



## SAFETY GROUPS

### *SGAP Validation Audit Pledge*

The Safety Groups Program understands that audits can be stressful. To help ease this, we pledge to provide employers who are selected for a Safety Groups Advantage Program (SGAP) validation audit with a process that is transparent, consistent and impartial.

Here's what you can expect.

#### *Selection Process*

Each year the WSIB implements a validation audit strategy to select a sampling of firms, from each Safety Group, to verify their self-reported program achievements. If your firm is selected, it must fully participate in the validation audit to remain eligible for the financial rebate.

#### *Notification*

All firms selected for a SGAP validation audit will be notified by their Safety Group Sponsor in mid-February.

**This initial contact from your Sponsor will allow you the opportunity to discuss pre-audit assistance that may be available from your Sponsor.**

Following notification, selected firms have a minimum of two weeks to submit the additional SGAP supporting documentation – outlined on page 8 of the *SGAP Employer Requirements* to your Sponsor. The Sponsor is responsible for sending the supporting documentation to the WSIB by March 1, 2019.

The WSIB auditor will conduct a desk audit of the submitted SGAP supporting documentation to determine if there is

sufficient evidence of the SGAP employer requirements being met to proceed with a site audit.

Beginning in late February to early March, and beyond, the assigned WSIB Safety Groups Program Consultant/Auditor will contact you, by phone or e-mail, to briefly review the findings of their desk audit, and in all likelihood schedule the site audit.

**Every reasonable effort will be made to schedule the site audit at a mutually convenient time.**

The auditor will provide you with written confirmation of the date, time and location of the audit. The auditor will let you know approximately how much time should be needed to conduct the audit.

**You don't have to wait to hear from us. Once you know your firm has been selected for a validation audit, you're welcome to contact the assigned auditor to schedule the audit. This might help you get a date that works best for you.**

If the auditor finds there is not sufficient evidence to proceed with a site audit, their findings will be fully discussed with you and formally documented in a letter.

**The auditor will expect you to be prepared for the audit by having all your SGAP documents and records readily available, and the time set aside.**

You are welcome to have any number of colleagues at the validation audit to assist you. You may want to invite members of your management team or Joint Health & Safety Committee members.

### *What to expect on the day of the site audit*

The auditor will review their desk audit findings of your firm's written HSMS Audit Program Standard, and the records of the company auditor training.

The auditor will then ask to review your company documents and records to verify evidence of the implementation of the remaining three Safety Groups Advantage Program employer requirements.

### **The majority of time during the site audit will focus on verifying SGAP requirements 3, 4 and 5.**

Details of what the auditor will ask your firm to verify during the site audit are outlined on pages 9 and 10 in the *2015 Safety Groups Advantage Program Employer Requirements*.

### **You can prepare for the validation audit by ensuring the listed documents and records are readily available on the day of the site audit.**

The auditor will also take a guided tour of your workplace to observe and verify the implementation of the health and safety program and any CIP activities; and, to speak with staff about their involvement and understanding of the health and safety program.

### *Consistency*

Our audit findings will be based only on the objective evidence collected during the validation audit. We will explain our findings during the audit. You are welcome to make a copy of our audit notes. We will formally confirm our audit findings in a letter following the audit.

### *Supportive*

Your questions are welcome during the audit. We will provide practical answers to the best of our ability, and offer suggestions how you can further enhance your health and safety program.

### *Accountability*

You may not always agree with our audit findings and we respect your right to have our decisions reviewed. The auditor will accept and review your written objection. This may include a review with the Safety Groups Program team to confirm the specific issue is being consistently applied. However, if the outcome of this initial review does not meet with your satisfaction, we will advise you how to formally appeal our decision.

### *Confidentiality*

We respect the confidentiality of your health and safety program and will disclose the specific findings of our audit with only your Sponsor. Also, the auditor will not share any confidential business information they may become aware of during the audit.

The auditors are bound by the swearing of an Oath of Office under the *Public Services of Ontario Act*.

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**If you have any questions about the SGAP validation audit process please do not hesitate to contact your Safety Group Program Sponsor or your Safety Group Program Consultant. We want to ensure you're prepared for a successful audit.**

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