



## Climate Assessment and Audit Tool (CAAT)

WorkplaceNL now offers a new service to employers of the province, the Climate Assessment and Audit Tool (CAAT). CAAT allows an employer's health and safety management systems to be assessed in parallel to safety culture. CAAT is a holistic approach to measuring the current state of the Health and Safety Ecosystem: how health and safety management systems and culture interact and influence one another. The approach provides valuable information by examining Health and Safety Maturity Factors that have an impact on health and safety outcomes.

### How CAAT Works

Based on findings from the Institute for Work and Health (IWH), key Health and Safety Maturity Factors have been found to be predictive of health and safety performance and outcomes. CAAT has been developed around these Maturity Factors. CAAT assesses the current level of maturity of the Health and Safety Ecosystem of a business by using a two-pronged, 360-degree approach.

### Better Together!

There are many benefits of assessing workplace safety systems and culture together, including:

- Improved safety outcomes by changing the way we look at and manage health and safety
- Identifies current perceptions around how people feel, think, and behave with regard to health and safety issues, and measures this against corresponding health and safety system expectations

- Categorizes and profiles factors that contribute to workplace culture, allowing for the development and implementation of a customized, effective action plan unique to your organization
- A CAAT roadmap identifies the most impactful route to take in order to address health and safety effectively
- Deepens understanding of the workplace culture and sub-cultures
- Measurable, digestible continuous improvement framework

### Component 1: Climate

- Attitudes, beliefs and perceptions measured through a series of dimensions made up of various statements, which are part of the CAAT climate assessment.



### Component 2: Occupational Health and Safety Management Systems

- Consistent implementation of and adherence to the system related expectations and processes, measured through culture-based management system maturity audit criteria.



## CAAT Essentials and CAAT IRS

CAAT offers two types of assessments: CAAT Essentials and CAAT IRS. The table below compares the health and safety factors associated with each assessment.

CAAT Essentials measures six factors that impact health and safety outcomes, which are founded on the principles of the internal responsibility system.

CAAT IRS is an inclusive assessment that combines the six factors of CAAT Essentials with four additional factors to complete the Internal Responsibility System (IRS). This assessment provides a deeper dive into the maturity of an organization's OHS ecosystem.

### CAAT Essentials Health and Safety Maturity Factors

| # | Health and Safety Factors | Details  |
|---|---------------------------|--|
| 1 | Leadership Commitment     | Leadership demonstrates the importance and priority of health and safety through the development of goals and objectives in consultation with workplace parties. Progress is monitored and communicated to employees. Leading indicators and continuous improvement are collaboratively developed and workplace parties are empowered to address performance gaps.                               |
| 2 | Risk Management           | The organization takes proactive measures to assess the risks at the workplace using a risk management process. Workers are aware of the hazards associated with their work and work environment. Hazard reporting is completed at all levels of the organization.   |
| 3 | Integrity                 | Health and safety expectations are established and applied in a fair, transparent and consistent manner promoting an engaged positive workplace culture.   |
| 4 | Loss Mitigation           | A reporting and investigation process is established and implemented to determine contributing factors and corrective actions. Corrective actions are managed while engaging workplace parties to inform continuous improvement. Effective understanding allows the organization to develop and implement effective controls and make systematic improvement to mitigate further or future loss. |
| 5 | Knowledge and Competency  | Workplace parties are engaged in risk and culture-based skills development. Competency confirmation informs training effectiveness and continuous improvement.   |
| 6 | Resources and Support     | Management supports the workplace by making sure that appropriate levels of resources are available to ensure the health and safety of all people at the workplace and act on health and safety concerns in a timely manner.   |



## CAAT IRS Health and Safety Maturity Factors

| # | Health and Safety Factors               | Details   |
|---|---|---|
| 1 | Leadership Commitment and Vision        | Leadership is perceived as being committed to the protection of the health and safety of all stakeholders when it comes to the activities the organization carries out. This commitment is visible, genuine and systematically consistent. A health and safety strategy guides the decisions of the senior management team with the intent of achieving the goals and objectives of the organization as they relate to health and safety.   |
| 2 | Hazard Management and Risk Appreciation | Proactive steps to understand the risks of the workplace environment which are addressed through a comprehensive risk management process. Individuals are aware of hazards in their work environment and acknowledge the importance of a consistent approach to managing these in an effective manner. Hazards are consistently reported to ensure awareness across all levels and every effort is taken to ensure the effectiveness of controls has been considered by all stakeholders. |
| 3 | Communication                           | How health and safety expectations are set and carried out, including the degree to which individuals believe 'bending' or 'not following' these rules is occurring in order to get the job done. Health and safety is managed consistently and effectively across the organization.  |
| 4 | Responsibilities and Empowerment        | When dealing with contingency planning and prevention of reoccurrence, the organization assesses loss and loss potential using a consistent root cause analysis approach. Effective understanding allows the organization to develop and implement effective controls and make systematic improvement to mitigate further or future loss.   |
| 5 | Training and Competency                 | Appropriate training is provided to relevant levels and positions within the organization. Employees feel they have been provided with the proper knowledge and possess the ability to perform the responsibilities that have been assigned to them. Everyone knows what they are required to do and how to do it. Management is responsible for addressing all health and safety hazards and know what do to in the instance where they encounter roadblocks and need assistance.        |
| 6 | Responsiveness and Support              | Act quickly to address health and safety concerns and provides appropriate levels of resources to ensure the health and safety of workers (time, resources, education, etc.) and to ensure safety goals can be met.   |



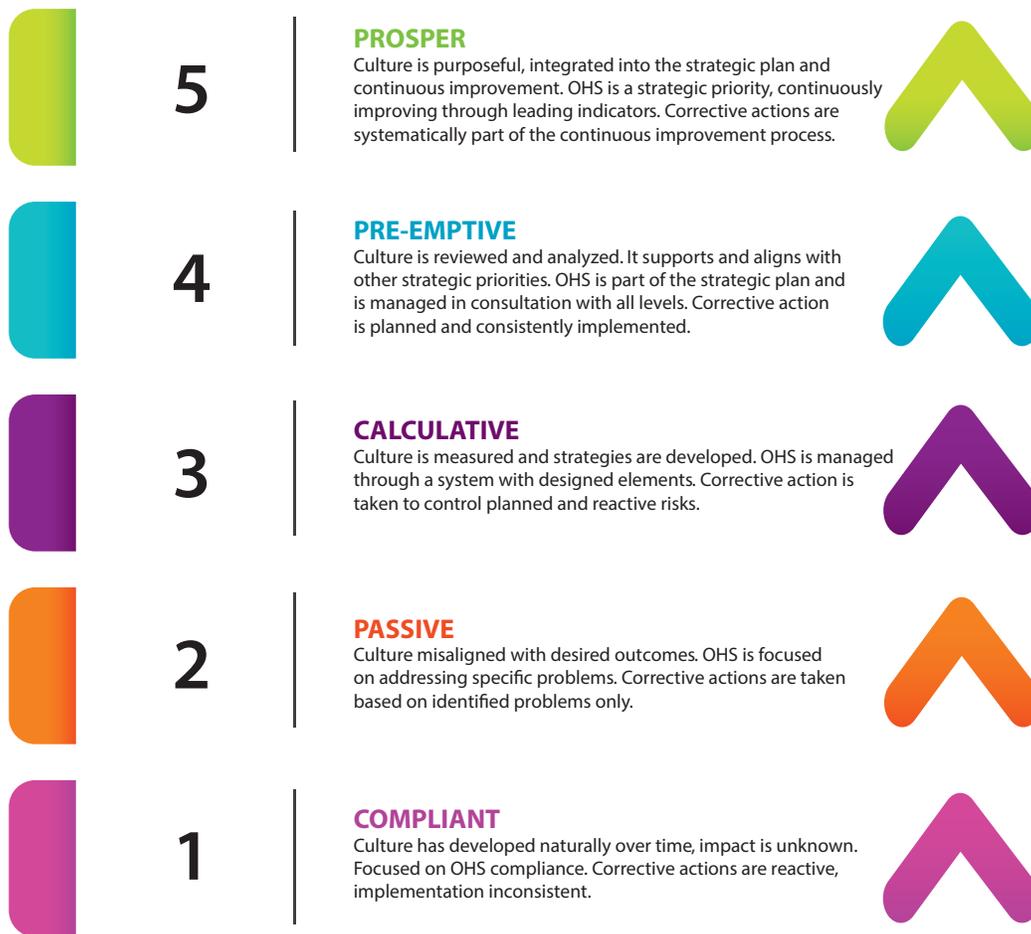
## CAAT IRS Health and Safety Maturity Factors

| #  | Health and Safety Factors                     | Details   |
|----|---|---|
| 7  | Participation and Consultation                | Individuals are involved and are empowered to exercise their right to participate in their health and safety. This participation is encouraged in the form of involvement in addressing safety concerns, communicating and participating with the health and safety representatives and knowing that they have the support of the organization to address and raise safety concerns.  |
| 8  | Safety Representative Support and Integration | Acknowledge the importance of the health and safety representatives (legislated or voluntary). They support the involvement and actions of the representatives and consider these members a partner in improving health and safety. The representatives are seen as an integral part in ensuring a properly functioning Internal Responsibility System and are given the time, knowledge, and resources necessary to carry out their role. Workers are encouraged to utilize the representatives as a health and safety resource and management also seeks their advice and input regarding health and safety matters. Recommendations put forth by the representatives are carefully considered in the interest of prevention. |
| 9  | Priority for Safety and Loss Mitigation       | When dealing with contingency planning and prevention of reoccurrence or preventative action, the organization assesses loss and loss potential using a consistent root cause analysis approach. Effective understanding allows the organization to develop and implement effective controls and make systematic improvement to mitigate further or future loss.  |
| 10 | Integrated Risk Management                    | Views regarding how work is carried out in line with existing safety rules, including the applicability of established rules and the degree to which individuals believe 'bending' or 'not following' these rules is occurring in order to get the job done. Health and safety is managed consistently and effectively across the organization. This is supported by a strong systematic approach to risk management, focusing on prevention and control effectiveness when it comes to key risks surrounding management of change, procurement and contractor management.  |



## Stages of Maturity

The results of the audit are combined for each health and safety Maturity Factor to determine an overall level of maturity. This allows an organization to see where they currently are and what they can work to achieve.



Through the CAAT approach, we not only identify areas of strength and opportunities for improvement within each Maturity Factor, but we also provide a detailed diagnostic as to where these strengths and opportunities are as they relate to the culture and systems. The measurement tool also acts as a road map to help the organization nurture the Maturity Factors to improve health and safety outcomes through strategic and targeted intervention efforts.

Contact WorkplaceNL at [safety@workplacnl.ca](mailto:safety@workplacnl.ca) to conduct a CAAT assessment or for more information on how to improve your organization's Internal Responsibility System and safety culture.