**

A SAFE Work Certified auditor review is a review of a SAFE Work Certified auditor's accreditation and competencies. It is conducted if deemed warranted by SAFE Work Manitoba and/or a certifying partner. The intent is to ensure an auditor continues to meet the requirements of the certification program, thereby helping reduce the risk of workplace injury or illness.

Either a certifying partner or SAFE Work Manitoba may determine that a SAFE Work Certified auditor review is required. Reviews shall be conducted by the certifying partner.

A SAFE Work Certified auditor cannot be assigned any new audits while under review.

If the review determines that there was a violation of the *Auditor Code of Ethics and Standards of Conduct*, the auditor may have their auditing privileges within the SAFE Work Certified Program suspended or terminated.

#### **5.3.1 Triggers**

The following conditions will trigger a SAFE Work Certified auditor review:

- 5.3.1.1. failing to carry out the SAFE Work Certified auditor responsibilities defined in section 4.5, including failing to maintain SAFE Work Certified auditor accreditation defined in section 4.5.9
- 5.3.1.2. failing to carry out the responsibilities for all auditors defined in section 4.7
- 5.3.1.3. sufficient concerns arising from reported auditor activities as mentioned in section 5.1.1
- 5.3.1.4. sufficient concerns raised by any stakeholder, including certifying partners, SAFE Work Manitoba, Workplace Safety & Health, Canada Labour Program,



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labour associations, workplace safety and health committees, workers, or the public.

### **5.3.2 Scope**

The scope of a SAFE Work Certified auditor review is situational and will be determined by the certifying partner and/or SAFE Work Manitoba. The certifying partner must define guidelines for SAFE Work Certified auditor reviews in their quality assurance program. The review could range, for example, from a document review of the auditor's submitted audits to a more comprehensive evaluation. The review and its findings must be documented by the certifying partner. An action plan must also be included if warranted by the findings.

### **5.3.3 Notification of review**

A certifying partner will immediately place a SAFE Work Certified auditor under review when any of the conditions in 5.3.1 have been met and then notify SAFE Work Manitoba that a review has commenced.

If SAFE Work Manitoba determines that an SAFE Work Certified auditor review is warranted based on the conditions in 5.3.1, the certifying partner will be contacted to commence the review.

### **5.3.4 Notification of review findings**

At the conclusion of a SAFE Work Certified auditor review, the certifying partner will advise SAFE Work Manitoba of the findings and outcome.

### **5.3.5 Other considerations**

The certifying partner will provide sufficient opportunity for the auditor to respond to any complaints and concerns before conducting a review.

No new audits can be assigned to an auditor who is under review. The certifying partner may choose to reassign an audit in progress to a new auditor at their discretion.



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## **6 Disclaimer**

*SAFE Work Manitoba has made all reasonable attempts to confirm that the information contained in this document is accurate and up-to-date. However, this document is a guide for general information purposes only and may require amendments from time to time. SAFE Work Manitoba cannot assume responsibility or liability for reliance upon this document alone in attempting to obtain certification through the certification program. An employer interested in becoming certified is strongly encouraged to contact SAFE Work Manitoba or one of its certifying partners for more information.*



## 7 Glossary

| Term                                            | Acronym | Definition                                                                                                                                                                                                                                                                                                                                                                                                   |
|-------------------------------------------------|---------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Action plan                                     |         | Document that addresses weaknesses identified during the audit process. An action plan also describes actions to be taken to address these weaknesses, expected outcomes and timelines.                                                                                                                                                                                                                      |
| Audit                                           |         | Evaluation of an organization's safety and health management system against an approved set of criteria.                                                                                                                                                                                                                                                                                                     |
| Auditor Code of Ethics and Standards of Conduct |         | Set of rules and standards by which a SAFE Work certified auditor must abide. All SAFE Work Certified auditors are required to agree to the terms as outlined in the Auditor Code of Ethics and Standards of Conduct.                                                                                                                                                                                        |
| Audit process                                   |         | Manner in which the audit is conducted against an approved set of standards. The audit process outlines the roles and responsibilities of those involved in the audit, including SAFE Work Manitoba, certifying partners, auditors, employers and workers. Includes methods and techniques used to evaluate an organization's management system and the quality assurance requirements for each stakeholder. |



| Term                        | Acronym | Definition                                                                                                                                                                                                                                                                                                                                                                                 |
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| Audit tool                  |         | Instrument used to conduct the audit. The audit tool outlines the specific areas to be assessed (safety and health measures) and the method of assessment (typically documentation, interviewing, observation and surveys), as well as the detailed scoring methods.                                                                                                                       |
| Canada Labour Code          |         | Act of Parliament of the Canadian government to consolidate certain statutes respecting labour. The objective of the code is to facilitate production by controlling strikes and lockouts, occupational safety and health, and some employment standards. In general, the code only applies to those industries in which the federal government has jurisdiction instead of the provinces. |
| Certification/<br>Certified |         | Generic designation that recognizes employers that have demonstrated active adoption of a set of safety and health requirements and practices that comprise a comprehensive safety and health management system that includes quality assurance and continuous improvement processes.                                                                                                      |



| Term                                   | Acronym | Definition                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
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| Certifying partner                     | CP      | Independent, not-for-profit industry-based safety program or association approved by SAFE Work Manitoba to administer the SAFE Work Certified Program. The certifying partner serves as the employer's main point of contact regarding all operational aspects of obtaining safety and health certification that meets the criteria for the SAFE Work Certified Program.                                                                                                                                                       |
| SAFE Work Certified Advisory Committee |         | Committee that provides guidance on the SAFE Work Certified Program. It may be a sub-committee of the governance body of the industry-based safety and health program approved as a certifying partner.                                                                                                                                                                                                                                                                                                                        |
| Employer                               |         | <p>Person or legal entity which falls within definitions of an "employer" as defined by <i>The Workers Compensation Act</i>, <i>The Workplace Safety and Health Act</i>, <i>The Workplace Safety and Health Regulation</i> and/or the <i>Canada Labour Code</i>. Employers are further categorized by SAFE Work Manitoba as:</p> <ul style="list-style-type: none"><li>• <b>Guided Employer</b> – an employer with 19 or fewer workers</li><li>• <b>Self-Directed Employer</b> – an employer with 20 or more workers</li></ul> |



| Term                          | Acronym | Definition                                                                                                                                                                                                                                                                                                                                                   |
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| Equivalent (aka reciprocity)  |         | Process of mutual acceptance of SAFE Work Certified between industry sectors or between SAFE Work Certified and similar certifications. Equivalent does not mean "same," but rather refers to a minimum set of requirements being met regardless of industry and size.                                                                                       |
| Guided certification path     |         | Services and supports provided to employers who are new to safety and health management or may not have the capacity to develop a safety and health management system on their own. These employers will generally require more engaged consultative services to become safety and health certified. These are typically employers with 19 or fewer workers. |
| Industry-based safety program | IBSP    | Program that provides education/workshops, consulting services, and acts as a certifying partner for member companies aligned under a common industry or worker demographic. An IBSP is typically hosted by a parent organization and governed by a council body, both representative of industry.                                                           |
| Limited scope audit           |         | Re-audit of a particular element or elements of a safety and health management system that did not meet minimum standard.                                                                                                                                                                                                                                    |



| Term                    | Acronym | Definition                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
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| Maintenance auditor     |         | Individual(s) from within a company trained to conduct maintenance audits to demonstrate standards are maintained between certification audits.                                                                                                                                                                                                                                                                                                                                                              |
| Maintenance audits      |         | Audit intended to confirm maintenance and continuous improvement in safety and health management systems. This includes verification of progress made on the action plan generated in the previous year's audit. Maintenance audits are conducted in the intervening years between recertification cycles. Completion of a maintenance audit or recertification is required to be eligible for the prevention rebate.                                                                                        |
| Performance-based audit |         | Audit that focuses on standards for achieving safety and health outcomes and driving activities, and provides the flexibility to accommodate change, incorporate unique situations and fit the culture of individual workplaces. Performance-based audits focus on what the program is doing and achieving, relying heavily on observations and interviews. Performance-based audits are distinguished from prescriptive audits, which focus on exact methods, rules and that rely heavily on documentation. |



| Term                                 | Acronym | Definition                                                                                                                                                                                                                                                                                                                                             |
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| Recertification                      |         | Full certification audit carried out by SAFE Work Certified auditor every three years. Recertification is a requirement for eligibility for the prevention rebate.                                                                                                                                                                                     |
| Safety climate                       |         | Way to measure perceptions of the workplace safety culture in a company at a given point in time. Safety climate is considered temporary and often refers to workers' shared perceptions of their workplace approach to safety. It also provides a focal point to make changes to improve safety.<br><br>Related to but different from safety culture. |
| Safety culture                       |         | Set of shared attitudes, values and norms regarding safety and health in an organization or group which are demonstrated through interactions, practices and behaviours relative to safety and health. It is a continuing practice.                                                                                                                    |
| Safety and health essentials         |         | Minimum safety and health requirements that every organization must adhere to in order to achieve certification.                                                                                                                                                                                                                                       |
| Safety and health essential measures |         | Specific safety and health activities (qualitative and quantitative) that demonstrate the fulfillment of safety and health essentials.                                                                                                                                                                                                                 |



| Term                                | Acronym | Definition                                                                                                                                                                                                                                                                                                                                                                                                          |
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| Safety and health program           |         | Safety and health program and processes used within a workplace, designed to be effective in reducing workplace illness and injury (differentiated from the safety certification program).                                                                                                                                                                                                                          |
| SAFE Work Certified                 | SWC     | SAFE Work Manitoba's voluntary workplace safety and health certification program, which outlines safety and health requirements and leading safety and health practices that comprise a comprehensive safety and health management system. Employers that demonstrate active adoption of the safety and health requirements outlined in the SAFE Work Certified Program may achieve safety and health certification |
| SAFE Work Certified audit           |         | Formal safety and health evaluation conducted by a SAFE Work Certified auditor that is required to become certified.                                                                                                                                                                                                                                                                                                |
| SAFE Work Certified Audit Framework |         | Document that outlines the framework that will be used by SAFE Work Certified auditors for the evaluation of safety and health management systems.                                                                                                                                                                                                                                                                  |



| Term                                                       | Acronym | Definition                                                                                                                                                                                                                                                                                               |
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| SAFE Work Certified Audit Tool                             |         | Tool used to conduct SAFE Work Certified audits for organizations with 20 or more employees. The audit tool outlines the specific areas to be assessed (safety and health measures) and the method of assessment (documentation, interviews, and observations), as well as the detailed scoring methods. |
| SAFE Work Certified auditor                                | SWCA    | Recognized and specially trained individual qualified to assess an employer's safety and health management system. A SAFE Work Certified auditor is external to the organization being certified. They are accredited and approved to conduct safety and health audits on behalf of certifying partners. |
| SAFE Work Certified Guided Audit Tool and Maintenance Tool |         | Tool used to conduct a SAFE Work Certified audit for organizations with 19 or fewer employees. The tool outlines the specific areas to be assessed (safety and health measures) and the method of assessment (documentation, interviews, and observations), as well as the detailed scoring methods.     |



| Term                             | Acronym | Definition                                                                                                                                                                                                                                                                                                             |
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| SAFE Work Manitoba               | SWMB    | SAFE Work Manitoba is the public agency dedicated to the prevention of workplace injury and illness. Working with partners in the safety community, SAFE Work Manitoba provides prevention education, safety programming, consulting and strategic direction to create a genuine culture of safety for all Manitobans. |
| Self-directed certification path |         | Services and supports provided to employers who have the capacity to develop a safety and health program, conduct maintenance audits, may have mature systems in place and/or do not require intensive consultative services to become SAFE Work Certified. These are typically employers with 20 or more workers.     |
| Self-employed certification path |         | Services and supports provided to self-employed persons by the certifying partner to help them become SAFE Work Certified. Self-employed means individuals who own / operate their own business with no other workers.                                                                                                 |



| Term               | Acronym | Definition                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
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| Verification audit |         | Re-audit of an employer to confirm/verify the findings of a certification or maintenance audit. The verification audit is used as a quality assurance review of the auditor's work or the employer's program or both.                                                                                                                                                                                                                                                            |
| Vulnerable worker  |         | Workers who are at greater risk for workplace injury and illness arising from a mix of individual and workplace factors, and who generally lack the power to alter those conditions. These factors and conditions include, but are not limited to, newness (to job, work, country, etc.), precarious work (casual, temporary work, low wages, etc.), language and socio-cultural barriers, high turnover/high-risk industry, or disabilities (physical, mental, cognitive, etc.) |
| Worker             |         | A person that falls within either or all definitions of a "worker" as defined by <i>The Workplace Safety and Health Act</i> or <i>The Workers Compensation Act</i> , or an "employee" as defined by the <i>Canada Labour Code</i> .                                                                                                                                                                                                                                              |



| Term                                | Acronym | Definition                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
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| Worker representative               |         | Worker designated to sign off on their understanding of the audit and to contribute to the action plan. This should be the worker co-chair of the safety and health committee (or their designate) for a self-directed employer (20 or more employees) or the designated worker representative for a guided employer (19 or fewer employees) (or their designate).                                                                                                                                  |
| <i>The Workers Compensation Act</i> | WCA     | <i>The Workers Compensation Act (C.C.S.M. c. W200).</i>                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Workers Compensation Board          | WCB     | Corporate body continued under the WCA.                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Workplace                           |         | Physical business location(s) where work takes place. According to <i>The Workplace Safety and Health Act</i> definition, a workplace means 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. A workplace is also any place that falls within the definition of a "work place" as defined by the <i>Canada Labour Code</i> . |



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| Term                                       | Acronym | Definition                                                           |
|--------------------------------------------|---------|----------------------------------------------------------------------|
| Workplace Safety and Health                | WSH     | Workplace Safety and Health Branch, defined as "branch" by the WSHA. |
| <i>The Workplace Safety and Health Act</i> | WSHA    | <i>The Workplace Safety and Health Act</i> (C.C.S.M c. W210).        |
| Work site                                  |         | Temporary location where work is conducted.                          |