



DATE:	
AUDITOR:	
COMPANY:	
DATE SUBMITTED:	
TYPE OF AUDIT:	<input type="checkbox"/> COR™ <input type="checkbox"/> Small Employer COR <input type="checkbox"/>



AUDIT INFORMATION SHEET

COR™ Certification Audit <input type="checkbox"/> Small Employer COR Audit <input type="checkbox"/>	Site Location(s)	# Site Personnel	# Interviewed
Date of Audit: _____	1		
	2		
	3		
Self _____	4		
Internal _____	5		
Independent _____	6		
	Total		

COMPANY DATA

Legal Name: _____
 Address: _____ City/Town: _____ Province: _____ Postal Code: _____
 Key Contact: _____ Current No. of Workers: _____
 Phone Number: _____ Fax Number: _____ E-Mail Address: _____

WCB Information

Account Number (s): _____ Nature and Type of Work Done: _____

 Industry Code(s): _____

AUDITOR DATA

Name: _____ Registration Number: _____
 Company: _____ Telephone Number: _____
 _____ Fax Number: _____
 City/town: _____ Province: _____ E-Mail Address: _____

Note: All sections of above sheet must be filled in.



Health and Safety Manual Verification

Does the company's health and safety program contain the following?	YES	NO
1. Health and Safety Policy Statement (Corporate)		
2. Hazard Assessment		
3. Safe Work Practices		
4. Safe Job Procedures		
5. Company Rules		
6. Personal Protective Equipment (PPE)		
7. Preventative Maintenance Program		
8. Training and Communication		
9. Inspections		
10. Investigations & Reporting		
11. Emergency Preparedness		
12. Statistics and Records		
13. Legislation		
14. Manitoba Supplement		

Missing Elements:
 If any of the above elements are missing from the health and safety manual, both parties (organization/company and auditor) may want to consider postponing the audit at this stage until corrective action can be completed.



Policy Statements:
 Some of the above program elements may exist in another form within the health and safety manual. Some companies may combine all the above policies into **one corporate policy statement**, which is an acceptable industry practice. The auditor must take this into consideration when reviewing the health and safety program.

Manitoba Supplement
 Required to achieve COR™ Certification for Manitoba based companies and for out of province companies (no base office in Manitoba) who wish to obtain COR™ Equivalency.

Verification of Compulsory COR™ Training	Participant & Completion Date	Verification of Compulsory Small Employer COR Training	Participant & Completion Date
Principles of Safety Management		Simplified Safety	
Leadership for Safety Excellence		WHMIS Train the Trainer	
Train the Trainer		Auditing	
Auditing			

1.0 Guidelines - Health and Safety Policy

- 1.1 Auditors must see a written policy statement on health and safety that is signed by current senior management.
- 1.2 The policy must include a statement of the employer's commitment to provide a safe and healthy work environment.
- 1.3 The policy must refer to the worker's right to a safe and healthy work environment.
- 1.4 The policy must be kept current and dated. At minimum, not more than three years past.
- 1.5 The auditor should look for documents that indicate an annual policy/program review has taken place. This can be verified by: having policy documentation dated, through safety meeting minutes, by the creation of an action plan based on the past year's audit results or a record of Senior Management's attendance at the audit closeout meeting.
- 1.6 During the worksite tour, the auditor should check to see if the main health and safety policy has been posted. If no suitable means of posting is available, it may also be provided to workers in the form of a handbook or availability of a copy of the company safety manual on site.
- 1.7 The policy must contain clear statements of responsibility for all levels in the organization. These statements should outline the responsibilities as stated in the Workplace Safety & Health Act (ie: Owners, Supervisors, Workers, Safety Committee/Representative, etc.)
 - Award 3 points for the written assignment of responsibilities.
 - Award 3 points based on the majority of positive interview responses.
- 1.8 The policy should outline the commitment of a company to work with their personnel in the development and implementation of their health and safety program.
- 1.9 The majority of interview responses must show that all employees understand the policy objectives.

 		Health and Safety Program Verification			Score Weighting	Technique Employed			Points Awarded
1	Health and Safety Policy					D	O	I	
	<i>Does the employer have a written health and safety policy that:</i>								
1.1	Is signed by the president, CEO or local senior management?	3							
1.2	Includes management's commitment to provide a safe and healthy work environment?	3							
1.3	Recognizes the right of workers to work in a safe and healthy work environment?	2							
1.4	Is current and dated?	2							
1.5	Is reviewed annually by management?	2							
1.6	Is prominently posted or made available to the worker?	3					OR		
1.7	Addresses accountability and responsibility for health and safety for all workplace parties?	6					AND		
1.8	Expresses a commitment to work in a spirit of consultation and cooperation with the workers?	3							
1.9	Is understood by personnel?	3							
	Total points possible/awarded	27							

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

2.0 Guidelines - Hazard Assessment Analysis and Control (Pre-Job)

- 2.1 An employer is required to assess all worksites/jobs/tasks (this includes office/shop) and identify existing or potential hazards before work begins. (Pre-job) Assessments could also include occupational exposures of: noise levels, asbestos, biological, chemical and environmental issues. The assessment should be based on the work to be performed and result in the identification and implementation of control measures to prevent worker exposure and contamination (elimination, substitution, engineering and administrative controls – with the last resort, personal protective equipment).
- Award 4 points based on receipt of completed pre-job assessments.
 - Award 3 points based on a majority of positive responses to the interview question.
- 2.2 The auditor should request copies of periodic hazard assessments. Periodic hazard assessments should be conducted as the structure is being erected or when changes occur. Periodic hazard assessments are required because new types of hazards are introduced as the project matures. Organizations that have fixed work conditions, such as manufacturers or maintenance shops would perform hazard assessments as part of their safety program development and then periodically after that to assess any change in the operation or unusual working conditions. The frequency of this type of assessment will depend on how often their process changes. The field level risk assessment commonly used before each day or each task is a good example of an on-going hazard assessment process.
- Award 3 points based on receipt of completed (periodic) hazard assessments.
 - Award 3 points based on a majority of positive responses to the interview question.
- 2.3 The names of the individuals involved in hazard assessments must be on the documentation. Experienced workers, supervisors, safety committee members/representatives and management should be involved in the hazard assessments.
- Award 3 points based on verification of documentation.
 - Award 2 points based on a majority of positive interview responses.
- 2.4 Documentation must clearly describe identified hazards and their location.
- 2.5 Documentation must show that each noted hazard has been ranked and prioritized in accordance with severity and probability. (ie: a 1A hazard would be cause for immediate action as opposed to a 3B)
- 2.6 This list must be specific to the company and will vary depending upon type of work performed. It should consist of all potentially high hazard tasks.
- 2.7 Once identified, hazards must be controlled before work begins. Typical methods of control are: elimination of hazard, substitution, engineering controls, administrative controls, personal protective equipment or a combination of the above.
- 2.8 Through documentation or observation, identify what control measures were required. The auditor will judge if the action was timely however the intention is to control hazards before the work begins.
- 2.9 All workers, supervision and subcontractors that will be on the jobsite must be informed of the hazard assessment results. This could include hazard assessments being posted or reviewed during safety meetings.
- 2.10 When hiring subcontractors, a company must verify that safety will be an integral part of their activities.
- Award 2 points based on the establishment of a criteria to select and evaluate subcontractors. (ie: COR™, SECOR, Contractor Compliance Declaration/Agreement)
 - Award 2 points based on the establishment of a system to monitor subcontractors. (ie: review/submission of: safety meetings, safety inspection reports, orientations, verification of applicable employee training/certification, Safety H.I.T. List.)
- 2.11 Management must be actively involved in methods of identification, communication and control of identified hazards. (For Example: their signature on the hazard assessment policy, approval of safety equipment purchases or attendance at meetings can assist in awarding points for this question.



Health and Safety Program Verification

Score
Weighting

Technique Employed

Points
Awarded



2	Hazard Assessment, analysis and control		D	O	I	
2.1	Are written hazard assessments conducted as required?	7		AND		
2.2	Does the employer use an on-going hazard assessment process?	6		AND		
2.3	Are appropriate personnel involved in the hazard assessment process?	5		AND		
2.4	Are the hazards identified?	3				
2.5	Are the hazards prioritized?	2				
2.6	Is there a list of identified critical tasks?	3				
2.7	Are controls developed for identified hazards?	3				
2.8	Are controls implemented in a timely manner?	3	OR			
2.9	Are appropriate personnel involved/informed of the control strategies?	3		AND		
2.10	Does the company have a process for evaluating and monitoring sub-contractors?	4				
2.11	Does management support the ongoing application of the hazard assessment process?	3		AND		
	Total points possible/awarded	42				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

3.0 Guideline - Safe Work Practices

Safe Work Practices are generally the do's and don'ts on how to carry out a task or use equipment, inform the worker about the hazards that are present, and provide direction on how to safeguard against the hazards. They are general guidelines only.

- 3.1 The auditor must confirm through documentation and observation of worksite activities that written practices reflect hazardous work activities and equipment. Additional attention should also be given to unusual or rarely performed operations.
- 3.2 During worksite observations, the auditor should look for major tools or processes that the company uses, then review their practices to ensure they have been written. For example, if the auditor observes extension ladders in use at the worksite but safe work practices have not been developed for extension ladders, points would not be awarded for this item. Other examples might include tools like pressure washers, jack hammers, air compressors, etc. The auditor should also comment on practices that are missing.
 - Award 2 points based on a review of the company's written safe work practices.
 - Award 3 points based on observations that the written safe work practices accurately reflect the company's worksite activities.
- 3.3 During the interview process, the majority of employees should be able to demonstrate an understanding of the company's safe work practices by describing some of the key points they contain.
- 3.4 Applicable written procedures must be readily available at each worksite and employees should be able to identify their location.
- 3.5 If the auditor observes workers doing tasks, handling processes or using tools in an unsafe manner or other than prescribed in the written practice the observation column would be marked deficient.
- 3.6 Review safety meetings to see if safe work practices have been a regular and relevant topic of discussion. Look for the names of the individuals that have participated in the development or review of practices.
 - Award 2 points for management's participation.
 - Award 2 points for employee participation.

  Health and Safety Program Verification		Score Weighting	Technique Employed			Points Awarded
3	Safe Work Practices		D	O	I	
3.1	Do the safe work practices accurately reflect the company's activities?	2	AND			
3.2	Have applicable safe work practices been written?	5	AND			
3.3	Are they understood by workers?	2				
3.4	Are they readily available?	2		OR		
3.5	Are they followed by employees on a regular basis?	2		OR		
3.6	Have both management and workers participated in the development and/or review of safe work practices?	4		OR		
	Total points possible/awarded	17				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

4.0 Guidelines - Safe Job Procedures

Safe Job Procedures are written step-by-step set of instructions on how to complete a specific task safely. Safe work procedures must clearly identify: the steps required to complete the task (in proper order), the hazards the worker could be exposed to, the control measures and what to do in an emergency situation. (ie: spill containment, shut down)

- 4.1 The auditor must confirm through documentation and interview responses that written procedures reflect activities that the company performs.
- 4.2 Through observation the auditor may notice one or more critical tasks in progress (ie: confined space entry, lockout/tagout). The company should be able to produce a written procedure for all critical tasks.
 - Award 3 points based on a review of the company's written safe job procedures.
 - Award 2 points based on observations that the written safe job procedures accurately reflect the company's worksite activities.
- 4.3 Through interview responses, employees should be able to give an example of the safe job procedures they are required to follow with respect to their currently assigned task.
- 4.4 Throughout worksite visits and interview responses, the auditor should observe all company employees (and subcontractors) working in conformance with the company's safe job procedures.
- 4.5 The auditor must observe copies of the company's job procedures at each worksite that are readily available to employees. The majority of employee interview responses must confirm an understanding of where site specific procedures are kept.
- 4.6 Review safety meetings to see if safe job procedures have been a regular and relevant topic of discussion. Look for the names of the individuals that have participated in the development or review of procedures.



Health and Safety Program Verification

		Score Weighting	Technique Employed			Points Awarded
4	Safe Job Procedures		D	O	I	
4.1	Do the safe job procedures accurately reflect the employer's activities?	2		AND		
4.2	Have all critical safe job procedures been written?	5	A	ND		
4.3	Are they understood by workers?	1				
4.4	Are safe job procedures followed on a regular basis?	3		A	ND	
4.5	Are these procedures available and easily accessible to workers?	2		A	ND	
4.6	Have both management and workers participated in the development/review of these procedures?	2		OR		
	Total points possible/awarded	15				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

5.0 Guidelines – Company Rules

Rules are instituted by an organization to govern and control the conduct or actions of its employees. Rules are basic “thou shall” or “thou shall” not” statements that leave no room for discretion or argument.

- 5.1 The company safety manual should contain a copy of the company safety rules.
- 5.2 Rules will preferably be posted on each worksite, provided to each worker in an employee handbook or provided through easy access to a safety manual that contains the set of rules.
- 5.3 The majority of employees interviewed should be able to give examples of some of the company safety rules and/or explain the reasons why they exist.
- 5.4 A copy of the company’s progressive disciplinary action system should be located within the safety manual.
- 5.5 The auditor must see documented evidence that the discipline process is being used. Ensure through interviews that infractions on the usage of safe work practices, safe job procedures and protective equipment are being identified, documented and corrected.



Health and Safety Program Verification

Score Weighting

Technique Employed

Points Awarded

5	Company Rules		D	O	I	
5.1	Are the rules clearly stated in writing?	2				
5.2	Are the rules prominently posted or provided to each employee?	1		OR		
5.3	Do workers understand company and site specific rules?	2				
5.4	Does the program address non-conformance and progressive disciplinary actions?	2				
5.5	Are all rules applied/enforced consistently with all personnel?	2		AND		
	Total points possible/awarded	9				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

6.0 Guidelines – Personal Protective Equipment

- 6.1 Is there a written policy that references both basic and specialized required personal protective equipment and applicable CSA and other Standards?
- 6.2 The basic PPE requirements should be part of an orientation that workers attend prior to beginning work. PPE requirements may also be described when reviewing practices and procedures at meetings.
- 6.3 The auditor should observe all employees at the worksite wearing all items of basic PPE (generally hard hats and safety footwear). A few “extras” of basic PPE should be made available on site in the event of unforeseen circumstances, damage, loss or visitors. (ie: hard hats, hearing protection, safety eyewear) The PPE available should be well maintained and in serviceable condition.
- 6.4 Verify through observation and interviews that specialized PPE is available to workers when required. Specialized PPE may include: fall protection, respiratory protection, face shields, welding shields/goggles, chemical goggles, fire retardant coveralls, chemical suits, impermeable gloves, etc.
- 6.5 The auditor should observe workers using basic and specialized PPE at all times when it is prescribed by policy, regulations, MSDS and when, in the judgment of the auditor, a danger to the worker exists where PPE would be a suitable precaution.
- 6.6 The auditor must verify through documentation that the employer has developed and made written instructions readily available to employees with respect to the proper fitting, care and use of PPE such as: ear plugs, respiratory devices, fall protection, etc.
- 6.7 The auditor should look for documentation/training records to verify that employees have received instruction with respect to the use of PPE before it is required to be worn. Instruction on the use of PPE should be discussed and documented during orientations and may be reinforced during safety meetings. Confirm employee understanding through the interview process.
- 6.8 To determine the criteria used for PPE selection, review hazard assessment forms, material safety data sheets, codes of practice and company policy requirements. Confirm employee understanding through the interview process.
- 6.9 The auditor should look for logs and service tags on critical devices such as air monitoring equipment, air packs, fall protection devices, air filter systems, etc. Basic PPE inspections and maintenance may be conducted and recorded as part of a safety meeting or be included as an item on the company’s inspection checklist.



Health and Safety Program Verification

		Score Weighting	Technique Employed			Points Awarded
6	Personal Protective Equipment (PPE)		D	O	I	
6.1	Is there a written policy for PPE?	2				
6.2	Are employees made aware of the requirements for PPE?	2		AND		
6.3	Do all personnel have access to basic PPE?	2		OR		
6.4	Is specialized PPE available to workers when required?	3		AND		
6.5	Is the correct PPE used by all personnel when required?	2				
6.6	Are there written procedures for the proper fitting, care and use of specialized PPE?	2				
6.7	Are personnel given instruction or training in the use of PPE as required?	3		AND		
6.8	Is there criteria used to select PPE?	2		AND		
6.9	Is there a system in place to regularly inspect and maintain basic/specialized PPE?	3				
Total points possible/awarded		21				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

7.0 Guidelines – Preventative Maintenance Program

- 7.1 The auditor must see an inventory list of equipment/tools that the organization has control of.
- 7.2 The auditor should be able to find a reference to the manufacturers recommendations and/or to Regulations. (ie: oil changes must be conducted on a scheduled basis for company vehicles.) A review of on-site records and/or operations manuals may assist the auditor in awarding points for this question. The majority of interview responses should confirm all tools and equipment are being maintained in good condition.
- 7.3 The auditor should look for documentation to verify completion of the established maintenance schedules that include all the items on the inventory as well as a system to enable the recording of pre-operational checklists for equipment such as: forklifts, man lifts, excavators, suspended platforms, vehicles, etc.
- 7.4 Records should include a description of the maintenance that was conducted to correct the problem.
- 7.5 The company must develop a written procedure to prevent defective tools and equipment from being used and provide instruction to employees with respect to the course of action to be followed. A lockout/tagout system is the most common and is also a requirement under WSH Legislation.
- 7.6 Through worksite observations, the auditor must determine if the system to remove defective items is being followed at each worksite. The majority of employee interview responses should confirm an understanding of the company's lockout/tagout system.
- 7.7 Records should indicate that equipment is being maintained by recognized service facilities. Training records or other documentation should support qualification of in-house maintenance personnel.



Health and Safety Program Verification

Score
Weighting

Technique Employed

Points
Awarded

7	Preventative Maintenance program		D	O	I	
	<i>Does the preventative maintenance program of facilities, tools, equipment and vehicles include:</i>					
7.1	An inventory of items to be maintained?	1				
7.2	Maintenance meeting manufacturer and regulatory standards?	3		AND		
7.3	The use and completion of schedules and checklists as required?	1				
7.4	Records with a description of corrective actions taken?	2				
7.5	A system to effectively remove defective tools, equipment and vehicles from service?	2		AND		
7.6	(7.5) Is it followed?	1			OR	
7.7	Does a qualified/competent person perform the inspection and maintenance?	2		AND		
	Total points possible/awarded	12				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

8.0 Guidelines – Training & Communication

- 8.1 The company safety program must have a formal process for providing company and worksite orientations to employees and subcontractors. Orientations should include company policy information as well as site specific and emergency planning detailed information.
- 8.2 Award 2 points if orientations are conducted with all personnel before they start work and the results have been documented. (This includes management, workers, supervisors, contractors, suppliers, visitors etc.) If this question can be verified through interviews, award 2 points.
- 8.3 The formal orientation process must include a standard format for recording the orientation. (ie: checklist)
- 8.4 The form used should provide a space for the signatures of the employee and the person conducting the orientation.
- 8.5 Job specific training must be confirmed and/or provided prior to beginning work. Employee training can be verified through either the CSAM safety passport or by reviewing company training records. This question must be verified through interviews.
- 8.6 The company must retain all safety training records for each employee and these records should be readily available for the auditor's review.
- 8.7 As new equipment or work procedures are introduced, or when performance does not meet safety and health requirements, job specific training must be provided and documented. Employee's training may also be required to be updated upon expiry or if the employee is re-assigned. Employee training can be verified through either the CSAM safety passport or by reviewing company training records. This question must also be verified through interviews.
- 8.8 Training records must specify who conducted the training. A "qualified" person can be verified by trade certificate, experience, education, etc.
- 8.9 Review training records to ensure supervisors have received training in: inspections, investigations, training and general health and safety responsibilities. Courses such as the CSAM Leadership for Safety Excellence or other equivalent training would be recognized. Does management provide support (time, financial etc.) to assist in the delivery of health & safety training programs?
- Award 3 points based on documentation.
 - Award 3 points based on interview responses.
- 8.10 Are employees evaluated to measure retention of the information as it pertains to the company health and safety program? Records of tests or exams associated with job specific training and orientations can assist the auditor in awarding points for this question. This question must also be verified through interviews.
- 8.11 Records or minutes must be on file that show regular company/corporate/site safety meetings are being held.
- 8.12 Minutes of safety meetings must indicate senior management's regular attendance.
- 8.13 An agenda should be attached to each meeting record. A pre-set format where the agenda is the same for each meeting is acceptable, however, the auditor should critique the content.
- 8.14 Are employers and workers given the opportunity to present their concerns? This question must be verified through interviews.
- 8.15 The auditor must check WSH Legislation to determine whether or not the company is required to hold scheduled toolbox meetings. If they are not required, award points if the company, at minimum, holds monthly meetings.



Health and Safety Program Verification

		Score Weighting	Technique Employed			Points Awarded
8	Training and Communication		D	O	I	
8.1	Does the employer have a formal orientation program?	4				
8.2	Is an orientation mandatory for all personnel before starting work?	4		AND		
8.3	Is there a standardized written orientation form?	2				
8.4	Does the form provide for signatures of both workers and the person conducting the orientation?	2				
8.5	Are mandatory training requirements verified or training provided before starting work?	2		AND		
8.6	Are training records maintained?	2				
8.7	Is job specific training provided and documented as required?	2		AND		
8.8	Does a qualified person conduct job specific training?	2				
8.9	Have supervisors received training in workplace inspections and health and safety responsibilities?	6		AND		
8.10	Is a system in place to measure knowledge and competency?	2		AND		
8.11	Does the employer hold scheduled health and safety meetings?	3		AND		
8.12	Does senior management attend/participate in health and safety meetings?	2		AND		
8.13	Is a prepared agenda followed and are minutes and an attendance of the meeting kept?	3				
8.14	Does two-way communication exist during these meetings?	3		AND		
8.15	Are tailgate/toolbox meetings held regularly and documented as per policy?	3				
Total points possible/awarded		42				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

9.0 Guidelines - Inspections

- 9.1 There must be a written policy/directive stating which areas, machinery, tools, and/or equipment require regular inspection.
- 9.2 The frequency must be stated as monthly, weekly, etc. The frequency may be determined at each jobsite but the words “on a regular basis” are not acceptable. For companies involved in service work, an inspection “checklist” can easily be added to the company’s work order form.
- 9.3 Sufficient records must be on file to support the adherence to the required frequency of inspections.
- 9.4 A standardized form or checklist should be completed for all inspections. The checklist should be equipment, process and site specific, including a space to identify: area and items inspected, hazard classification, recommended corrective actions, the person responsible for the action and a date for expected completion/follow-up.
- 9.5 Check for signatures on inspection report forms to verify that supervisors are involved in the formal (and informal) inspection process. This question must be verified through interviews.
- 9.6 Check for signatures on inspection report forms to verify that a worker or safety representative/committee member has taken an active role in the inspection process. This question could also be verified through interviews.
- 9.7 Along with the actual equipment, process and site specific areas identified, the auditor must also ensure that other areas such as yards, offices, shop, basements, storage facilities, etc. are not being excluded from the inspection process.
- 9.8 A review of past inspection forms/checklists will confirm if the corrective action has been completed. The auditor must determine whether corrections have been completed on a timely basis, paying particular attention to hazards with the potential to cause injury or serious property damage.
- 9.9 Senior management should be informed by the site supervisor of any unresolved items noted during inspections. It is the responsibility of senior management to follow-up and participate in formulating a solution to these safety problems. Senior management’s signature on report forms would signify their involvement.
- 9.10 Inspection reports must be posted and/or communicated to employees through site safety meetings.



Health and Safety Program Verification

		Score Weighting	Technique Employed			Points Awarded
9	Inspections		D	O	I	
9.1	Is there a written policy for inspections?	2				
9.2	Does the policy include frequency of inspections?	3				
9.3	Is the required frequency being met?	4				
9.4	Is there a form or checklist used for inspections?	3				
9.5	Are supervisors performing inspections as required?	3		AND		
9.6	Are workers involved in the inspection process?	3		OR		
9.7	Are all areas inspected as required?	3				
9.8	Are identified deficiencies corrected in a timely manner?	3		AND		
9.9	Does senior management participate/review the inspection process?	2		AND		
9.10	Are inspection reports posted and/or communicated to appropriate personnel?	4		OR		
Total points possible/awarded		30				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

10.0 Guidelines – Investigations and Reporting

- 10.1 The company must have a written policy on the subject of incident reporting and investigation which includes provisions for the following legislated requirements: personal injury, occupational illness, fire/explosion, property and equipment damage, environmental damage, dangerous occurrences and right to refuse situations.
- 10.2 The auditor must find documented reports of incidents and/or dangerous occurrences. This question must also be verified through interviews.
- Award 1 point if documentation on file verifies that initial investigation reports are completed within 24 hours.
 - Award 2 points if documentation on file verifies that serious incidents are thoroughly investigated.
 - Award 1 point based on a majority of positive interview responses.
- 10.3 Incident reports must be recorded on a standard form designed for that purpose.
- 10.4 Verify through interview that workers know what types of incidents they are to report, when and to whom.
- 10.5 All supervisors must have taken training specific to their responsibilities for conducting investigation. The CSAM Leadership for Safety Excellence Course or equivalent would be acceptable for the awarding of points.
- 10.6 The auditor should check investigation reports to verify the involvement of: management, supervisors and the worker safety representative/committee.
- 10.7 Near misses must be reported. Near misses of a less serious nature may be reported and discussed at safety meetings. Incidents that have the potential to cause serious injury or property damage must be investigated in accordance with the company policy.
- Award 2 points based on documentation.
 - Award 2 points based on interviews.
- 10.8 Investigations should identify the DIRECT (immediate) and INDIRECT (underlying) causes with recommendations of corrective actions for the prevention or re-occurrence. Once identified, a system to follow up on the recommendations is required. Verify through interviews that this process is in place and that corrective action is implemented within an acceptable time frame.
- Award 2 points based on documentation.
 - Award 2 points based on interviews.
- 10.9 Workers must know the background information with respect to incidents that have occurred and also be informed about what has been done to prevent them from happening again. Toolbox and safety committee meeting minutes can assist in verifying this is being done.
- 10.10 Investigation reports must be reviewed and signed by senior management.



Health and Safety Program Verification

		Score Weighting	Technique Employed			Points Awarded
10	Investigations and Reporting		D	O	I	
10.1	Is there a written investigation policy and reporting procedure(s)?	2				
10.2	Is the policy being followed?	4		AND		
10.3	Are standardized forms readily available and used?	2				
10.4	Do workers know the reporting procedures?	3				
10.5	Have supervisors been trained in investigation and reporting procedures?	3		AND		
10.6	Are appropriate personnel involved in investigations?	3				
10.7	Are near misses being reported?	4		AND		
10.8	Are recommendations for prevention/remedial action implemented in a timely manner?	4		AND		
10.9	Are remedial/corrective actions communicated to workers?	3				
10.10	Are investigation reports reviewed by senior management?	2				
Total points possible/awarded		30				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

11.0 Guidelines - Emergency Preparedness

- 11.1 The goal of an effective Emergency Preparedness plan is to return to “normal” working operations as soon as possible. Appropriate emergency response plans should be developed specific to work activities.
- Award 2 points based on documentation to verify that the company has developed a generalized plan/procedure with respect to emergency response. (ie: fire, first aid, transportation, communication)
 - Award 2 points based on documentation if evidence of site specific written plans have been developed. (ie: chemical spill, rescue, confined space testing and retrieval, muster point, etc.)
 - Award 2 points based on observation that site-specific emergency response plans have been posted/made readily available at each worksite.
- 11.2 The plan must include an orientation and training for workers on emergency procedures/equipment and roles/responsibilities. Verify through interviews that site orientations and training have taken place.
- Award 2 points based on documentation to verify that the company has provided workers with instruction/training in emergency procedures and equipment. (This can be conducted during the employee’s orientation or as job specific training.)
 - Award 2 points based on confirmation through interviews that employees understand their responsibilities in the event of emergency as well as the site specific requirements.
- 11.3 Records must show that the company’s emergency plans have been tested. The records must indicate the results of the tests and what corrective actions were taken to correct deficiencies.
- 11.4 When required, the employer must have a written fire response plan which may be included in the emergency response plan, or developed separately.
- 11.5 The correct class and type of extinguishers must be sufficiently marked and visible in all work areas.
- 11.6 Review documentation (on files and on tags) for fire extinguisher recharge, purchases or inspections conducted. Fire extinguishers should be inspected and recorded monthly. Extinguishers should be subjected to maintenance every 12 months.
- 11.7 Look around the worksite, do employees have adequate means to contact emergency personnel? The auditor must verify through interviews that employees are familiar with the site specific instructions necessary to operate the communication system. Through observation, the auditor should also verify that emergency phone numbers have been posted/made readily available at each work location.
- 11.8 The auditor must observe that first aid facilities are adequate for the size/type of operation in accordance with Legislation.
- 11.9 First aid attendants must be identified to all employees on site. This can be accomplished by posting their names, color of hard hat or high visibility insignias. Employee interview responses must indicate an awareness of first aid attendants at each worksite.
- 11.10 Look at the worksite and ensure that if an emergency occurred, the company would have the means to transport the injured employee. In most cases, this may just involve calling in emergency personnel for transport.



Health and Safety Program Verification

		Score Weighting	Technique Employed			Points Awarded
11	Emergency Preparedness		D	O	I	
11.1	Are the emergency preparedness plans appropriate to work activities?	6	AND			
11.2	Does the plan include a requirement for training in emergency procedures, roles and responsibilities?	4		AND		
11.3	Has the emergency response plan been tested for deficiencies and corrective action taken?	3				
11.4	Does the employer have a written fire response plan?	2				
11.5	Are the correct class and size of extinguishers available, marked and visible?	2				
11.6	Are extinguishers regularly inspected and maintained?	2	OR			
11.7	Is an appropriate emergency communication system available?	2		AND		
11.8	Are there adequate first aid supplies and facilities?	2				
11.9	Are the required number of qualified first aid personnel on site?	3		OR		
11.10	Is there a means to transport an injured employee to a medical facility?	1		AND		
Total points possible/awarded		27				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

12.0 Guidelines - Statistics and Records

- 12.1 The company should assign someone to be responsible for the organization of safety program documentation and it should be made readily available at the auditor's request.
- 12.2 The company must produce an annual summary of safety program activity. The report will include information such as the number of safety meetings, inspections, investigation, orientations, training sessions, etc. that were held.
- 12.3 Statistics that assist in measuring the frequency and severity of recordable injuries must be calculated on a monthly basis and available for review by the auditor.
- 12.4 Statistics must provide sufficient information to compare safety performance from year-to-year.
- 12.5 Statistics must provide sufficient information to identify trends and required changes that will effect improvement. This can be an agenda item for senior management meetings.
- 12.6 First aid records must be recorded on an on-going basis for all injuries. (For example: completion of first aid kit logs can be used to award points for this question.)
- 12.7 There must be an action plan available for review that was based on the results of the last audit. If this is a first-time audit for the company, completion of the Audit Corrective Action Plan form based on the company's own or CSAM findings can assist in awarding points. The form is located at the back of the audit instrument.
- 12.8 The auditor must find documented evidence that an action plan was implemented. This question must also be verified through interviews. Communication of the action plan may be accomplished through safety meetings or during employee training sessions. If this is a first-time audit, completion of a written report or the Audit Corrective Action Plan can assist in awarding points for this question.



Health and Safety Program Verification

Score Weighting

Technique Employed

Points Awarded

12	Statistics & Records		D	O	I	
12.1	Is there a process to organize and manage program documentation?	2				
12.2	Are adequate health and safety activity summaries developed and maintained?	2				
12.3	Are health and safety statistical reports generated on an on-going/regular basis and readily available?	2				
12.4	Does the company compare health and safety performance year to year?	2				
12.5	Are the annual statistics analyzed and needs or trends identified?	2				
12.6	Are adequate first aid treatment records kept?	3				
12.7	Was an action plan developed based on the most recent audit?	2				
12.8	Was that action plan communicated and implemented?	3		AND		
Total points possible/awarded		18				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

13.0 Guidelines – Legislation

- 13.1 Copies of the WSH Act and other applicable safety standard information should be readily available to employees at each worksite in accordance with the work being conducted.
- 13.2 Confirm through interviews that legislative review is part of Management/Supervisor's regular job planning process.
- 13.3 Verify through interviews that employees and supervisory/management personnel are aware of their legal duties and responsibilities. (Safety committee members/representatives are detailed in the Manitoba Supplement.)
- Award 3 points based on employee understanding of their three fundamental rights (right to know, right to refuse, right to participate) and their safety responsibilities (follow instructions, wear required PPE, do not conduct work in a manner that may endanger themselves or others – identify, communicate and control hazards)
 - Award 2 points based on management/supervisor's understanding of their legal duties and responsibilities (be familiar with the WSH Act and Regulations, follow and enforce Legislation, participate in the identification, communication and control of hazards – to ensure workers are not exposed to risks to their health and safety, etc.)
- 13.4 Verify through the interview process that investigations for all incidents required to be reported have been conducted and documented as per the Workplace Safety and Health and Workers Compensation Board's criteria.



Health and Safety Program Verification

		Score Weighting	Technique Employed			Points Awarded
13	Legislation		D	O	I	
13.1	Are copies of relevant Legislation posted and/or available at each workplace?	2		OR		
13.2	Does the management/supervisor regularly refer to relevant Legislation and Regulations during job planning?	3				
13.3	Are personnel aware of their rights and responsibilities and how to exercise them?	5				
13.4	Does the employer's accident reporting meet the legislated criteria?	2				
	Total points possible/awarded	12				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

14.0 Guidelines - Manitoba Supplement, Safety Committee/Worker Safety Representative

- 14.1.1 Where there is more than one of the company's employees on a worksite, one worker must be appointed as the Safety Representative. If the company is in the project management business, there should be a listing of Safety Reps for all trades posted on site.
- 14.1.2 Safety Committee minutes or company training records must verify that legal duties and responsibilities have been reviewed with the Safety Committee members/representatives and the majority of interview responses must indicate that Safety Committee Members/Representatives have a clear understanding of their responsibilities.
- 14.1.3 Through documentation, observation or interviews, the auditor must determine if safety committee members/representatives are involved in the safety program. Signatures on the documentation or interview responses with respect to safety meetings, investigations, inspections, etc. will assist in awarding points for this question.
- 14.1.4 Training for Safety Committee members/representatives should be reviewed annually and consist of but not be limited to: legislation, inspections and investigations.
- 14.1.5 WSH Legislation requires safety committee minutes to be posted (or, if not possible, made readily available) at each worksite, shop or office. (note: MB Legislation requires a safety and health bulletin board at each workplace.)
- 14.2.1 A hearing conservation program should be developed for each company based on employee exposure. The program should be written and communicated to employees. It should include elements with respect to: sound monitoring, audiometric testing, hearing protection and training for employees.
- Award 1 points based on the creation of a hearing conservation company policy
 - Award 2 points based on documentation in support of audiometric testing for employees.
 - Award 2 points based on documentation in support of worksite sound monitoring.
- 14.2.2 The employer is required to provide hearing protection to employees in accordance with Legislation. The auditor should ensure that all types of hearing protection in use is being worn correctly and adequately maintained.
- 14.3.1 The company safety manual should contain a policy/directive with respect to lockout/tagout providing detailed and specific instructions to employees who may be required to put the policy to use.
- 14.3.2 During worksite observations, the auditor should ensure that lockout tags are provided to employees and all employees are in adherence with the procedure. During interviews, employees must be able to demonstrate an understanding of the lockout/tagout procedure and describe a situation when they may be required to perform a lockout.
- 14.4.1 The company safety manual should contain a procedure with respect to Working Alone.
- 14.4.2 During the audit, if employees are observed to be working alone, the auditor should ask to see a copy of their written procedure and a communication device. During interviews, the majority of employees must be able to demonstrate an understanding of the company's working alone procedure.



Health and Safety Program Verification

		Score Weighting	Technique Employed			Points Awarded
14	Safety Committee/Worker Safety Representative		D	O	I	
14.1.1	Is there a designated Worker Safety Representative at each jobsite?	2		AND		
14.1.2	Are committee members or representatives familiar with their legal duties and responsibilities?	3		AND		
14.1.3	Are committee members or representatives actively involved in hazard identification, communication and control?	3	OR	OR		
14.1.4	Have committee members or representatives received any training in how to carry out these duties and responsibilities?	2				
14.1.5	Are committee minutes posted (or if not practicable, made readily available) for all employees to read?	2		OR		

Regulatory Compliance & Safety Program Directives			D	O	I	
14.2.1	Does the company have a Hearing Conservation Program?	5				
14.2.2	Is hearing protection made readily available to employees, that includes instruction regarding the limitations and proper use?	2		OR		
14.3.1	Is there a written directive or procedure in place on the subject of Lockout/Tagout?	2				
14.3.2	Is it adhered to?	2		OR		
14.4.1	Is there a written directive or plan in place on the subject of workers Working Alone?	2				
14.4.2	Is it adhered to?	2		OR		

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

14.0 Guidelines - Manitoba Supplement, Regulatory Compliance

As outlined in Section 7.4 (5)(f) of the WSH Act, a formal biological and chemical hazard evaluation should be conducted to identify the exposure potential and control measures required. Procedures for the proper use/handling/storage/disposal must be developed and worker training conducted.

- 14.5.1 During worksite visits, all controlled products found on site must be labeled with a clear and legible WHMIS label.
- 14.5.2 All MSDS sheets for each controlled product must be readily available on site and dated no later than 3 years.
- 14.5.3 Company training records or employee passports may be used to verify training in WHMIS.
- 14.5.4 Employees must be able to demonstrate an understanding of the 3 basic elements of WHMIS: labels, MSDS and employee training.
- 14.6.1 For all critical equipment found on site, the auditor should ensure by requesting documentation that the operators are competent/trained/certified in accordance with Legislation and the majority of interview responses must indicate that operator competency is verified prior to operation.
- 14.7.1 A musculoskeletal injury prevention program must include risk assessment and control measures. Examples of control measures may include: safe work procedures, tailored work schedules, personal protective equipment, etc.
- 14.8.1 The company must have a written policy on the subject of workplace harassment which includes provisions for the following legislated requirements: filing a complaint, complaint investigation and disclosure of information.
- 14.8.2 The policy must be posted at the workplace and made readily available to all employees.
- 14.9.1 The company must have a written policy on the subject of workplace violence which includes provisions for the following legislated requirements: risk identification and assessment, employee training and procedures to follow for reporting and investigating complaints.
- 14.9.2 The policy must be posted at the workplace and made readily available to all employees.



Health and Safety Program Verification Manitoba Supplement - page 2

		Score Weighting	Technique Employed			Points Awarded
Regulatory Compliance & Safety Program Directives (continued)			D	O	I	
14.5.1	Are controlled products properly labelled?	2	O	R		
14.5.2	Are MSDS Sheets current and made readily available at each worksite?	2				
14.5.3	Have employees who work with, or in the proximity of controlled products received the appropriate training?	2				
14.5.4	Can employees communicate an understanding of the basic elements of WHMIS?	2				
14.6.1	Is the written directive or plan on the subject of operator training and/or equipment certification adhered to?	1		AND		
14.7.1	Does the employer have a system in place to identify and control the risk of musculoskeletal injuries?	2				
14.8.1	Does the employer have a written policy with respect to the prevention of harassment in the workplace?	2				
14.8.2	Is the policy prominently posted at the workplace?	1				
14.9.1	Does the employer have a written policy with respect to the prevention of violence in the workplace?	2				
14.9.2	Is the policy prominently posted at the workplace?	1				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.

14.0 Manitoba Supplement Owner/Prime Contractor/Sub-Contractor Interaction

- 14.10.1 Whether the company is the Prime Contractor, a Sub-Contractor, or working directly for the Owner, the company must be able to verify through the documentation or interview technique, a thorough understanding of legal duties and responsibilities of all affected workplace parties. Documentation in support of attendance at training sessions such as: Legislation 101, Safety Representative or WSH Committee training would suffice.
- 14.10.2 A company acting as the Prime Contractor is required to develop/implement/monitor a system to manage safety and health compliance at the worksite. A company acting as a Subcontractor must be aware of their legal obligations to share required safety information with the Prime. (Examples of shared information may include: completed site safety orientations, toolbox/safety/startup meeting minutes, utility clearances, permits, MSDS, near miss and investigation reports.) Documentation of required safety information shared between Prime Contractor/Subcontractor can be either retained on file and produced in support of the audit or posted at the worksite.
- 14.10.3 The auditor must observe (posted or readily available at the worksite) or be provided with documentation to verify that hazard identification/assessment information has been provided/communicated to the prime contractor/owner prior to the commencement of work activities.
- 14.10.4 The Company Owner or Senior Manager must be able to verify through documentation, their involvement in initiatives exceeding normal safety program activities. (Examples may include: attendance at safety training sessions or conferences, safety committee/toolbox meetings, COR™ Companies Quarterly meetings, Accident Prevention Association of Manitoba, Canadian Society of Safety Engineers or Westman Association of Safety Professionals monthly meetings.) Observation of COR™ Banner or other site COR™ Certified identification would be clear examples of senior managements commitment to safety leadership.

Site Assessment

- 14.11.1 The auditor must observe adequate housekeeping techniques in practice at the worksite (examples would include: walkways and work areas free and clear of obstructions, accumulations, protrusions; organized material storage; control of airborne dust; adequate sanitation, etc.). Overall site should appear organized and clutter free to award points.
- 14.11.2 The auditor must observe signage posted and/or in use at the worksite as appropriate to the type of work activities (examples may include: mandatory construction project site signage, personal protective requirements, other warning signs, barricades, etc.)



Health and Safety Program Verification Manitoba Supplement - page 3

		Score Weighting	Technique Employed			Points Awarded
Owner / Prime Contractor / Sub-contractor Interaction			D	O	I	
14.10.1	Does the employer understand the roles and responsibilities of all parties on a jobsite?	3		OR		
14.10.2	Is there a system in place to ensure information is shared?	4	OR			
14.10.3	Are contractor hazard assessment/inspection forms provided/communicated to the Prime Contractor?	4	OR			
14.10.4	Is the company owner or senior manager actively involved in safety leadership?	4	OR			
Site Assessment			D	O	I	
14.11.1	Overall, are jobsite and work area "housekeeping" appropriate to minimize incidents?	5				
14.11.2	Are work areas properly identified as a construction site?	4				
Total points possible/awarded		68				

Highlighted boxes are required for Small Employer COR. COR™ requires all sections. Minimum standard is 50% of total possible points.



COR™ AUDIT EXECUTIVE SUMMARY SHEET

Company: _____ Name of Auditor: _____ Date of Audit : _____
 Previous Score: _____

Element #	Element Name	Possible Score	Actual Score	Minimum Standard	Minimum Standard Achieved		Auditor Comments
					YES	NO	
1	Health & Safety Policy	27		14			
2	Hazard Assessment	42		21			
3	Safe Work Practices	17		9			
4	Safe Job Procedures	15		8			
5	Company Rules	9		5			
6	Personal Protective Equipment	21		11			
7	Preventative Maintenance	12		6			
8	Training and Communication	42		21			
9	Inspections	30		15			
10	Investigations & Reporting	30		15			
11	Emergency Preparedness	27		14			
12	Statistics and Records	18		9			
13	Legislation	12		6			
14	Manitoba Supplement	68		34			
TOTAL		370					

Actual Score _____ x 100 = _____ %
 Possible Score **370**

Reviewed: _____
 Senior Organization/Company Officer

OVERALL MINIMUM STANDARD
80% Overall and 50% each element

Standard Achieved YES NO

Auditor Signature _____
 Goal for Next Audit : _____ %



SECOR AUDIT EXECUTIVE SUMMARY SHEET

Company: _____ Name of Auditor: _____ Date of Audit : _____
 Previous Score: _____

Element #	Element Name	Possible Score	Actual Score	Minimum Standard	Minimum Standard Achieved		Auditor Comments
					YES	NO	
1	Health & Safety Policy	22		11			
2	Hazard Assessment	29		15			
3	Safe Work Practices	17		9			
4	Safe Job Procedures	15		8			
5	Company Rules	9		5			
6	Personal Protective Equipment	14		7			
7	Preventative Maintenance	8		4			
8	Training and Communication	25		13			
9	Inspections	22		11			
10	Investigations & Reporting	12		6			
11	Emergency Preparedness	14		7			
12	Statistics and Records	7		4			
13	Legislation	10		5			
14	Manitoba Supplement	66		33			
TOTAL		270					

Actual Score _____ x 100 = _____ %
 Possible Score **270**

Reviewed: _____
 Senior Organization/Company Officer

 Auditor Signature

OVERALL MINIMUM STANDARD
 80% Overall and 50% each element

Standard Achieved YES NO

Goal for Next Audit : _____ %

