

COR[®] & SECOR[®] AUDIT INSTRUMENT

AUDIT COMPLETION DATE:	
AUDITOR:	
COMPANY:	
DATE SUBMITTED:	
TYPE OF AUDIT:	COR [®] <input type="checkbox"/> SECOR [®] <input type="checkbox"/>
COR [®] /SECOR [®] CERTIFICATE #:	

Created to align with the CFCSA endorsed harmonized audit instrument in verification of the National COR[®] Accreditation Standard.





This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



AUDIT INFORMATION SHEET

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

COMPANY DATA

Legal name: _____ Province: _____

Address: _____ City: _____ Postal code: _____

Company contact: _____ # of workers: _____

Phone: _____ E-mail address: _____

**WCB
INFORMATION**

Account number(s): _____ Industry code(s): _____

Nature/type of work done: _____

AUDITOR DATA

Name: _____ Registered auditor number: _____

Email: _____ Phone: _____

**WORKER SAFETY
REPRESENTATIVE/SAFETY
COMMITTEE MEMBER**

Name: _____ Email: _____

Note: All sections of the above sheet must be completed



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SAFETY AND HEALTH PROGRAM VERIFICATION

MISSING SECTIONS

If any of the listed sections are missing from the safety and health program, 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 listed program sections may exist in another form within the safety and health program. Some companies may combine policies, which is an acceptable industry practice. The auditor must take this into consideration when reviewing the safety and health program.

MANITOBA SUPPLEMENT

This is required to achieve COR® and SECOR® Certification for Manitoba-based companies and for out-of-province companies (no base office in Manitoba) who wish to achieve COR® Equivalency.

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

Verification of Compulsory COR® Training	Participant and Completion Date	Verification of Compulsory SECOR® Training	Participant and Completion Date
Principles of Safety Management (PSM)		Principles of Safety Management (PSM)	
Safety Auditor		Safety Auditor	
Hazard Identification and Risk Control		Hazard Identification and Risk Control	
Leadership for Safety Excellence (LSE)			



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COR® AUDIT EXECUTIVE SUMMARY SHEET



Company: _____ Audit completion date: _____

Name of auditor: _____ Previous score: _____ %

Section #	Section Name	Possible Score	Actual Score	Minimum Standard	Minimum Standard Achieved		Auditor Comments
					YES	NO	
1	Safety and Health Policy	18		9			
2	Hazard Assessment, Analysis, and Control	45		23			
3	Safe Work Practices	12		6			
4	Safe Job Procedures	21		11			
5	Company Safety Rules	15		8			
6	Personal Protective Equipment (PPE)	22		11			
7	Preventative Maintenance Program	17		9			
8	Training and Communication	46		23			
9	Inspections	30		15			
10	Investigations and Reporting	30		15			
11	Emergency Preparedness	30		15			
12	Statistics, Records, and Document Control	22		11			
13	Legislation	10		5			
14	Procurement and Contractor Management	22		11			
15	Manitoba Supplement	60		30			
TOTAL		400		320			
SC	Safety Culture Assessment	4.00					

The minimum standard is **80 per cent** overall and **50 per cent** each section.

(Actual score) _____ x 100 = _____ %
 (Possible score) **400**

Reviewed: _____
 Senior Management/Company Officer Signature

Reviewed: _____
 Worker Safety Rep./Safety Committee Co-Chair Signature

Standard achieved: YES NO

Goal for next audit: _____

 Auditor Signature



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SECOR® AUDIT EXECUTIVE SUMMARY SHEET



Company: _____ Audit completion date: _____

Name of auditor: _____ Previous score: _____ %

Section #	Section Name	Possible Score	Actual Score	Minimum Standard	Minimum Standard Achieved		Auditor Comments
					YES	NO	
1	Safety and Health Policy	15		8			
2	Hazard Assessment, Analysis, and Control	41		21			
3	Safe Work Practices	10		5			
4	Safe Job Procedures	17		9			
5	Company Safety Rules	15		8			
6	Personal Protective Equipment (PPE)	16		8			
7	Preventative Maintenance Program	9		5			
8	Training and Communication	28		14			
9	Inspections	19		10			
10	Investigations and Reporting	20		10			
11	Emergency Preparedness	20		10			
12	Statistics, Records, and Document Control	14		7			
13	Legislation	10		5			
14	Procurement and Contractor Management	8		4			
15	Manitoba Supplement	58		29			
TOTAL		300		240			
SC	Safety Culture Assessment	4.00					

The minimum standard is **80 per cent** overall and **50 per cent** each section.

(Actual score) _____ x 100 = _____ %
 (Possible score) **300**

Reviewed: _____
 Senior Management/Company Officer Signature

Reviewed: _____
 Worker Safety Rep./Safety Committee Co-Chair Signature

Standard achieved: YES NO

Goal for next audit: _____

 Auditor Signature



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SECTION 1

Safety and Health Policy

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- A copy of the company's **safety and health policy** - (1.1 / 1.2 / 1.4)
- A copy of the company's **assignment of safety and health responsibilities** - (1.3)
- A copy of the company's **organizational chart** - (general reference)

1.0 Guidelines – Safety and Health Policy

- 1.1 The policy must state management's commitment to provide a safe and healthy work environment.
- 1.2 The policy must include a statement of the employer's commitment to work in a spirit of consultation and cooperation with their workers or clearly express the commitment to work jointly with their workforce in the development and implementation of their safety and health program.
- 1.3 The policy should include individual safety and health obligations and make reference to documented safety and health responsibilities of workplace parties (management, supervisors, workers, safety and health representatives, subcontractors, etc.). This information could be contained in a document separate from the company safety policy.
 - Award two (2) points for the written assignment of safety and health responsibilities.
 - Award two (2) points based on the majority of positive interview responses.
- 1.4 The policy must be signed by current senior management with a current date. *At minimum, not more than three (3) years past.*
- 1.5 During worksite observations, verify the safety and health policy has been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to workers (in the form of a handbook, safety and health manual, or other accessible electronic format).
- 1.6 The majority of interview responses must confirm that all personnel understand the safety and health policy.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
1	Safety and Health Policy		D	O	I	
	<i>Senior management shall establish, implement, monitor, and maintain a documented occupational safety and health policy appropriate to the scale and nature of the organization's operations and activities, and associated risks. Does the employer have a written safety and health policy that:</i>					
1.1	Includes management's commitment to provide a safe and healthy work environment?	3				
1.2	Expresses a commitment to work in a spirit of consultation and cooperation with the workers?	3				
1.3	Addresses accountability and responsibility for safety and health for workplace parties?	4		AND		
1.4	Is signed by current senior management and appropriately dated?	2				
1.5	Is visibly posted in the workplace and/or made readily available to all workplace parties.	3		OR		
1.6	Is communicated to workplace parties?	3				
COR® total points possible/awarded		18				
SECOR® total points possible/awarded		15				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



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SECTION 2

Hazard Assessment, Analysis, and Control

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- A copy of the company's **hazard assessment policy/directive** - (2.1)
- Two (2) to four (4) copies of completed **hazard assessments** from various worksite locations - (2.1 / 2.2 / 2.3 / 2.4 / 2.5 / 2.6 / 2.8 / 2.9 / 2.10 / 2.11)
- Two (2) to four (4) copies of *consecutive* on-going **hazard assessments** from the same worksite location as applicable - (2.4)
- A copy of the training records for the individuals identified on the hazard assessments - (2.7)

2.0 Guidelines – Hazard Assessment, Analysis, and Control



- 2.1 An employer is required to complete formal hazard assessments that encompass all aspects of company operations, including both routine tasks and non-routine work. Hazard assessments could also include primary scopes of work undertaken by the company, task inventories, or occupational exposures. The hazard assessments should be based on the work performed and should result in the identification of hazards and implementation of control measures.
- Award two (2) points based on documentation of completed formal hazard assessments as per company policy/directive.
 - Award three (3) points based on observations that the formal hazard assessments accurately reflect the activities on site and are made readily available.
 - Award two (2) points based on the majority of positive interview responses.
- 2.2 Completed hazard assessments must clearly report/describe existing and potential hazards and the majority of interview responses must confirm workers review of the information on hazard assessments. Both documentation and interviews must be confirmed to award points.
- 2.3 Completed hazard assessments must show that risks are assessed/evaluated prior to work being performed. An example of an assessment/evaluation could include hazard ranking using frequency, severity, or probability ranking.
- 2.4 Documentation must show that risks on hazard assessments are reassessed/re-evaluated when people, equipment, material, environment, or processes are changed. The frequency of this type of assessment will depend on how often changes occur. The hazard assessment commonly used before each day, or each task, is a good example of an ongoing risk assessment process.
- Award three (3) points based on documentation of completed ongoing risk assessments from the same worksite location as applicable.
 - Award three (3) points based on the majority of positive interview responses.
- 2.5 Documented hazard assessments must include consideration of design and layout of the work area, ergonomics, machinery, or processes to award points for this section. The risk of musculoskeletal injury and appropriate prevention control (safe job procedures, tailored work schedules, personal protective equipment, etc.) would be an example for awarding points.
- 2.6 The names of the individuals involved in hazard assessments must be identified on the documentation. On-site workers, supervisors, *worker safety representative*, and any other individual involved must be identified in the hazard assessment process.
- Award two (2) points based on verification of appropriate signatures on completed hazard assessments.
 - Award two (2) points based on the majority of positive interview responses.
- 2.7 Verify training has been completed for individuals involved in the hazard assessment to confirm their competency.
- Award two (2) points based on verification of training for individuals identified on completed hazard assessments.
 - Award two (2) points based on the majority of positive interview responses of those responsible.
- 2.8 Verify a critical task list has been completed (a list of tasks involving the potential for serious injury or death — for which related safe job procedures should be developed). Points may also be awarded if critical tasks are identified on completed hazard assessments as well as having the applicable safe work procedure included as the control.
- 2.9 Once hazards are identified, appropriate controls must be put in place. Verify the methods of control follow the hierarchy of controls (elimination, substitution, engineering controls, administrative controls, personal protective equipment). Verify through documentation showing hierarchy of controls was used to determine the appropriate control method. Points may also be awarded by verifying workers are following the controls identified on the hazard assessment for the job/task.
- 2.10 Verify through documentation and interviews that appropriate individuals/roles are assigned the responsibility to implement the control. Both documentation and interviews must be confirmed to award points.
- 2.11 When a control involves a time requirement or additional effort to implement, there must be a process or timeline indicating when the control is implemented. Verify through documentation that the control has been implemented (normally through a signature and completion date) or through observation that the identified controls have been implemented.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
2	Hazard Assessment, Analysis, and Control		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s) and/or guideline(s) for assessing, analyzing, and controlling hazards that is appropriate to the nature of the hazards and level of risk.</i>					
2.1	Do formal hazard assessments include all aspects of company operations, including routine and non-routine where work is performed?	7				
2.2	During hazard assessments are both existing and potential hazards identified and reported?	3		AND		
2.3	Are risks assessed/evaluated prior to work being performed?	3				
2.4	Are risks reassessed/re-evaluated as when people, equipment, material, environment, or processes are changed?	6		AND		
2.5	Are design and layout of the work area, ergonomics, machinery, and processes considered in the assessments?	3				
2.6	Are appropriate personnel involved in the hazard assessment process?	4		AND		
2.7	Are the personnel competent to participate in the hazard assessment process?	4		AND		
2.8	Has a list of critical tasks or activities been created and/or included within the hazard assessments?	4				
2.9	Are controls developed for identified hazards using the hierarchy of controls?	4		OR		
2.10	Are individuals/roles assigned to implement the controls identified?	3		AND		
2.11	Is there a process/timeline for indicating when the control is implemented?	4		OR		
COR® total points possible/awarded		45				
SECOR® total points possible/awarded		41				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



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SECTION 3

Safe Work Practices

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- Table of contents/index** for safe work practices - (3.1)
- Two (2) to four (4) copies of completed **safe work practices** - (3.1)
- Two (2) to four (4) copies of completed **safety meeting/toolbox talk minutes**, where safe work practices have been developed/reviewed/revised - (3.5)

3.0 Guidelines – Safe Work Practices

- 3.1 During worksite observations, look for tools or tasks, then review the safe work practices to ensure the appropriate practices 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 question.
- 3.2 Verify through interviews that the majority of employees are able to demonstrate an understanding of the company's safe work practices by describing some of the key points they contain.
- 3.3 Applicable safe work practices must be readily available at each worksite and employees should be able to identify their location.
NOTE: if electronic documentation is used, verify they are readily accessible in order to award points.
- 3.4 Confirm that workers are performing tasks/using tools in a manner consistent with the safe work practice.
- 3.5 Verify through interviews that safe work practices have been a relevant topic of discussion. Points can also be awarded if the company has a formal process to regularly review/revise safe work practices that includes both management and workers.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
3	Safe Work Practices		D	O	I	
	<i>Safe work practices are generalized dos and don'ts of how to carry out a task or use equipment. Practices inform the worker about the hazards that are present and provide direction on how to safeguard against the hazards. They are general guidelines (safety tips) only and do not need to follow any specific order.</i>					
3.1	Have safe work practices applicable to operations been written?	2	AND			
3.2	Are they understood by workers?	2				
3.3	Are they readily available?	2		AND		
3.4	Are safe work practices followed by employees?	4				
3.5	Have both management and workers participated in the development/review of these practices?	2		OR		
COR® total points possible/awarded		12				
SECOR® total points possible/awarded		10				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



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SECTION 4

Safe Job Procedures

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- Table of contents/index** for safe job procedures - (4.1)
- Two (2) to four (4) copies of completed **safe job procedures** - (4.1)
- Two (2) to four (4) copies of completed **critical safe job procedures** - (4.1)
- Two (2) to four (4) copies of completed **safety meeting/toolbox talk minutes**, where safe job procedures have been developed/reviewed/revise - (4.5)

4.0 Guidelines – Safe Job Procedures

- 4.1 Confirm through documentation and observation that written safe job procedures accurately reflect activities that the company performs. An index of safe job procedures must be submitted.
- Award two (2) points based on verification that written safe job procedures accurately reflect activities the company performs.
 - Award two (2) points based on verification that high risk or critical tasks being performed at the time of a visit have a written safe job procedure.
 - Award two (2) points based on observations that the written safe job procedures accurately reflect the company's worksite activities.
- 4.2 Employees must be able to give an example(s) of safe job procedures they are required to follow with respect to critical tasks. Critical tasks are high risk activities in which employees must know and understand they need to follow the step-by-step procedures.
- 4.3 Ensure copies of the company's safe job procedures are at each worksite and readily available to employees. The majority of employee interview responses must confirm an understanding of where safe job procedures are kept.
NOTE: if electronic documentation is used, verify they are readily accessible in order to award points.
- 4.4 Confirm that workers are performing tasks in a manner consistent with the safe job procedure(s).
- 4.5 Review safety meeting minutes to verify safe job procedures have been a relevant topic of discussion and confirm both management and workers have participated.
- Award two (2) points based on documentation that verifies both management and worker participation in the development or formal review/revision of safe job procedures.
 - Award two (2) points based on the majority of positive interview responses confirming workers have received instruction or training in safe job procedures.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
4	Safe Job Procedures		D	O	I	
	<i>Safe job procedures are written, step-by-step instructions for completing specific tasks safely. Safe job 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 (i.e.: spill containment, shut down).</i>					
4.1	Do the safe job procedures accurately reflect the employer's current work activities, including high risk or critical tasks?	6	AND			
4.2	Are they understood by workers?	4				
4.3	Are these procedures available and easily accessible to workers?	3		AND		
4.4	Are safe job procedures followed by employees?	4				
4.5	Have both management and workers participated in the development/review of these procedures?	4		AND		
COR® total points possible/awarded		21				
SECOR® total points possible/awarded		17				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



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SECTION 5

Company Safety Rules

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- A copy of the company's **safety rules** - (5.1)
- A copy of **project (work location) specific rules** - (5.2)
- A copy of the company's **progressive disciplinary action system** - (5.5 / 5.6)

5.0 Guidelines – Company Safety Rules

- 5.1 Documentation must clearly state responsibilities for setting, implementing, and complying with company rules.
- 5.2
 - Award two (2) points based on documentation that confirms both written company rules and project specific rules are available to workers on site.
 - Award two (2) points based on the majority of positive interview responses confirming both company and site specific rules are made available to workers on site.
- 5.3 During worksite observations, verify the company rules have been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to workers (in the form of a handbook, safety and health manual, or other accessible electronic format).
- 5.4 The majority of workers interviewed must be able to give examples of some of the company safety rules or project safety rules.
- 5.5 Documentation must clearly address non-conformance and progressive disciplinary action.
- 5.6 Verify through documentation that non-conformance is enforced consistently with all personnel. Points may also be awarded based upon the majority of interview responses confirming that rules are applied and enforced consistently with all personnel.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
5	Company Safety Rules		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for company safety rules.</i>					
5.1	Does the policy, procedure or guideline include responsibilities for setting, implementing, and complying with company rules?	2				
5.2	Are both company and project (work location) specific rules available?	4		AND		
5.3	Are the rules written and prominently posted or provided to each employee?	2			OR	
5.4	Are company and project specific rules clearly explained and understood?	2				
5.5	Does the program address non-conformance and progressive disciplinary actions?	2				
5.6	Are all rules applied/enforced consistently with all personnel?	3		OR		
COR® total points possible/awarded		15				
SECOR® total points possible/awarded		15				

Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.



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SECTION 6

Personal Protective Equipment (PPE)

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- A copy of the company's **PPE policy/directive** - (6.1)
- Two (2) to four (4) copies of completed **PPE selection criteria** (i.e. hazard assessment forms, SDSs, codes of practice, PPE policy requirements, etc.) - (6.1)
- Two (2) to four (4) copies of completed **proper fit, care, and use of specialized PPE procedures** - (6.2)
- Two (2) to four (4) copies of completed **worker orientations** confirming the review of PPE requirements - (6.3)
- Two (2) to four (4) copies of completed **PPE training records** (i.e. toolbox talks, training certificates, etc.) - (6.3)
- Two (2) to four (4) copies of completed **PPE inspections and maintenance records** - (6.6)

6.0 Guidelines – Personal Protective Equipment (PPE)



- 6.1 To determine the criteria used for basic and specialized personal protective equipment (PPE) selection, review hazard assessment forms, safety data sheets, codes of practice, and company PPE policy requirements for reference to CSA or other legislated standards. Confirm employee understanding through the interview process.
- Award two (2) points based on documentation to verify the company has established criteria for the selection of protective equipment.
 - Award two (2) points based on the majority of positive interview responses confirming an understanding of the criteria used for selection of protective equipment.
- 6.2 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 basic and specialized PPE such as: ear plugs, respiratory devices, fall protection, etc.
- 6.3 Verify that workers have been made aware of requirements/provided instructions with respect to the proper fitting, care, and use of basic and specialized PPE prior to beginning work.
- Award two (2) points based on completed worker orientations and/or training records confirming the review of PPE requirements.
 - Award two (2) points based on the majority of positive interview responses confirming an understanding of the company's requirements for PPE.
- 6.4 Verify that appropriate PPE is provided and/or made available for specific activities. PPE that is required during specific activities may include, but is not limited to, fall protection, respiratory protection, face shields, welding shields/goggles, chemical goggles, fire retardant coveralls, chemical suits, and impermeable gloves.
- Award two (2) points based on the observation of appropriate PPE for specific activities is available.
 - Award two (2) points based on the majority of positive interview responses.
- 6.5 Workers should be observed using basic and specialized PPE at all times as prescribed by company criteria, SDS, CSA, or other legislated standards.
- 6.6 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. Specialized PPE inspections will require verification of pre-use inspection and compliance with manufacturers' recommendations.
- Award two (2) points based on supplied documentation that verifies regular inspection and maintenance of PPE.
 - Award two (2) points based on the observation of PPE should be well maintained, in serviceable condition, and meet regulatory standards.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
6	Personal Protective Equipment (PPE)		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for personal protective equipment (PPE).</i>					
6.1	Are activities requiring PPE documented and is specific criteria used to select appropriate PPE for those activities?	4		AND		
6.2	Are there written rules and/or guidelines for the proper fitting, care, and use of PPE?	2				
6.3	Are workers made aware of PPE requirements and provided instruction/training for the proper fitting, care, and use of PPE?	4		AND		
6.4	Is appropriate PPE provided and/or made available to workers for specific activities when required?	4			AND	
6.5	Is appropriate PPE used by workers as required?	4				
6.6	Is there a system in place to regularly inspect and maintain PPE?	4		AND		
COR® total points possible/awarded		22				
SECOR® total points possible/awarded		16				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



SECTION 7

Preventative Maintenance Program

1. **ALL** boxes under the Techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- A copy of the company's **inventory list of equipment/tools** that require ongoing maintenance - (7.1)
- A copy of the company's **maintenance policy/schedule** - (7.2)
- Two (2) to four (4) copies of completed **maintenance schedules and pre-operational checklists** - (7.2)
- Two (2) to four (4) copies of completed **maintenance/service records** with a description of corrective action taken - (7.3)
- A copy of the **maintenance service providers/facilities training records or qualifications** - (7.4)
- A copy of the directive/procedures to effectively remove defective tools/equipment from service, i.e. **lockout/tagout system/procedure(s)** - (7.5)

7.0 Guidelines – Preventative Maintenance Program

- 7.1 Verify there is an inventory list of facilities/equipment/tools/vehicles that require ongoing maintenance.
- 7.2 Verify through documentation the 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.
- Award two (2) points based on documentation to verify completed pre-operational checklists and maintenance records are retained on file.
 - Award two (2) points based on observations confirming completed pre-operational checklists are kept with equipment in use.
- 7.3 Documented records should include a description of corrective actions taken when a deficiency of maintenance requirement has been identified through inspection (i.e. service records, lockout/tagout tags, repair invoicing, etc.).
- Award two (2) points based on documentation to verify corrective actions have been completed.
 - Award two (2) points based on observations confirming that documented corrective actions have been completed.
- 7.4 Documented records should indicate that equipment is being maintained by recognized service facilities. Training records or other documentation should support qualifications and prove competency of in-house maintenance personnel. Verify through interviews how the individuals that perform maintenance are competent to do that type of work.
- 7.5 The company must develop a written system 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. This question could also be verified through interviews.
- 7.6 Verify through observation that the company follows its system to prevent defective tools and equipment from being used.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
7	Preventative Maintenance Program		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a preventative maintenance program.</i>					
7.1	Is there an inventory of items to be maintained?	3				
7.2	Are preventative maintenance schedules and checklists used and completed as required, including manufacturers' and legislated specifications?	4	AND			
7.3	Are records maintained that include a description of corrective actions taken?	4	AND			
7.4	Does a qualified/competent person perform the inspection and maintenance?	2		OR		
7.5	Does the preventative maintenance program of facilities, tools, equipment, and vehicles include a system that effectively removes defective tools, equipment, and vehicles from service?	2		OR		
7.6	Is the system in 7.5 followed?	2				
COR® total points possible/awarded		17				
SECOR® total points possible/awarded		9				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



SECTION 8

Training and Communication

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points

RECOMMENDED supporting documentation to submit would include:

- A copy of the company's **training and communication policy/directive** - (8.1)
- Two (2) to four (4) copies of completed **performance evaluations, tests, or examinations** associated with job-specific training and orientation - (8.2 / 8.7)
- Two (2) to four (4) copies of completed **new hire/sub-contractor/site-specific orientation checklists** - (8.3 / 8.5 / 8.8 / 8.9)
- Two (2) to four (4) copies of completed **supervisor training records** to verify supervisors have received training in *Inspections, Investigations, and General Safety and Health Responsibilities* - (8.3 / 8.4 / 8.5 / 8.7)
- Two (2) to four (4) copies of completed **job-specific training records** - (8.4 / 8.5 / 8.7)
- Two (2) to four (4) copies of **safety and health training records** as applicable (e.g. first-aid, WHMIS, etc.) - (8.4 / 8.5 / 8.7)
- Two (2) to four (4) copies of consecutive **toolbox meeting minutes, tailgate meeting minutes, or monthly safety meeting minutes** - (8.10 / 8.11 / 8.13)

8.0 Guidelines – Training and Communication



- 8.1 The policy/procedure/guideline includes a method for selecting training of employees. Examples include: legislative training requirements; manufacturers' training requirements; job-specific and high-risk activities; identifying competencies for each task and/or role; and identifying effectiveness of training.
- Award two (2) points based on documentation.
 - Award two (2) points based on the majority of positive interview responses.
- 8.2 Are employees evaluated to measure the effectiveness of training and the retention of the information as it pertains to the company safety and health program? Records of written and/or performance evaluations, tests, or examinations associated with job-specific training and/or orientations can help determine the effectiveness of training and awarding points for this question.
- Special considerations must be made when training vulnerable workers. Vulnerable workers may include workers who are new to Canada, young workers, those with limited literacy, as well as aging workers.*
- Award two (2) points based on documentation.
 - Award two (2) points based on the majority of positive interview responses.
- 8.3 Review training records to ensure supervisors or other individuals with safety and health responsibilities have received training in their legislative requirements. Documentation and interviews must both be verified in order to award points.
- Examples include: Leadership for Safety Excellence, Safety Rep. Awareness, Safety Skills for Supervisors, etc.*
- 8.4 Review training records to ensure employees/staff have received job-specific training in high-risk activities or for specific company roles (supervisor, safety rep, etc.).
- Award three (3) points based on training records confirming workers have been trained in job-specific requirements (including high-risk activities and/or manufacturer requirements).
 - Award three (3) points based on training records confirming supervisors have been trained in tasks specific to their role (i.e.: hazard identification, inspections, investigations, communications, etc.).
- Examples include: Working at Heights, Confined Space Entry and Entry Rescue, etc., where appropriate.*
- 8.5 Mandatory training as specified by legislation, policy or project requirements must be confirmed and/or provided prior to beginning work.
- Award three (3) points based on training records confirming.
 - Award three (3) points based on the majority of positive interview responses.
- Examples of mandatory training would include WHMIS, TDG, first aid, H₂S, etc. Examples of policy or project requirements would include training identified in hazard assessments, fall protection plans, confined space permits, etc., to ensure that only people with proper training are performing the work.
- 8.6 Verify that management ensures the persons providing training have been deemed competent or qualified by the employer. Examples could include verification of trade certification, experience, education, or training conducted by an outside agency.
- 8.7 Verify the company has a method to record and maintain training records. Examples could be hard copy, electronic copy, or a training matrix used to record and maintain employee training ensuring job-specific, recertification, and refresher training is taking place.
- 8.8 The company safety program must have a formal process for providing company and worksite orientations to employees and subcontractors. Verify through documentation and interview that an orientation is provided to all workers. Documentation would include company or site-specific orientations, checklists, quizzes, etc. Verify through interviews that all workers have received an orientation before starting work. Documentation and interviews must both be verified in order to award points.
- 8.9 Verify that the orientation program addresses new and young workers as well as returning workers. Special considerations must be made when training vulnerable workers. Vulnerable workers may include workers who are new to Canada, young workers, those with limited literacy, and aging workers.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
8	Training and Communication		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for training and communication of safety and health information.</i>					
8.1	Is there a method for the selection of safety and health training of employees?	4		AND		
8.2	Is there a method for the evaluation and monitoring of the knowledge, competency, and effectiveness of safety and health training of employees?	4		AND		
8.3	Have appropriate individuals been trained in legislated requirements?	2		AND		
8.4	Have appropriate individuals been trained in job-specific and/or manufacturer requirements?	6				
8.5	Are mandatory training requirements verified or training provided before starting the task?	6		AND		
8.6	Does a qualified/competent person conduct training?	2				
8.7	Are training records maintained?	4				
8.8	Is there a mandatory orientation program that is completed prior to starting work, if a change of location and/or operational change?	4		AND		
8.9	Is it applicable to new and young workers or returning workers?	2				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.

8.0 Guidelines – Training and Communication *(continued)*



- 8.10 As per company policy statement, procedure(s), and/or guideline(s), safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings, tailgate meetings, or monthly safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Minutes of safety meetings must indicate senior management’s regular attendance. Safety meeting minutes must verify senior management’s participation/attendance in safety and health meetings. Documentation and interviews must both be verified in order to award points.
- 8.11 As per company policy statement, procedure(s), and/or guideline(s), safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings, tailgate meetings, or monthly safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Minutes of safety meetings must indicate workers’ regular attendance.
- 8.12 Are all personnel given the opportunity to present their concerns and discuss corrective actions? Meetings should be a positive place for discussing identified safety concerns where all input is welcomed in order to determine the best course of action. This question is verified through interviews.
- 8.13 As per company policy statement, procedure(s), and/or guideline(s) safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings, tailgate meetings, or monthly safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Records or minutes must be on file that show regular company, corporate, and/or toolbox are being held.
- Award two (2) points based on documentation from multiple locations that meetings are held as per legislation or policy as applicable.
 - Award two (2) points based on the majority of positive interview responses.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
8	Training and Communication <i>(continued)</i>		D	O	I	
8.10	Does senior management attend/participate in safety and health meetings?	4		AND		
8.11	Do workers attend/participate in safety and health meetings?	2				
8.12	Is there a process for worker input and communication of safety and health information?	2				
8.13	Are safety and health meetings held regularly and documented as per legislation, company, or project requirements?	4		AND		
COR® total points possible/awarded		46				
SECOR® total points possible/awarded		28				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



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SECTION 9 Inspections

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) MUST include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- A copy of the company's **inspection policy/directive** - (9.1 / 9.6)
- Two (2) to four (4) copies of **consecutive completed inspection checklists** - (9.2 / 9.3 / 9.4 / 9.5 / 9.6 / 9.7)
**Ensure that all work areas are included, i.e. yards, offices, shops, storage facilities*
- Two (2) to four (4) copies of completed documentation to show that identified **deficiencies** noted during an inspection **are corrected in a timely manner** (if not clearly identified on the inspection checklists) - (9.3 / 9.5)

9.0 Guidelines – Inspections



- 9.1 Along with the actual equipment, process, and site-specific areas identified, ensure that other areas such as yards, offices, shop, storage facilities, etc., are not being excluded from the inspection process.
- 9.2 A standardized method, form, or checklist should be completed for all inspections. The method, form, or checklist should include equipment, processes, and site activities; identification of the area and items inspected; hazard classification; recommended corrective actions; the person responsible for the action; and a date for expected completion/follow-up. This question may also be verified through interviews.
- 9.3 A review of past inspection methods/forms/checklists will confirm if the corrective action has been completed as assigned. Determine whether corrections have been completed in a timely manner, paying particular attention to unsafe acts and/or conditions with the potential to cause injury or serious property damage.
- Award two (2) points based on the receipt of completed documentation verifying that deficiencies noted during an inspection are corrected in a timely manner.
 - Award two (2) points based on the majority of positive interview responses confirming that identified inspection deficiencies are corrected in a timely manner.
- 9.4 A standardized method, form, or checklist should be completed for pre-use inspections. The method, form, or checklist should include equipment, tools, and/or vehicles; identification of the items inspected; recommended corrective actions; the person responsible for the action; and a date for expected completion/follow-up. This question may also be verified through interviews.
- 9.5 A review of past pre-use inspection methods/forms/checklists will confirm if the corrective action has been completed as assigned. Determine whether corrections have been completed in a timely manner, paying particular attention to unsafe conditions with the potential to cause injury or serious property damage.
- 9.6 Are supervisors and other responsible individuals meeting the required frequency for inspections as outlined in the company policy statement, procedure(s), and/or guideline(s). The frequency must be stated as monthly, weekly, daily, etc. The words, “on a regular basis,” are not acceptable. Consecutive records must be submitted to support the adherence to the identified frequency of inspections for all work locations that apply.
- 9.7 Check inspection methods, forms, and/or checklists to verify that workers, safety representative, supervisors, and senior management have taken an active role and are involved in the formal (and informal) inspection process.
- Award three (3) points based on the supplied documentation that includes names of individuals at all levels within the company.
 - Award three (3) points based on the majority of positive interview responses.
- 9.8 During worksite observations, verify the inspection reports have been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to workers, safety representatives, supervisors, and senior management or through other accessible electronic format.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
9	Inspections		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for workplace and pre-use inspections.</i>					
9.1	Are all areas inspected as required?	3				
9.2	Are specific methods, forms, or checklists used to identify deficiencies for workplace inspections?	3		OR		
9.3	Are corrective actions assigned to individuals and implemented as specified?	4		AND		
9.4	Are specific methods, forms, or checklists used to identify deficiencies for pre-use inspections?	3		OR		
9.5	Are corrective actions assigned to individuals and implemented as specified?	4				
9.6	Is the required frequency of inspections being met by the supervisor and other responsible individuals?	3				
9.7	Does the inspection process include participation of all levels within the company?	6		AND		
9.8	Are inspection reports posted and/or communicated to appropriate personnel?	4			OR	
COR® total points possible/awarded		30				
SECOR® total points possible/awarded		19				

 Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



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SECTION 10

Investigations and Reporting

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument
3. section page.
4. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
5. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
6. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- A copy of the company's **investigation policy/directive and reporting procedures** - (10.1 / 10.6)
- Two (2) to four (4) copies of completed **incident/near-miss/investigation reports** - (10.2 / 10.4 / 10.6)
- Two (2) to four (4) copies of completed **supervisor/other appropriate individuals training records**, to verify they have received training in conducting investigations - (10.3)
- Two (2) to four (4) copies of completed **investigation reporting forms** and corrective actions completed - (10.4 / 10.5)
- Two (2) to four (4) copies of **safety meeting/toolbox talk minutes** that identify investigations and corrective actions as an agenda item - (10.5)

10.0 Guidelines – Investigations and Reporting



- 10.1 Verify that the company has formal documentation that clearly identifies roles and responsibilities of workplace parties for reporting incidents and conducting investigations in a timely manner and that all parties understand these roles and responsibilities.
- Award three (3) points based on documentation.
 - Award three (3) points based on the majority of positive interview responses.
- 10.2 Verify investigation reports include that management, workers, and/or worker safety representatives/workplace safety committee are involved in the investigation process. The investigation report/forms should clearly identify the appropriate personnel involved.
- 10.3 Verify supervisors and other appropriate individuals have taken training specific to incident investigations. The Leadership for Safety Excellence course or equivalent would be acceptable for the awarding of points.
- Award two (2) points based on documentation confirming supervisor training.
 - Award two (2) points based on documentation confirming other appropriate individuals have received training.
 - Award two (2) points based on the majority of positive interview responses.
- 10.4 A system to communicate, implement, and follow up on corrective actions is required. Corrective action must be specific to preventing recurrence and clearly show when the stated corrected actions have been implemented.
- Verify through documentation and interviews that this process is in place and that corrective action is implemented within an acceptable time frame.
- Award two (2) points based on documentation verifying corrective actions are appropriate to prevent reoccurrence (i.e.: they must be specific and measurable — “be careful,” “use caution,” or other generic statements would not be acceptable).
 - Award two (2) points based on documentation verifying corrective actions have been implemented.
 - Award two (2) points based on the majority of positive interview responses.
- 10.5 Verify through documentation or interviews that investigation results and corrective actions are communicated to appropriate parties. Examples could include documented lessons learned, toolbox talks, safety committee meetings, etc., that include investigation results and corrective actions. Points may also be awarded if the majority of interview responses confirm investigation results and corrective actions are communicated to appropriate parties.
- 10.6 Verify records of incidents, near misses, and investigation reports are completed according to company policy/procedures. Both documentation and interviews must be confirmed to award points.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
10	Investigations and Reporting		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for reporting and investigating incidents, including near misses.</i>					
10.1	Do workplace parties know their responsibilities and the reporting procedures?	6		AND		
10.2	Are appropriate personnel involved in investigations?	4				
10.3	Have appropriate individuals been trained in legislative and company specific reporting requirements and investigation procedures?	6		AND		
10.4	Are recommendations for prevention/remedial action implemented as per legislation and/or company requirements?	6		AND		
10.5	Are investigation results and corrective/preventative actions communicated to appropriate parties?	4		OR		
10.6	Are the investigation reports completed according to company policy and procedures?	4		AND		
COR® total points possible/awarded		30				
SECOR® total points possible/awarded		20				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



SECTION 11

Emergency Preparedness

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) MUST include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- A copy of the company's **emergency preparedness policy/procedure/guideline** - (11.1)
- A copy of the company's current **site-specific emergency response directive/plan** - (11.1)
- A copy of emergency **equipment inspection/servicing records** - (11.3)
- Two (2) to four (4) copies of **training records** on emergency procedures/equipment and roles and responsibilities (e.g. orientations, first aider training, fire extinguisher training, etc.) - (11.8)
- A copy of the results of an **emergency response plan test** conducted and the corrective actions taken to correct any deficiencies - (11.10)
- A copy of the **annual review of the emergency response directive(s)/plan(s)** - (11.11)

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 one (1) point based on documentation to verify that the company has developed a generalized plan/procedure with respect to legislative requirements for emergency response (i.e.: fire, first aid, transportation, communication).
 - Award two (2) points based on documentation if evidence of site-specific written plans have been developed to meet the activities being performed
Examples include: chemical spill, rescue, confined space testing and retrieval, muster points, etc.
 - Award three (3) points based on observation that site-specific emergency response plans have been posted/made readily available at each worksite and are appropriate to the work activities being performed.
- 11.2 Verify through observation that emergency equipment is readily available, marked, and visible in work areas. Examples include: defibrillators, spill kits, first aid supplies, and rescue equipment for confined space or fall arrest.
- 11.3 Verify through either documentation or observation that emergency equipment is regularly inspected and maintained as per legislated, manufacturer, and/or company requirements. Examples could include inspection tags, invoices, or completed inspections.
- 11.4 Confirm that the number of qualified first aid personnel meet legislated requirements. Points can be awarded through observation of qualified first aid personnel names are posted. Points may also be awarded upon positive interviews confirming awareness of first aid personnel on site.
- 11.5 Verify through observation that an emergency communication system is available. This would include a means to communicate to onsite personnel as well as contacting outside agencies for assistance. Verify through interviews that employees are familiar with the site-specific instructions necessary to contact appropriate personnel/agencies for emergency assistance. Observation and interviews must both be verified in order to award points.
- 11.6 Verify through observation that the organization would have the means to transport an injured employee to a medical facility should an emergency occur. This may also involve calling in emergency personnel for transport. A majority of interview responses must confirm an understanding of the process for transporting injured employees.
- 11.7 Fire extinguishers must be readily available, marked, and visible in all work areas.
- 11.8 Verify through documentation that employees have received training in emergency procedures, roles, and responsibilities.
- 11.9 Award points based on confirmation through interviews that employees understand site-specific requirements and their responsibilities in the event of an emergency.
- 11.10 Verify through documentation that emergency plans have been tested as per company policy or legislated requirements. Records must indicate the results of the tests and what corrective actions were taken to correct deficiencies.
- 11.11 Records must show that the company's emergency response directives/plans have been reviewed annually. The records must indicate the results of the review and what corrective actions were taken (or reasons for no action being taken) to correct identified deficiencies.
- 11.12 Verify through interviews that appropriate parties have a clear understanding of the relevant information regarding the emergency response plans.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
11	Emergency Preparedness		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for emergency preparedness and response.</i>					
11.1	Are the emergency preparedness plans appropriate to work activities and legislative requirements?	6	AND			
11.2	Is emergency equipment readily available and well marked?	2				
11.3	Is emergency equipment regularly inspected and maintained?	2	OR			
11.4	Are the required number of qualified first aid personnel on site?	2		OR		
11.5	Is an appropriate emergency communication system available?	2		AND		
11.6	Is there a means to transport an injured employee to a medical facility?	2		AND		
11.7	Are fire extinguishers readily available, marked, and visible?	2				
11.8	Have employees received training in emergency procedures, roles, and responsibilities?	2				
11.9	Do employees know their roles and responsibilities?	4				
11.10	Has the emergency response plan(s) been tested for deficiencies and corrective action taken?	2				
11.11	Has the emergency procedures and response plans been reviewed, and revised as appropriate, at least annually?	2				
11.12	Is relevant information regarding the emergency response plans communicated to the appropriate parties?	2				
COR® total points possible/awarded		30				
SECOR® total points possible/awarded		20				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



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SECTION 12

Statistics, Records, and Documentation

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points

RECOMMENDED supporting documentation to submit would include:

- Two (2) copies of **legislatively required documentation** showing their retention (examples include: incident investigations, completed hazard assessments, inspections) - (12.2)
- Two (2) copies of completed monthly **safety and health activity summaries** that have been developed and maintained - (12.3)
- Documentation showing annual **analysis of safety and health performance** (e.g. a comparison of the number of first-aid, medical aid, lost time, and near-miss incidents) and identified needs/trends - (12.4)
- Two (2) to four (4) copies of completed **first-aid treatment records/logs** - (12.5)
- A copy of the company's current **audit corrective action plan** for the current audit - (12.6)
- A copy of the company's **safety and health program documentation, organization, and management policy/directive** - (12.7)
- A copy of **safety meeting minutes or employee training documentation** showing the current audit corrective action plan has been communicated - (12.7)
- Documentation to verify implementation of the current audit's corrective action plan** - (12.7)

12.0 Guidelines – Statistics, Records, and Documentation



- 12.1 Verify the company is following their document control system. Through observation, verify that current versions of documents are readily available and used.
- 12.2 Documentation should clearly support that safety and health documentation is retained according to legislation.
For Manitoba, reference Workplace Safety and Health Regulation Part 2.10.
- 12.3 Statistics must provide sufficient information to verify the company is following their system for analyzing safety and health performance (at minimum annually).
Examples could include reports, meeting minutes, or other records that confirm incidents, first aid records, safety activities, and past performance are being reviewed to identify trends.
- 12.4
 - Award one (1) point if leading performance measures are included in the safety and health performance measurement.
 - Award one (1) point if lagging performance measures are included in the safety and health performance measurement.
- 12.5 Documentation must confirm that first aid records are being recorded and retained for all injuries.
- 12.6 There must be an action plan developed to address deficiencies in the audit.
- 12.7 Documented evidence must show that an action plan was communicated. This question must also be verified through interviews.
 - Award two (2) points based on the receipt of documentation to verify implementation of the audit corrective action plan.
 - Award two (2) points based on the majority of positive interview responses confirming the audit action plan has been communicated.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
12	Statistics, Records, and Documentation		D	O	I	
	<i>The organization shall establish implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) to effectively control documents and records, including regular measurement of safety and health performance.</i>					
12.1	Are approved and current versions of applicable documents readily available at the point of use?	4				
12.2	Are relevant safety and health records kept as per legislative requirements?	2				
12.3	Does the company analyze current safety and health performance with past performance to identify trends as per the required frequency?	4				
12.4	Are leading and lagging performance measured?	2				
12.5	Are adequate first aid treatment records kept?	2				
12.6	Are corrective action plans developed to address audit results?	4				
12.7	Are results and analyses communicated to relevant workplace parties as per company policy, procedure(s), or guideline(s)?	4		AND		
COR® total points possible/awarded		22				
SECOR® total points possible/awarded		14				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



SECTION 13 Legislation

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) MUST include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- Two (2) copies of **job-planning** documents that shows legislative review occurred - (13.2)

13.0 Guidelines – Legislation

- 13.1 Verify through observation that relevant legislation has been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to workers (via hardcopy or other accessible electronic format).
- 13.2 Verify through documentation or interviews that legislative review is part of the management/supervisor's regular job planning process.
- 13.3 The majority of interview responses must confirm that employees and supervisory/management personnel are aware of their legal duties and responsibilities.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
13	Legislation		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) to identify, comply, and ensure all personnel have access to relevant legislation.</i>					
13.1	Are copies of relevant legislation posted and/or readily available at each workplace as required?	2		OR		
13.2	Does the management/supervisor regularly refer to relevant legislation and regulations during job planning to ensure compliance?	4		OR		
13.3	Are personnel trained and aware of their legislated rights and responsibilities?	4				
COR® total points possible/awarded		10				
SECOR® total points possible/awarded		10				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



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SECTION 14

Procurement and Contractor Management

1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- Documentation that confirms the company has a system/process in place for evaluating and monitoring sub-contractors, e.g. contractor compliance declaration policy and agreement - (14.1 / 14.2)
- Two (2) to four (4) copies of examples of **shared information between prime contractor/sub-contractor** - (14.3 / 14.4)
- Documentation that confirms the company has a criteria in place for selecting, evaluating, and procuring products - (14.5)
- Two (2) to four (4) copies of **completed hazard assessments** showing that the criteria is followed - (14.6)

14.0 Guidelines – Procurement and Contractor Management



- 14.1 When selecting contractors or service providers, a company must include safety and health as an integral part of their activities.
- Award three (3) points based on the establishment of a criteria for the evaluation and selection of contractors or service providers (i.e.: COR®, Contractor Compliance Declaration/Agreement, etc.).
 - Award three (3) points based on the establishment of a system to regularly monitor contractors or service providers (i.e.: review/submission of safety meetings, safety inspection reports, orientations, verification of applicable worker training/certification, etc.).
- 14.2 Award points if the criteria in 14.1 includes a documented process to verify the competency of contractors and service providers to identify, communicate, and control hazards (i.e.: COR® or other safety and health management system, such as a prime or general contractor’s process that clearly includes this ability). Points may also be awarded if the majority of interview responses are positive.
- 14.3 Verify through documentation that the criteria identified in 14.1 and 14.2 have been followed. The majority of interview responses must also be positive in order to award points.
- 14.4 A company acting as the prime/general contractor is required to develop, implement, and monitor a system to manage safety and health compliance at the worksite. A company acting as a contractor (sub) must be aware of their legal obligations to share required information that may affect the safety and health of any other person. Examples of information to be shared could include completed hazard assessments, inspections, site safety orientations, toolbox/safety/start-up meeting minutes, utility clearances, permits, SDSs, incident investigation reports, etc. Documentation of required information shared between the prime and sub-contractors can be either retained on file and produced in support of the audit. Points may also be awarded if this information is shared and clearly posted or made readily available at the worksite (if no suitable means of posting is available, points can also be awarded if other accessible electronic format is readily available).
- 14.5 Award points based on verification that the company has a process that considers the impact to safety and health when selecting products with potential to create a hazard.
- 14.6 Award points upon verification that the company is following their process (i.e.: completed hazard assessment, analysis, and control). Points may also be awarded if the majority of interview responses are positive.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
14	Procurement and Contractor Management		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for procured products and services, including contractor management/outsourcing.</i>					
14.1	Does the company have criteria for the selection, evaluation, and monitoring of contractors and service providers?	6				
14.2	Does the evaluation, selection, and monitoring include the ability and competency of the contractor to identify, communicate, and control hazards that may impact their own workers, your workers, as well as any other person?	4		OR		
14.3	Has the criteria for the selection, evaluation, and monitoring of contractors and service providers been followed?	4		AND		
14.4	Is there a system in place to coordinate safety and health requirements, roles, and responsibilities when multiple contractors/employers are working under your control?	4	OR			
14.5	Does the company have a criteria for the selection, evaluation, and procurement of products that have the potential to create a hazard?	2				
14.6	Has the criteria for the selection, evaluation, and procurement of products been followed?	2		OR		
COR® total points possible/awarded		22				
SECOR® total points possible/awarded		8				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



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SECTION 15 Manitoba Supplement



1. **ALL** boxes under the techniques: **D** (documentation), **O** (observation), and **I** (interview) **MUST** include a (✓) or (✗).
2. Ensure **ALL** questions that have been confirmed with a (✓) under the documentation technique have a supporting document immediately following the audit instrument section page.
3. Write the audit question number directly onto the supporting document that, at a glance, clearly identifies where the intent of the documentation question has been met.
4. Refer to the audit instrument guidelines for clarification on how to interpret each question and award points.
5. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (✗) equals zero (0) points.

RECOMMENDED supporting documentation to submit would include:

- Two (2) to four (4) copies of completed **hazard assessments** to show that committee members/safety representatives are actively involved in the identification, communication, and control of hazards - (15.2)
- Two (2) to four (4) copies of completed **committee members/safety representatives training records** - (15.3)
- Two (2) to four (4) copies of records that demonstrate **committee members/safety representatives are involved in continuous improvement** - (15.4)
- A copy of the company's **hearing conservation policy/directive** - (15.8)
- A copy of **annual audiometric testing results** of employees - (15.8)
- Documentation in support of **worksite sound monitoring** - (15.8)
- A copy of the company's **working alone or in isolation policy/directive and procedure**, including any completed documentation - (15.10 / 15.11)
- Two (2) to four (4) copies of completed employee **WHMIS training records** - (15.12)
- A copy of the company's **competency/training/certification of equipment operations directive/plan** - (15.16)
- A copy of the company's **musculoskeletal injury prevention directive** - (15.17)
- A copy of the company's **harassment policy** - (15.18)
- A copy of the company's **violence policy** - (15.20)
- A copy of records demonstrating that the **safety and health program has been reviewed** (within three (3) years) - (15.22)

15.0 Guidelines – Manitoba Supplement, Safety Committee/Worker Safety Representative

- 15.1 Where there is more than one (1) of the company's employees on a construction project site, one (1) worker must be appointed as the worker safety representative. Legislation requires the name(s) of the safety representative to be conspicuously posted. Interviews must confirm that workers are informed of the person who has been appointed.
- 15.2 Verify through documentation, if safety committee members/worker safety representatives are involved in hazard identification as identified in the committee rules of procedure, as applicable. Signatures on corrective action plans, right to refuse investigations, hazard assessments, inspection, and investigation reports will assist in awarding points for this question. This question must be confirmed by a majority of committee members'/worker representatives' description of their involvement in safety program activities.
- 15.3 Safety committee members/worker safety representatives are required to receive training specific to their duties as outlined in the Workplace Safety and Health (WSH) Act as well as training on how to effectively carry out their duties. Safety committee members/worker safety representatives must be able to communicate an understanding of their legal duties and responsibilities.
- Award two (2) points based on documentation that verifies safety committee members and/or worker safety representatives have received adequate training.
 - Award two (2) points based on a majority of positive interview response.
- 15.4 Previous safety committee or worker safety representative meeting minutes can be reviewed to verify safety committee members/worker safety representatives have been involved in reviewing and making recommendations for worker concerns, PPE, safety equipment, training programs, policies, etc. for the purpose of verifying effectiveness and improvement.
- 15.5 Verify through observation that safety and health meeting minutes are posted or made readily available to workers on site.

Guidelines - Manitoba Supplement, Regulatory Compliance, and Safety Program Directives

- 15.6 WSH legislation includes a duty to share required information and to have safety and health committee minutes posted. To meet legislative requirements, safety program directives, and to award points, each project must have a bulletin board that functions as a key means of communication with all workers.
- 15.7 The prime contractor (or employer) must ensure that a construction project site sign is located in a prominent location with the required information as outlined in WSH Regulation Part 2.18 and the current physical jobsite address.
- 15.8 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 site sound monitoring, audiometric testing, hearing protection, and training for employees.
- Award one (1) point based on the creation of a hearing conservation company directive/policy.
 - Award two (2) points based on documentation in support of biennial audiometric testing for employees.
 - Award two (2) points based on documentation in support of worksite sound monitoring.
- 15.9 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 is adequately maintained.
- 15.10 The company safety program should contain a policy/directive and procedure with respect to working alone or in isolation.
- 15.11 If employees are observed to be working alone, ask to see a copy of their written procedure and a communication device. During interviews, a majority of positive responses could also be used to demonstrate an understanding of the company's working alone or in isolation procedure.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
15	Manitoba Supplement, Safety Committee/Worker Safety Representative		D	O	I	
	<i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for meeting the legislative requirements outlined in the Workplace Safety and Health (WSH) Act and Regulation.</i>					
15.1	Is there a designated worker safety representative at each jobsite?	4		AND		
15.2	Are safety committee members/worker safety representatives actively involved in the identification, communication, and control of safety concerns?	3		AND		
15.3	Have safety committee members/worker safety representatives received any training in how to carry out their duties and responsibilities?	4		AND		
15.4	Are safety committee members/worker safety representatives involved in the continuous improvement of the safety program?	2		OR		
15.5	Are meeting minutes posted (or made readily available) for all employees to read?	2		OR		
	Manitoba Supplement, Regulatory Compliance, and Safety Program Directives		D	O	I	
15.6	Does the company have a bulletin board in a prominent place, which is readily accessible to workers?	3				
15.7	Does the company have a sign prominently posted?	3				
15.8	Does the company have a hearing conservation program?	5				
15.9	Is hearing protection, including instructions on proper use and limitations, made readily available to employees?	2		OR		
15.10	Is there a written policy/directive and procedure in place on the subject of workers working alone or in isolation?	2				
15.11	Is it adhered to?	3		OR		

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.

Guidelines – Manitoba Supplement, Regulatory Compliance, and Safety Program Directives (continued)



- 15.12 Company training records may be used to verify training in WHMIS that meets legislative standards.
- 15.13 Employees must be able to demonstrate an understanding of the controlled products used at their worksite and the procedures required for safe use.
- 15.14 During worksite observations, all controlled products found on site must be labeled with a clear and legible WHMIS label that meets legislative standards.
- 15.15 All SDSs for each controlled product must be readily available on site and be current (recommended within three (3) years). Although not required, the company should have a system for verifying that SDSs provided to workers are the most current version available from the manufacturer, supplier, or distributor.
- 15.16 The company must provide training/certification records for individuals operating critical equipment. Examples include: forklifts, aerial lifts, power mobile equipment, and/or cranes or other hoisting devices. The majority of interview responses must indicate that workers are aware that training and/or certification is a requirement to operate any piece of critical equipment.
- 15.17 Employers are required to inform workers of the risk and signs/symptoms of common musculoskeletal injuries (MSI) and provide instruction/training for any control measures implemented. Documentation points would be awarded upon verification of MSI training or if MSI have been included in safety meetings, toolbox talks, or pre-job safety instructions.
- 15.18 The company must have a written policy on the subject of workplace harassment prevention, which includes provisions in accordance with legislation.
- 15.19 The policy must be posted at the workplace and made readily available to all employees.
- 15.20 The company must have a written policy on the subject of workplace violence prevention, which includes provisions in accordance with legislation.
- 15.21 The policy must be posted at the workplace and made readily available to all employees.
- 15.22 The elements of the program, including directives/policies, practices, procedures, etc., should be reviewed, at minimum, every three (3) years, or more often if circumstances at a workplace change in a way that poses a risk to the safety or health of workers. The auditor would award points through the verification that revisions to the safety and health program has been made. Points may also be awarded if deficiencies noted in corrective action plans from a previous audit have been implemented.
- 15.23 Verify through observation that adequate housekeeping techniques are in practice at the worksite. Examples would include walkways and work areas that are free and clear of obstructions, accumulations, and protrusions; organized material storage; control of airborne dust; or adequate sanitation. Overall, the site should appear organized and clutter-free to award points.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
15	Manitoba Supplement, Regulatory Compliance, and Safety Program Directives <i>(continued)</i>		D	O	I	
15.12	Have employees who work directly with, or in the proximity of, controlled products received training in WHMIS?	2				
15.13	Can employees communicate an understanding of WHMIS?	2				
15.14	Are controlled products properly labelled?	2				
15.15	Are SDSs current and made readily available at each worksite?	2				
15.16	Are workers competent to operate critical equipment?	4		AND		
15.17	Are workers provided instruction and training to identify and control the risk of musculoskeletal injuries (MSI)?	2				
15.18	Does the employer have a written policy with respect to the prevention of harassment in the workplace?	2				
15.19	Is the policy prominently posted at the workplace?	2				
15.20	Does the employer have a written policy with respect to the prevention of violence in the workplace?	2				
15.21	Is the policy prominently posted at the workplace?	2				
15.22	Has a review and revision been made to the safety and health program?	2				
15.23	Is jobsite and work area housekeeping adequate?	3				
COR® total points possible/awarded		60				
SECOR® total points possible/awarded		58				

Highlighted questions are required for SECOR®. COR® requires **all** questions. The minimum standard is **50 per cent** of total possible points.



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SAFETY CULTURE ASSESSMENT

constructionsafety.ca

Guidelines – Safety Culture Assessment



CSAM has included the safety culture assessment as part of the COR®/SECOR® Certification program in order to be in compliance with the requirements set by the Province of Manitoba. The safety culture assessment is not a determining factor in Certification — its purpose is to assist companies in tracking safety culture, to use the results to identify contributing factors for safety performance, and develop effective corrective action measures for continuous improvement. The results of the safety culture assessment should be included when developing the audit corrective action plan.

- SC1 An audit can be defined as a formal, comprehensive, and thorough process for evaluating and reporting how an organization manages safety and health in accordance with a recognized standard. At minimum, an organization should be auditing their safety and health management system annually. A high performing company may audit two or three times a year and spot check components of the program monthly.
- SC2 A positive safety culture will include the uniform support and encouragement of ongoing safety improvement by all levels of the organization. Supervisors will correct hazards immediately and assist in developing control methods that prevent repeat hazards and reoccurring incidents. Workers will adapt to and adopt new safety initiatives quickly with no resistance and provide feedback for improvement of their safety and health and that of their coworkers.
- SC3 A positive and proactive safety culture will include the basic and uniform understanding that safety and health will be given equal consideration when discussing production, quality, and profitability of the organization. Senior management will be heavily involved in proactive, preventative safety management practices by including safety and health in discussions involving purchases, new projects, and the future of the organization. New equipment does not enter the workplace without being inspected for safety concerns and having procedures developed for safe use. Job planning assesses the hazards involved and includes them when tendering a job.
- SC4 Education and training is an essential component in improving the attitudes and safety behaviors of workers. Encouraging “common training” rather than “common sense” will confirm the workers’ ability to perform work safely and demonstrate a commitment to providing a safe and healthy workplace. No worker enters a workplace without a proper orientation and task specific training being conducted first. There is a clear plan for safety training that includes performance evaluations. Worker training is assessed during hazard identification and is included in the development of control methods.
- SC5 A worker’s involvement in the decision making process will foster a community regarding safety issues that supports a positive attitude towards safety and health in the workplace. Support for workers who speak up regarding safety concerns is evident and an encouraged practice throughout all levels of the organization. Prior to finalizing new safety initiatives such as procedures, training requirements, or new equipment, workers are consulted to ensure information is clear, understood, and accurately reflects a “real world” environment.
- SC6 Those in charge of safety must be equipped with the knowledge, training, and authority to act. Those responsible for researching and developing safety initiatives should be given the time and resources to do so effectively. Supervisors tasked with maintaining a safe and healthy workplace must have the authority to act as an authority for the environment in which they are responsible. Successful companies support and empower their staff to make decisions and implement positive change independently of a singular person of authority.

SAFETY CULTURE ASSESSMENT		(0%-20%)	(21%-40%)	(41%-60%)	(61%-80%)	(81%-100%)	Score
SC	Safety Culture Objectives	0	1	2	3	4	(0-4)
SC1	Formal safety audits at regular intervals are a normal part of our business.						
SC2	Everyone at this organization values ongoing safety improvement.						
SC3	This organization considers safety at least as important as production and quality in the way work is performed.						
SC4	Workers and supervisors have the information they need to work safely.						
SC5	Employees are always involved in decisions affecting their safety and health.						
SC6	Those in charge of safety have the authority to make the changes they have identified as necessary.						

INSTRUCTIONS: Using the percentage scale provided, determine how effectively each objective is met or adhered to within your organization. Check the appropriate box and transfer the numerical value to the last column.

NOTE: The culture assessment is not a scored component of the audit and does not contribute to the final assessment when determining eligibility for COR®/SECOR® Certification.

The safety culture assessment continues on the following page

Guidelines – Safety Culture Assessment



- SC7 Rewarding processes that lead to safe outcomes is a far more effective and sustainable method of maintaining safety and health compliance. Processes are repeatable for various positive outcomes and support the effort required to achieve the desired outcome, rather than the outcome alone. Those involved in improving the safety and health of the organization should receive recognition for their contribution and encourage others to do the same. Successful companies make safety a necessary component of their workers' success and advancement within the organization, rather than an obstacle.
- SC8 Maintaining tools and equipment helps demonstrate management's commitment to their workers and supports a positive attitude towards work. A safe and functional environment increases the likelihood of workers working safely and enjoying what they do. Successful companies have developed a preventative maintenance system that mitigates the risk of injury due to defective equipment and ensures the correct tools are being provided to perform work safely and efficiently for every task. This will include paying special attention to MSI and functional issues that will not only increase the risk of injury, but affect the attitudes and behaviors of workers when performing "undesirable tasks."
- SC9 Continuous improvement regarding safety culture means that, when concerns are raised or incidents occur, appropriate action by persons responsible for safety are taken to prevent an incident, or in the case of an incident already occurring, to prevent reoccurrence. Successful companies have a clear and outlined process for managing risk and injury in the workplace, roles are communicated and verified with every level of employment, and steps are taken to ensure all preventative methods are followed and implemented regularly.
- SC10 Support of the safety and health program must be demonstrated through action and, most importantly, by management to foster a positive safety culture. The behaviors of leaders in an organization greatly affect the attitudes, and therefore the behaviors, of workers. Successful companies implement and maintain the safety and health program through all levels of the organization. Management can clearly be seen following company rules, PPE requirements, attending safety training, and maintaining a positive attitude towards safety and health. Management should be the embodiment of what safety and health compliance looks like in order to instill that in others.
- SC11 Communication of concerns and suggestions for improvement must be freely communicated by those most affected by the hazards and those who have the power to make positive changes to safety and health in the workplace. No worker should ever feel persecuted for bringing to light safety concerns that affect them or that of their peers. A successful company requires communication training for supervisors and top management to ensure they are adequately equipped with the skills necessary to handle safety concerns raised by workers, with positivity and encouragement. All members of the company are on the same "playing field" when safety and health is a topic of conversation.
- SC12 A positive safety culture is fully realized when the relationship between employee and employer harbors no reservation of discipline or negative repercussions regarding safety concerns. Trusting that your leaders have their workers' best interests in mind will open up a dialogue where organizations can collectively improve the attitudes and behaviors regarding safety in the workplace.

For more information on how to measure and improve the safety culture within your organization, contact CSAM.

SAFETY CULTURE ASSESSMENT		(0%-20%)	(21%-40%)	(41%-60%)	(61%-80%)	(81%-100%)	Score
SC	Safety Culture Objectives <i>(continued)</i>	0	1	2	3	4	(0-4)
SC7	Those who act safely receive positive recognition.						
SC8	Everyone has the tools and/or equipment they need to complete their work safely.						
SC9	Actions are taken to prevent future incidents.						
SC10	Top management is actively involved in the safety program.						
SC11	Communication is open and employees feel free to voice concerns and make suggestions.						
SC12	There is a high level of trust in the employee/employer relationship at our company.						
						Average Score	

INSTRUCTIONS: Add the scores together from all 12 objectives and divide by 12 to determine your average score for safety culture. Your average score will be between 0.00 and 4.00. Place this number (up to two decimal places) in the “average score” area to the right. This number will also be transferred to the executive summary sheet.

NOTE: Although an average score will be required for the assessment, companies are encouraged to review the results for all 12 objectives individually to identify strengths and weaknesses regarding safety culture. Particular attention should be given to each objective with a score of two (2) or less. The audit corrective action plan should include recommendations for improvements regarding safety culture.



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



AUDIT OBSERVATION CHECKLIST



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



Observation Checklist



Company: _____ Worksite Location: _____

Date: _____ # of employees on site: _____ # of sub-contractors on site: _____

Reference #	Observation Requirement		Comments
Safety and Health Policy			
1.5	Is the safety and health policy posted?		
Hazard Assessment, Analysis, and Control			
2.1	Are site-specific hazard assessments conducted?		
2.9	Are the controls developed using a hierarchy of controls?		
2.11	Are controls implemented in a timely manner?		
Safe Work Practices			
3.1	Do safe work practices reflect the company's activities?		
3.3	Are written safe work practices readily available?		
3.4	Are they followed by employees?		
Safe Job Procedures			
4.1	Do safe job procedures reflect the company's activities — including high risk and critical tasks?		
4.3	Are written safe job procedures readily available for the work being performed?		
4.4	Are employees following safe job procedures?		
Company Safety Rules			
5.3	Are company rules prominently posted?		
Personal Protective Equipment			
6.4	Do personnel have access to specialized PPE for specific activities?		
6.5	Is the correct PPE used by personnel when required?		
6.6	Is PPE well maintained and in good condition, and does it meet regulatory requirements?		
Preventative Maintenance Program			
7.2	Are completed pre-operational/checklists kept with the equipment in use?		
7.3	Have the documented corrective action(s) been completed?		
7.6	Does the company follow its system to remove defective tools, equipment, and vehicles from service?		



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



Reference #	Observation Requirement		Comments
Inspections			
9.8	Are inspection reports posted?		
Emergency Preparedness			
11.1	Are the site emergency plans posted and appropriate to the work activities?		
11.2	Is emergency equipment readily available, marked, and visible?		
11.3	Is the emergency equipment in use regularly inspected and maintained?		
11.4	Are the required number of qualified first aid personnel on site?		
11.5	Is there an appropriate communication system available?		
11.6	Is there a means to transport an injured person to a medical facility?		
11.7	Are fire extinguishers readily available?		
Statistics, Records, and Documentation			
12.1	Are current versions of applicable documents available at the point of use?		
Legislation			
13.1	Are copies of relevant legislation posted or readily available?		
Procurement and Contractor Management			
14.4	Is safety information shared between the prime/general contractor and contractors?		
Manitoba Supplement			
15.1	Is the name of the safety representative for the company posted?		
15.5	Are safety meeting minutes posted?		
15.6	Is there a bulletin board in a prominent place, which is readily accessible to workers?		
15.7	Is there a site sign that displays required information?		
15.9	Is appropriate hearing protection made readily available?		
15.14	Are controlled products properly labelled?		
15.15	Are SDSs current and readily available?		
15.19	Is the harassment policy prominently posted?		
15.21	Is the violence policy prominently posted?		
15.23	Are housekeeping techniques appropriate?		

Additional observations/comments:

AUDIT INTERVIEW QUESTIONNAIRES



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



Employee Interview Questionnaire



Reference #	Questions	P	N	Interview Comments
1.3	What are your safety and health responsibilities? How are you held accountable for them?			
1.6	In your own words, what does the safety and health policy say?			
2.1	Describe the process your company uses to conduct formal hazard assessments. What type of tasks are included in the formal hazard assessment process?			
2.2	How are completed formal hazard assessments reviewed with you?			
2.4	How are hazards reassessed as the job progresses or changes occur?			
2.6	How are you involved in the hazard assessment process?			
2.7	How have you been trained to identify and control hazards?			
2.10	Who is responsible for implementation of controls?			
3.2	Describe some of the key points of a safe work practice applicable to your work.			
3.3	How do you have access to safe work practices when on site?			
3.5	Can you give me an example of how a safe work practice has been reviewed or discussed?			
4.2	Describe the step-by-step process of a safe job procedure for a critical task that is applicable to your work.			
4.3	How do you have access to safe job procedures when on site?			
4.5	Can you give me an example of how a safe job procedure has been reviewed or discussed?			
5.2	Where can you find both company and project (work location) specific rules?			
5.3	How are company safety rules provided or made available to you?			
5.6	How are the company rules enforced?			
6.1	How do you know what PPE is required to perform a specific task?			
6.3	What type of training did you receive to understand the proper fitting, care, and use of your PPE?			
6.4	How do you have access to appropriate PPE when needed?			
7.5	What is your company's system to remove defective tools or equipment from service?			



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



Reference #	Questions	P	N	Interview Comments
8.2	After training, how are you evaluated for your retention of information regarding the company safety and health program?			
8.5	How was your mandatory training verified or provided to you prior to starting work?			
8.8	When was your orientation provided? Have you received a re-orientation?			
8.12	How are you given the opportunity to give input and communicate safety and health concerns?			
8.13	How often does your company hold scheduled safety meetings?			
9.3	How are identified deficiencies assigned to individuals and corrected as required?			
9.4	What specific method, form, or checklist is used for pre-use inspections?			
9.7	What is your role in the formal or informal inspection process?			
9.8	How are the inspection reports posted and/or communicated to you?			
10.1	What is the process for reporting an incident? What are your responsibilities?			
10.4	Once an incident investigation has been completed, how are corrective actions implemented?			
10.5	How are corrective actions communicated to you after an incident occurs?			
10.6	What incidents do you report? Do you report near misses? Please give an example of a near miss.			
11.4	How do you know who is a qualified to administer first aid on this site?			
11.5	How do you alert everyone onsite in the event of an emergency? How do you contact appropriate personnel/agencies for emergency assistance?			
11.9	Can you give me an example(s) of an emergency plan for this site? What are your specific roles and responsibilities?			
11.12	How have site specific emergency plans been communicated to you?			
13.1	Where are copies of relevant legislation on this site? <i>For Manitoba, reference our Workplace Safety and Health Act and Regulation.</i>			
13.2	Does your supervisor regularly discuss relevant regulations and legislation when assigning work? Can you give an example?			
13.3	What are your legislated rights? Do you know how to exercise those rights?			
15.1	Who is your worker safety representative on this site?			

Page 3 - Employee Interview Questionnaire

Reference #	Questions	P	N	Interview Comments
15.2	Who is involved in hazard identification, communication, and control on your worksite(s)?			
15.5	How are you made aware of safety meeting minutes for this site? Where can you find a copy of the minutes?			
15.9	Have you received hearing protection training?			
15.11	What is the procedure for working alone? Is it followed?			
15.13	Give an example of a controlled product used on this site and the procedures required for safe use.			

 *Highlighted boxes are required for SECOR®. COR® requires all questions.*



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



Management/Supervisor Interview Questionnaire



Reference #	Questions	P	N	Interview Comments
1.3	What are your safety and health responsibilities? How are you held accountable for them?			
1.6	In your own words, what does the safety and health policy say?			
2.1	Describe the process your company uses to conduct formal hazard assessments. What type of tasks are included in the formal hazard assessment process?			
2.4	How are hazards reassessed as the job progresses or changes occur?			
2.6	How are you involved in the hazard assessment process?			
2.7	How do you verify employees are competent to participate in hazard assessments?			
2.10	Who is responsible for implementation of controls?			
3.3	How do your employees have access to safe work practices when on site(s)?			
3.5	What is your formal process to develop or review safe work practices?			
4.3	How do your employees have access to safe job procedures when on site(s)?			
4.5	What is your formal process to develop or review safe job procedures?			
5.3	How are company safety rules provided to your employees?			
5.6	Explain the disciplinary process that is used when employees are not following company rules.			
6.1	What criteria is used to select appropriate PPE for company specific tasks?			
6.3	What type of training is provided to your employees to help them understand the proper fitting, care, and use of PPE?			
6.4	How do your employees have access to appropriate PPE when needed?			
7.4	How are the individuals that perform maintenance on equipment or tools deemed competent to do so?			
7.5	What is your company's system to remove defective tools or equipment from service?			
8.1	What is your company's method for the selection of safety and health training of employees?			



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.



Reference #	Questions	P	N	Interview Comments
8.2	What is your company's method for evaluating and monitoring the knowledge, competency, and effectiveness regarding the safety and health training provided to employees?			
8.3	What training have you received in your legislated requirements?			
8.5	How do you verify mandatory training requirements for employees are completed prior to starting work?			
8.6	How do you verify the training provided is conducted by a qualified/competent person?			
8.8	What types of orientation are provided and when?			
8.10	When did you last attend a safety and health meeting? How often do you actively participate in them?			
8.13	How does your company ensure safety and health meetings are scheduled to meet legislation, company, or project requirements?			
9.2	What specific method, form, or checklist is used for workplace inspections?			
9.3	How are identified deficiencies assigned to individuals and corrected as required?			
9.4	What specific method, form, or checklist is used for pre-use inspections?			
9.7	What is your role in the formal or informal inspection process?			
9.8	How are the inspection reports posted and/or communicated to you?			
10.1	What is the process for reporting an incident? What are your responsibilities?			
10.3	What training have you received to conduct investigations? Did that training include both legislative and company-specific reporting and investigation procedures?			
10.4	Once an incident investigation has been completed, how are corrective actions implemented and followed up for effectiveness?			
10.6	Following an incident, are the investigation reports completed as per company policy/procedure that includes incidents, near misses, and investigation reports? Can you give an example?			
11.4	How do you communicate who is a qualified first aid personnel on this site? How do you verify the number of qualified first aid personnel meets legislative requirements?			
11.5	How do you alert everyone onsite in the event of an emergency? How do you contact appropriate personnel/agencies for emergency assistance?			
11.6	If someone gets injured, how would they be transported to a medical facility?			

Page 3 - Manager/Supervisor Interview Questionnaire

Reference #	Questions	P	N	Interview Comments
11.12	How do you communicate site-specific emergency response plans to your employees?			
12.7	Can you give me an example of corrective actions or improvements that have been made to your safety and health program from your most recent audit/statistics review?			
13.1	Where are copies of relevant legislation on this site? <i>For Manitoba, reference our Workplace Safety and Health Act and Regulation.</i>			
13.2	Do you regularly refer to relevant legislation and regulations during job planning to ensure compliance? Can you give an example?			
13.3	What are your legislated rights? Do you know how to exercise those rights?			
14.2	How does the evaluation, selection, and monitoring of contractors take into consideration their ability and competency to identify, communicate, and control hazards that may impact all workers on site?			
14.3	How do you ensure your criteria for selection/evaluation and monitoring contractors is being followed?			
14.6	How do you ensure your criteria for selection and evaluation of procured products is being followed?			
15.13	Give an example of a controlled product used on this site and the procedures required for safe use.			
15.16	What is the procedure for checking operator training and certification?			

Highlighted boxes are required for SECOR®. COR® requires all questions.



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Worker Safety Representative/Safety Committee Member Interview Questionnaire



Reference #	Questions	P	N	Interview Comments
1.5	Where would you find a copy of the safety and health policy?			
1.6	In your own words, what does the safety and health policy say?			
2.4	How are hazards reassessed as the job progresses or changes occur?			
2.6	How are you involved in the hazard assessment process?			
2.7	How have you been trained to identify and control hazards?			
4.5	Have you or the safety and health committee ever been consulted concerning the development or review of safe job procedures?			
5.4	Can you give me an example of a few company and/or site specific rules you need to follow?			
6.3	What type of training did you receive to understand the proper fitting, care, and use of your PPE?			
7.5	What is your company's system to remove defective tools or equipment from service?			
8.13	How often does your company hold scheduled safety meetings?			
9.2	What specific method, form, or checklist is used for workplace inspections?			
9.3	How are identified deficiencies assigned to individuals and corrected as required?			
9.4	What specific method, form, or checklist is used for pre-use inspections?			
9.7	What is your role in the formal or informal inspection process?			
9.8	How are the inspection reports posted and/or communicated to you?			
10.1	What is the process for reporting an incident? What are your responsibilities?			
10.4	After an incident occurs and an investigation takes place, what generally happens with the recommendations that are made?			
10.6	What incidents do you report? Do you report near misses? Please give an example of a near miss?			
13.1	Where are copies of relevant legislation on this site?			
15.2	How are you involved in hazard identification, communication, and control?			



Reference #	Questions	P	N	Interview Comments
15.3	Tell me briefly what your legal duties and responsibilities are.			
15.4	Are you involved in the review of safety concerns and developing or implementing corrective actions? Give an example.			
15.9	Have employees received hearing protection training?			
15.11	What is the procedure for working alone? Is it followed?			

Highlighted boxes are required for SECOR®. COR® requires all questions.

Sub-Contractor Interview Questionnaire



Reference #	Questions	P	N	Interview Comments
1.5	Where would you find a copy of the prime contractor's safety and health policy?			
2.1	Describe the process the prime contractor uses to conduct formal hazard assessments?			
4.2	Describe the step-by-step process of a safe job procedure.			
4.3	How do you have access to safe job procedures when on site?			
5.3	How are company safety rules provided or made available to you?			
5.4	Can you give me an example of a few company and/or site specific rules you need to follow?			
6.3	What are the PPE requirements for this site? How were you informed?			
7.5	What is the system to remove defective tools or equipment from service?			
8.8	Did you have a safety orientation for this specific site? If so, when was it?			
10.1	What is the process for reporting an incident? What are your responsibilities?			
11.4	How do you know who is a qualified to administer first aid on this site?			
11.12	How have site specific emergency plans been communicated to you?			
13.1	Where are copies of relevant legislation on this site?			
15.11	What is the procedure for working alone? Is it followed?			
15.13	Give an example of a controlled product used on this site and the procedures required for safe use.			
15.16	Are you required to supply operator training verification to the prime contractor?			

Highlighted boxes are required for SECOR®. COR® requires all questions.



This audit instrument aligns with the CFCSA-endorsed harmonized audit instrument.





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Interview Response Summary Tool

In the boxes below employee, management/supervisor, worker safety representative/safety committee member, and sub-contractor, summarize the interview results using a ✓ or ✗ as identified on the interview questionnaires. In the last two columns, total the number of ✓'s as positive responses and ✗'s as negative responses. Whichever response has a higher total will be the final ✓ or ✗ that is identified in the audit instrument.

Remember, 'majority rules' for interview responses. If the totals are equal, either perform another interview to break the tie or err on the side of caution and mark it as an ✗ in the audit instrument.

Ref. #	Employee	Management/ Supervisor	Worker Safety Representative/ Safety Committee Member	Sub-Contractor	# of Positive Responses	# of Negative Responses
1.3						
1.5						
1.6						
2.1						
2.2						
2.4						
2.6						
2.7						
2.10						
3.2						
3.3						
3.5						
4.2						
4.3						
4.5						
5.2						
5.3						
5.4						
5.6						
6.1						
6.3						
6.4						
7.4						
7.5						
8.1						
8.2						
8.3						
8.5						
8.6						

Interview Response Summary Tool – Page 2

Ref. #	Employee	Management/ Supervisor	Worker Safety Representative/ Safety Committee Member	Sub-Contractor	# of Positive Responses	# of Negative Responses
8.8						
8.10						
8.12						
8.13						
9.2						
9.3						
9.4						
9.7						
9.8						
10.1						
10.3						
10.4						
10.5						
10.6						
11.4						
11.5						
11.6						
11.9						
11.12						
12.7						
13.1						
13.2						
13.3						
14.2						
14.3						
14.6						
15.1						
15.2						
15.3						
15.4						
15.5						
15.9						
15.11						
15.13						
15.16						