

COR[®] AUDITOR RESOURCE GUIDE

BC Construction Safety Alliance (BCCSA)

The BC Construction Safety Alliance (BCCSA) is a not-for-profit association that provides services to its members. We're funded by the industry itself through annual assessments by WorkSafeBC. We exist to promote the safety of workers employed by our members. We deliver on that mandate by offering a range of member services that support construction and select aggregate and ready-mixed employees. Our efforts are focused on injury prevention and building or enhancing a culture of safety on construction sites.

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Purpose of this Document

The *COR® Auditor Resource Guide* is designed to support BCCSA Auditors when conducting a COR® audit. The document does not replace the *BCCSA Certificate of Recognition (COR®) OHS National Audit Document* and is not a substitute to the COR® Auditor Training courses delivered by the BCCSA.

How to use this Document

Use this resource guide in conjunction with the *BCCSA COR® OHS National Audit Document* to help with audit pre-planning, conducting the audit (DOI), and writing the audit report.

The following is a description of the contents of this document.

Audit Question

Refers to the audit question found in the most current version of the *BCCSA COR® OHS National Audit Document*.

Audit Verification Technique

Corresponds with the *BCCSA COR® OHS National Audit Document*. The three audit verification techniques covered during auditor training:

1. **D:** Documentation Review
2. **O:** Observations
3. **I:** Interviews

Type of Documentation

Two types of documentation covered during auditor training:

1. Safety Management System (**SMS**) documents (written policies & procedures).
2. Due Diligence (**DD**) records (evidence the safety management system is being followed).

Gather

The Safety Management System (SMS) documents or Due Diligence (DD) records an auditor needs access to in order to conduct an audit.

Sample

Quantity/number of documents or records (i.e., sample size) an auditor is required to select/pull for review.

Documentation Verification Method

Two methods to verify if documentation is sufficient to award a positive "Y" for the **D** verification technique:

1. **Yes/No:** usually requires an auditor to review a single document.
2. **80%:** usually requires an auditor to review multiple records. At least 80% of the records that meet the requirement must be located.

Auditor Diligence

Information an auditor needs to **verify** to justify a positive "Y" or negative "N" awarded for **DOI** verification techniques. An auditor needs to include the findings when writing auditor comments.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
1.1	D	SMS DD	Health & Safety Policy		Yes/No	Verify the company has a written Health and Safety policy. Verify the policy is signed by current senior management (use organizational chart, business card, etc. to confirm title/position). Verify the policy is dated.
1.2	D	SMS	Health & Safety Policy		Yes/No	Verify the policy includes management's commitment to provide a safe and healthy work environment.
1.3	D	SMS	Health & Safety Policy		Yes/No	Verify the policy refers to the right of workers to work in a safe and healthy work environment .
1.4	D	DD	Health & Safety Policy		Yes/No	Verify the policy is current . Verify the policy is dated within the past 12 months .
1.5	D	DD	Documents that indicate an annual Health & Safety Policy review	3 years	Yes/No	Verify an annual review has been completed and the process has been documented (e.g., management meeting minutes, JOHSC meeting minutes, etc.). Verify the annual policy reviews (for the past 3 years) included the dates of review. Note: If the company has been COR® certified for less than 3 years, provide an explanation in auditor comment, and evaluate against the number of years the company has held COR®.
1.6	O					Verify the policy is prominently posted at each worksite visited. Note: If there is no ability to post the policy, observe how it is made available to workers (e.g., employee handbook, electronically, etc.). If made available electronically only , workers must demonstrate ability to access the policy electronically.
	I (Worker)					Verify workers know where copies of the policy are located/kept. Verify worker responses match observed access to the policy (hard copy or electronically).

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1.7	D	SMS	Health & Safety Policy	→	Yes/No	Verify the policy references accountability and responsibility for health and safety for all workplace parties.
	I (OMS)				→	Verify OMS know their health and safety responsibilities outlined in the safety policy (or elsewhere documented in the safety manual). Verify OMS responses match responsibilities identified in the policy (or responsibilities outlined elsewhere).
	I (Worker)				→	Verify workers know their health and safety responsibilities outlined in the safety policy (or elsewhere documented in the safety manual). Verify worker responses match responsibilities identified in the policy (or responsibilities outlined elsewhere).
1.8	D	SMS	Health & Safety Policy	→	Yes/No	Verify the policy expresses management's commitment to work together with workers towards promoting a safe and healthy work environment.
1.9	I (OMS)				→	Verify OMS know what the purpose of the Health and Safety policy is (why the company has a policy in place, etc.).
	I (Worker)				→	Verify workers know what the policy means to them (purpose of the policy as it relates to them).
2.1	D	SMS	Formal hazard assessment process	→	80%	Verify formal hazard assessments are developed that follow the company's requirements for conducting hazard assessments. Calculate: Divide the number of formal hazard assessments developed by the number of formal hazard assessments required.
		DD	All formal hazard assessments (including project-specific, if applicable)	Most recent version(s)		Note: Formal hazard assessments are not the same as the 'ongoing' FLHAs/JHAs/ site assessments that are written on site <u>immediately</u> before the work/task begins. Do not use ongoing FLHAs/JHAs/ site assessments to evaluate this question.
	I (OMS, Worker)				→	Verify interviewees know how hazards are identified and formally assessed.

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2.2	D	DD	12 months ongoing hazard assessments	3 months	Yes/No	Verify ongoing hazard assessments are being completed at practical intervals, when a new work process is introduced, when a work process or operation has changed, or before the construction of a new worksite.
	I (OMS, Worker)					<p>Verify interviewees can describe how hazards are re-assessed as the job progresses, or procedures, operations or conditions change using the ongoing hazard assessments.</p> <p>Verify interviewee responses match the documented <u>ongoing</u> hazard assessment process.</p>
2.3	D	DD	All formal hazard assessments (including project-specific, if applicable) 12 months ongoing hazard assessments	Most recent version(s) 3 months	Yes/No	Verify appropriate parties are involved in the written formal and ongoing hazard assessment process.
	I (OMS, Worker)					<p>Verify the interviewees are involved in assessing hazards for formal and ongoing hazard assessments.</p> <p>Verify interviewee responses match who is involved in assessing hazards for formal and ongoing hazard assessment records.</p>
2.4	D	DD	All formal hazard assessments (including project-specific, if applicable) 12 months ongoing hazard assessments	Most recent version(s) 3 months	80%	<p>Verify each formal and ongoing hazard assessment identifies at least one hazard for each task listed.</p> <p>Calculate: Divide the number of formal and ongoing hazard assessments that have at least one hazard written for each task by the number of assessments sampled.</p>
2.5	D	DD	All formal hazard assessments (including project-specific, if applicable)	Most recent version(s)	80%	<p>Verify each hazard listed on the formal hazard assessment is prioritized.</p> <p>Calculate: Divide the number of hazard assessments that prioritized all hazards by the number of hazard assessments sampled.</p> <p>Note: If a sampled hazard assessment is missing prioritization of any hazard, count the assessment as a negative indicator.</p>

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2.6	D	DD	All formal hazard assessments (including project-specific, if applicable)	Most recent version(s)	Yes/No	Verify critical tasks are identified or listed through the formal hazard assessment process. Note: Identification of critical tasks can be done various ways (such as a separate list of critical tasks taken from the hazard assessments, identified directly on the hazard assessment record, colour coded, risk ranked, etc.).
2.7	D	DD	All formal hazard assessments (including project-specific, if applicable)	Most recent version(s)	80%	Verify each formal and ongoing hazard assessment identifies at least one control measure for each hazard listed. Calculate: Divide the number of formal and ongoing hazard assessments that list at least one hazard control measure for each hazard by the number of assessments sampled. Note: If a sampled hazard assessment is missing a control measure for any identified hazard, count the assessment as a negative indicator.
			12 months ongoing hazard assessments	3 months		
2.8	D	DD	12 months ongoing hazard assessments for all locations to be visited during the audit	3 months	80%	Verify timely implementation of control measures. Calculate: Divide the number of ongoing hazard assessments that have all control measures implemented in a timely manner by the number of assessments sampled. Note: If a sampled hazard assessment is missing timely implementation of any control measure, count the assessment as a negative indicator.
	O					Verify observed control measures identified in the ongoing hazard assessments are implemented in a timely manner for each workplace visited
2.9	D	DD	Formal hazard assessments (or records showing personnel have been involved or informed of control strategies)	Most recent version(s)	Yes/No	Verify appropriate personnel are involved or informed of control strategies.
			12 months ongoing hazard assessments (or records showing personnel have been involved in control strategies)	3 months		

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	I (OMS, Worker)					<p>Verify interviewees can explain how they are involved in controlling the hazards or how control measures are communicated to them.</p> <p>Verify interviewee responses match who is involved in controlling hazards or communication strategies found in records reviewed.</p>
2.10	D	SMS	Written process outlining subcontractor evaluation and monitoring		80%	<p>Verify a written process has been developed outlining how subcontractors will be evaluated and monitored by the company.</p> <p>Verify subcontractors are being evaluated and monitored according to the company's written requirements.</p> <p>Calculate: Divide the number of evaluation and monitoring records located for subcontractors by the number of records required.</p> <p>Note: Evaluation/monitoring of sub-contractors can be calculated various ways to determine percentage. (e.g., by totalling all records by all subcontractors together or by evaluating each subcontractor as one sample)</p>
		DD	12 months subcontractor records	All		
2.11	D	DD	All formal hazard assessments (including project-specific, if applicable)	Most recent version(s)	80%	<p>Verify management supports the formal and ongoing hazard assessment process.</p> <p>Calculate: Divide the number of formal and ongoing hazard assessments that include initials or signatures from management by the number sampled.</p>
			12 months ongoing hazard assessments	3 months		
	I (OMS)					<p>Verify OMS can summarize how they review, evaluate, and enforce recommendations for hazard control.</p> <p>Verify OMS responses match the records for review, evaluation, and enforcement of recommendations for hazard control.</p>
3.1	D	SMS	All Safe Work Practices (SWPs)		Yes/No	Verify the Safe Work Practices reflect the company activities.
	O					Verify the Safe Work Practices reflect the company activities observed.

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3.2	D	SMS	All Safe Work Practices (SWPs)	→	80%	Verify Safe Work Practices are written for the work activities (tasks). Calculate: Divide the number of Safe Work Practices written for observed work activities (tasks) by the number of tasks observed.
	O					Verify the observed work activities (tasks) have a written Safe Work Practice.
3.3	I (Worker)					Verify workers understand Safe Work Practices by describing some of the do's and don'ts in any written practice.
3.4	O					Verify written Safe Work Practices are observed readily available/accessible to workers at each location visited. Note: If made available electronically only , workers must demonstrate ability to access the Safe Work Practices electronically.
	I (Worker)					Verify workers can confirm Safe Work Practices are available to them when needed. Verify worker responses match the observed locations/methods to access the written Safe Work Practices.
3.5	O					Verify workers are following the Do's and Don'ts in the written Safe Work Practices while they perform their work.
	I (Worker)					Verify workers are following Safe Work Practices. Note: This might be the worker giving an example of when they used a practice applicable to them.
3.6	D	DD	12 months records showing the development and/or review of Safe Work Practices (SWPs)	All	Yes/No	Verify Safe Work Practice development and/or review included management/supervisors and workers within the past 12 months.
	I (OMS, Worker)					Verify interviewees were involved in the development and/or review of Safe Work Practices within the past 12 months. Verify interviewee responses match the records showing involvement in development and/or review of Safe Work Practices within the past 12 months

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
4.1	D	SMS	All Safe Job Procedures (SJPs)	→	Yes/No	Verify Safe Job Procedures accurately reflect the company's activities.
	I (Worker)					Verify workers know which Safe Job Procedures reflect the work they do. Verify worker responses match the written Safe Job Procedures.
4.2	D	SMS	All critical Safe Job Procedures (SJPs)	→	Yes/No	Verify ALL critical tasks (e.g., Confined Space, Occupational Exposure, Working at Heights, Asbestos, etc.) have a written Safe Job Procedure. Note: Refer to the hazard assessments for critical tasks. If there are no critical tasks, use the highest risk-ranked tasks to answer this question.
	O					Verify observed critical tasks have a written Safe Job Procedure.
4.3	I (Worker)					Verify workers understand Safe Job Procedures by providing some of the steps in any written procedure.
4.4	O					Verify workers are following the step-by-step instructions in the written Safe Job Procedure while they perform their work.
	I (Worker)					Verify workers are following Safe Job Procedures. Note: This might be the worker giving an example of when they used a procedure applicable to them.
4.5	O					Verify written Safe Job Procedures are observed readily available/accessible to workers at each location visited. Note: If made available electronically only , workers must demonstrate ability to access the Safe Job Procedures electronically.
	I (Worker)					Verify workers can confirm Safe Job Procedures are available to them when needed. Verify worker responses match the observed locations/methods to access the written Safe Job Procedures.

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4.6	D	DD	12 months records showing the development and/or review of Safe Job Procedures (SJPs)	All	Yes/No	Verify Safe Job Procedure development and/or review included management/supervisors and workers within the past 12 months.
	I (OMS, Worker)					Verify interviewees were involved in the development and/or review of Safe Job Procedures within the past 12 months.
5.1	D	SMS	Company rules		Yes/No	Verify the company rules are written and understood by the auditor.
5.2	O					Verify the rules are prominently posted in high-traffic areas at each location visited. Note: If there is no ability to post the company rules, observe how they are made available to workers (e.g., employee handbook, electronically, etc.). If made available electronically only , workers must demonstrate ability to access the rules.
	I (OMS, Worker)					Verify interviewees know where the rules are posted or how they are made available.
					Verify interviewee responses match the observed locations of the rules/how the rules are made available.	
5.3	I (Worker)					Verify workers know the company rules.
						Verify worker responses match the written rules.
5.4	D	SMS	Disciplinary Policy or procedure		Yes/No	Verify the company has a policy or procedure that outlines progressive disciplinary actions.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
5.5	D	DD	12 months disciplinary records	All	Yes/No	<p>Verify the disciplinary process has been used consistently with all employees.</p> <p>Determine when company rules were not followed and required a disciplinary report to be written. This could be found in statistical reports, safety meeting minutes, investigation report findings, etc.</p> <p>Note: If the Auditor has reviewed all safety meeting minutes, incident reports, supervisor logs, stats, etc. and determined there were no instances when disciplinary action was required per the company's disciplinary process, award "Y" and provide an explanation in the auditor comment.</p>
	I (OMS)					<p>Verify OMS understand how the rules are enforced through the progressive disciplinary steps.</p> <p>Verify OMS responses match the written disciplinary steps for enforcement.</p>
	I (Worker)					<p>Verify workers understand the progressive disciplinary steps if the rules are broken.</p> <p>Verify workers responses match the written disciplinary steps</p>
6.1	D	SMS	PPE Policy		Yes/No	<p>Verify the company has a PPE policy that refers to basic and specialized PPE.</p> <p>Quote the statement in the policy that refers to basic and specialized PPE.</p>
6.2	D	DD	Records showing communication of PPE requirements	25% of employees from all company levels/positions	80%	<p>Verify workers are made aware of PPE requirements.</p> <p>Calculate: Divide the number of workers who were made aware of PPE requirements by the number of workers sampled.</p>
	I (Worker)					<p>Verify workers are made aware of their PPE requirements for their job.</p>
6.3	O					<p>Verify basic PPE is accessible to workers at each location visited.</p>
	I (Worker)					<p>Verify workers know how to obtain basic PPE when needed.</p> <p>Verify worker responses match the observed locations of basic PPE.</p>

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
6.4	O					Verify specialized PPE is made available when required at each of the locations visited.
	I (OMS)					Verify OMS know who provides specialized PPE to workers when needed. Verify OMS responses match the observed locations of specialized PPE.
	I (Worker)					Verify workers know how to obtain specialized PPE when needed. Verify worker responses match the observed locations of specialized PPE.
6.5	O					Verify all employees are using correct PPE for the tasks being performed at each location visited.
6.6	D	SMS	Documentation, procedures, instructions, or other written information containing proper fit, care, use of specialized PPE		80%	Verify proper fit, care and use instructions/ procedures have been written for each type of specialized PPE. E.g., 4 types of specialized PPE (hearing, glasses, fall protection, respiratory) x 3 topics (fit, care, use) = 12 instruction topics. Calculate: Divide the number of specialized PPE topics written by the number of topics required.
6.7	D	DD	All PPE training records	25% of employees from all company levels/positions	80%	Verify training is provided to employees in the use of all required basic and specialized PPE. Calculate: Divide the number of employees who were given instruction or training in the use of all required basic and specialized PPE by the number of employees sampled. Note: Each employee is evaluated separately to determine if they have received all required basic and specialized PPE training. If one type of training was missing, count that employee's training as a negative indicator.
	I (OMS)					Verify the company provides training in the use of all required basic and specialized PPE. Verify OMS responses match the basic and specialized PPE training requirements.
	I (Worker)					Verify workers are provided training in all required basic and specialized PPE. Verify worker responses match their basic and specialized PPE training records.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
6.8	D	SMS	Criteria used to select all required PPE		Yes/No	Verify criteria is used to select all required basic and specialized PPE (e.g., hazard assessments, Safety Data Sheets, Safe Work Practices, Safe Job Procedures, policy requirements, legislation, etc.).
	I (OMS)					Verify OMS knows how proper PPE is selected for specific jobs. Verify OMS responses match the documented selection criteria for basic and specialized PPE.
6.9	D	SMS	Information on inspection and maintenance requirements of all basic and specialized PPE		80%	Verify written requirements to regularly inspect and maintain basic and specialized PPE are developed. Verify basic and specialized PPE is inspected and maintained according to the company's policy, regulations, and manufacturer's specifications. Calculate: Divide the number of PPE inspection and maintenance records completed by the number sampled.
		DD	12 months inspection and maintenance records of basic and specialized PPE	3 months		
7.1	D	DD	Preventative Maintenance Inventory		Yes/No	Verify there is an inventory of items that require maintenance. Include facilities, tools, equipment, and vehicles. Examples include trailers, aerial work platforms, cranes, concrete pumps, power tools, office equipment, etc.
7.2	D	SMS	Manufacturer and regulatory standards		80%	Verify manufacturer and/or regulatory standards are identified for known facilities, tools, equipment, and vehicles found within the preventative maintenance program. Verify the sampled records of inventoried items meet the maintenance requirements found in manufacturer and regulatory standards. Calculate: Divide the number of preventative maintenance records that met manufacturer and regulatory standards by the number of records sampled. Note: Maintenance requirements might be found in: <ul style="list-style-type: none"> • Owner's Manuals • Manufacturer's Specs • Legislative requirements • CSA Standards • Company Safety Manual
		DD	12 months preventative maintenance records of facilities, tools, equipment, and vehicles	Representative sample		
	I (OMS)					Verify OMS know how maintenance is meeting regulatory and/or manufacturer's standards. Verify OMS responses match the company's system for preventative maintenance.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
7.3	D	SMS	Schedules outlining preventative maintenance requirements for facilities, tools, equipment, vehicles, etc.		80%	Verify schedules for maintenance and checklists are established for facilities, tools, equipment, vehicles, and items found in the preventative maintenance inventory list.
		DD	12 months of facilities, tools, equipment, and vehicle checklists	Representative sample		Verify facilities, tools, equipment, and vehicle checklists are being completed according to the schedules. Calculate: Divide the number of checklists that met the schedule requirements by the number of records sampled.
7.4	D	DD	12 months inspection reports, logbooks, maintenance records from facilities, tools, equipment, and vehicles	Representative sample	80%	Verify the deficiencies found in inspections reports, logbooks, maintenance records, etc. for inventoried items are recorded and corrective actions are completed and documented. Calculate: Divide the number of corrective actions completed and documented by the number of deficiencies identified.
7.5	D	SMS	Policy or procedure for removal of defective tools, equipment, and vehicles from service		Yes/No	Verify a policy or procedure is developed (for tools, machines or equipment deemed unsafe for use) that meets the requirements of OHS Regulation 4.3(3).
	I (OMS)					Verify OMS know the process for removing defective tools, equipment, and vehicles from service. Verify OMS responses match the documented process for removing defective tools, equipment, and vehicles from service.
	I (Worker)					Verify workers know the process for removing defective tools, equipment, and vehicles from service. Verify worker responses match the documented process for removing defective tools, equipment, and vehicles from service.
7.6	O					Verify the written process for removing defective tools, equipment, and vehicles from service is followed at each location visited.
	I (Worker)					Verify workers can confirm the system is being followed for removal of defective tools, equipment, or vehicles from service. Verify worker responses match the observed system for removing defective tools, equipment, or vehicles from service.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
7.7	D	DD	In-house competency/qualification records of persons who perform inspection and maintenance	All	80%	<p>Verify in-house maintenance personnel performing inspections and maintenance are competent and qualified.</p> <p>Calculate: Divide the number of in-house maintenance personnel who are qualified and competent by the number of in-house maintenance personnel.</p> <p>Note: Where certified third-party service providers are used, indicate this in auditor comment. Third party service providers/facilities must also be deemed competent and qualified to perform inspections and maintenance.</p>
	I (OMS)					<p>Verify OMS know the qualified and competent individuals who perform preventative maintenance inspections and maintenance.</p> <p>Verify OMS responses match the documentation showing individuals are qualified and competent.</p>
8.1	D	SMS	Documented orientation program		Yes/No	<p>Verify a formal orientation program exists for young or new workers that meets the requirements of OHS Regulation 3.22, 3.23(1), 3.24, and 3.25.</p>
8.2	D	DD	Orientation records	All new employees from past 12 months or 25% of employees (whichever is greater)	80%	<p>Verify an orientation is provided to new employees.</p> <p>Calculate: Divide the number of new employees who received a new employee orientation by the number of records sampled.</p>
	I (OMS)					<p>Verify OMS can confirm orientations are mandatory for new employees before starting work.</p> <p>Verify OMS responses match the mandatory orientation requirements.</p>
	I (Worker)					<p>Verify workers received a new-hire orientation when they started work or when the program was implemented.</p> <p>Verify worker responses match their orientation records.</p>
8.3	D	SMS	Blank orientation form		Yes/No	<p>Verify the orientation form includes all items found in OHS Regulation 3.23(2).</p> <p>Note: Orientation form may be hard copy or digital.</p>

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8.4	D	DD	Orientation records	All new employees from past 12 months or 25% of employees (whichever is greater)	80%	<p>Verify an orientation is provided by the employer and is signed by both the new employee and person who conducted the orientation.</p> <p>Calculate: Divide the number of orientation records that included both signatures by the number of orientation records sampled.</p> <p>Note: Signature may be written, digital, or other means that confirms orientation has been provided by the company and received by the new employee.</p>
8.5	D	SMS	Information on mandatory training requirements		80%	<p>Verify mandatory training requirements are identified for each employee or position.</p> <p>Verify the identified mandatory training is provided to employees.</p> <p>Calculate: Divide the number of mandatory training completed by the number of mandatory training required.</p>
		DD	All mandatory training records	25% of employees from all company levels/positions		
	I (OMS)					<p>Verify mandatory training is provided to employees before starting work.</p> <p>Verify OMS responses match the documented mandatory training requirements for employees.</p>
	I (Worker)					<p>Verify workers can list some mandatory training provided to them before starting work.</p> <p>Verify worker responses match their mandatory training requirements.</p>
8.6	D	DD	Personnel files, training files, electronic matrix, other means of maintaining training records		Yes/No	<p>Verify the company has a method in place for maintaining employee training records.</p>

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8.7	D	SMS	Information on job specific training requirements		80%	Verify job-specific training requirements are identified for each employee or position.
		DD	Job-specific training records	25% of employees from all company levels/positions		Verify employees receive required job-specific training and it is documented. Calculate: Divide the number of job-specific training records documented by the number required.
	I (OMS)					Verify workers receive job-specific training
8.8	D	DD	Competency records/ qualifications of trainers	All	80%	Verify job-specific trainers are deemed competent and are qualified to provide the training. Calculate: Divide the number of deemed competent and qualified job-specific trainers by the number of trainers. Note: Where third-party training providers are used, indicate this in auditor comment. Third-party training providers must also be deemed competent and qualified to provide the training.
8.9	D	DD	All Supervisor training records in workplace inspections and health and safety responsibilities	All	80%	Verify Supervisors receive training in workplace inspections and health and safety roles and responsibilities. Verify the training material content includes: <ul style="list-style-type: none"> Information on inspections (types of, inspection model, roles and responsibilities, training, legislated inspection requirements, etc.) Supervisor health and safety roles and responsibilities (obligations, legislative requirements, etc.) A method that confirms an understanding/retention of information received (quiz, graded activities, assignments, etc.) Calculate: Divide the number of Supervisors who received training by the number of Supervisors employed by the company.
	I (OMS)					Verify management provides support/resources to train Supervisors in workplace inspections and health and safety responsibilities. Verify OMS responses match the documented training provided to Supervisors in workplace inspections and health and safety responsibilities.

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8.10	D	SMS	Information on measuring knowledge/competency		Yes/No	Verify training includes method(s) to measure knowledge/competency (e.g., quizzes, practical assessments, competency checklists, etc.).
		DD	Methods to measure knowledge/competency for in-house and third-party training	25% of employees from all company levels/positions		
	I (OMS)					Verify a system is in place to measure knowledge and competency. Verify OMS responses match the system that is in place to measure knowledge and competency.
8.11	D	SMS	Information on required health and safety meetings and their frequencies		80%	Verify the company has established a list of required meetings (with frequency schedule). Verify health and safety meetings are held according to the established frequency requirements. Calculate: Divide the number of documented health and safety meeting records found by the number of health and safety meeting records required by the schedule. Note: Do not use JOHS committee meetings, or meetings such as toolbox, tailgate, morning meetings, or crew talks, to evaluate this question.
		DD	12 months health and safety meeting records (management, general, monthly)	3 months		
	I (OMS)					Verify the company holds health and safety meetings. Verify OMS responses match the company's health and safety meeting requirements.
	I (Worker)					Verify workers can confirm when they last attended a scheduled company health and safety meeting. Verify worker responses match the last documented health and safety meeting.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
8.12	D	DD	12 months health and safety meeting records (management, general, monthly)	3 months	80%	<p>Verify senior management (or accountable company designate) attends and participates in the health and safety meetings.</p> <p>Calculate: Divide the number senior management (or accountable designate) with proven attendance and participation in the health and safety meetings by the number required to attend/participate.</p>
	I (OMS)					<p>Verify OMS confirm they attend scheduled health and safety meetings.</p> <p>Verify OMS responses match the health and safety meeting attendance records by senior management.</p>
	I (Worker)					<p>Verify workers can confirm senior management attend or participate in health and safety meetings.</p> <p>Verify worker responses match the health and safety meeting attendance records by senior management.</p>
8.13	D	DD	12 months health and safety meeting records (management, general, monthly)	3 months	80%	<p>Verify meeting agendas are prepared.</p> <p>Verify meeting minutes and attendance are documented.</p> <p>Calculate: Divide the number of meeting records that followed an agenda, documented the minutes, and kept attendance by the required number of meeting records required.</p>
8.14	D	DD	12 months health and safety meeting records (management, general, monthly)	3 months	80%	<p>Verify two-way communication exists for bringing forward concerns (by the employer and workers).</p> <p>Calculate: Divide the number of meeting records that included two-way communication by the number of meeting records reviewed.</p>
	I (OMS)					<p>Verify OMS confirm how workers are given the opportunity to present their concerns.</p> <p>Verify OMS responses match the meeting minutes showing documented two-way communication and concerns being brought forward by workers.</p>
	I (Worker)					<p>Verify workers can confirm how they are given the opportunity to present their concerns/ comments/suggestions through two-way communication.</p> <p>Verify worker responses match the meeting minutes showing documented two-way communication and concerns are being brought forward.</p>

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
8.15	D	SMS	Information on required tailgate, toolbox, morning meetings, crew talks, etc. and frequencies		80%	<p>Verify the company has established a requirement and frequency schedule for tailgate, toolbox, morning meetings, and crew talks not addressed in question 8.11.</p> <p>Verify tailgate, toolbox, morning meetings, crew talks are being held and meet the frequency requirements.</p> <p>Calculate: Divide the number of tailgate, toolbox, morning meetings, and crew talks held by the number of meetings required.</p> <p>Note: Do not use JOHS meetings or health and safety meetings from Question 8.11 to evaluate this question.</p>
		DD	12 months records of tailgate, toolbox, morning meetings, crew talks, or other informal meetings	3 months		
9.1	D	SMS	Inspection Policy		Yes/No	Verify the company has an inspection policy that covers worksites, projects, office, shop/warehouse, areas, etc.
9.2	D	SMS	Inspection Policy		Yes/No	Verify the inspection policy includes frequencies for the inspections identified.
9.3	D	DD	12 months inspection records (sites, office, shop)	3 months sites 6 months shop 12 months office	80%	<p>Verify inspections are completed according to the frequency requirements.</p> <p>Calculate: Divide the number of inspections completed by the number of inspections required.</p>
9.4	D	SMS	Blank inspection form(s)		Yes/No	Verify inspection form(s) are available for all inspections identified in the inspection policy
9.5	D	SMS	Information on Supervisor inspections and frequency requirements		80%	<p>Verify Supervisor inspection requirements (types of inspections and frequencies) are identified.</p> <p>Verify Supervisor inspections are completed according to the company's inspection and frequency requirements.</p> <p>Calculate: Divide the number of Supervisor inspections completed by the number of Supervisor inspections required.</p>
		DD	12 months Supervisor inspection records	3 months for each Supervisor		
	I (OMS)					<p>Verify OMS can confirm they are performing inspections as required.</p> <p>Verify OMS responses match the documented inspection requirements for supervisors.</p>

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
9.6	D	SMS	Information on the inspections (and frequency) that require worker participation		80%	Verify inspections are completed with the participation of workers (such as JOHS worker members or WHS representative, other workers), according to the participation requirements. Calculate: Divide the number of inspections (with worker participation) completed by the number of inspections requiring worker participation.
		DD	12 months inspection records all areas	3 months		
	I (Worker)					Verify workers can confirm they or other workers are involved in performing inspections. Verify worker responses match the documented inspection requirements for workers.
9.7	D	SMS	Information on areas requiring inspection		80%	Verify all areas requiring inspection are identified. Verify inspections are completed according to the identified area requirements Calculate: Divide the number of areas of inspection completed by the number of areas required to be inspected.
		DD	12 months inspection records all areas	3 months		
9.8	D	DD	12 months inspection records	3 months	80%	Verify the established timelines for correcting deficiencies have been met. Calculate: Divide the number of inspection records that met the timelines for correction by the number of inspection records that showed deficiencies. Note: Count each inspection as one (1) record sample even if multiple deficiencies were identified.
	I (OMS, Worker)					Verify deficiencies are being corrected in a timely manner. Verify interviewee responses match the completed inspection reports showing timely implementation of corrective actions.
9.9	D	SMS	Written process for senior management's involvement in the inspection process		80%	Verify senior management's (or an accountable company designate) review or participation in inspections. Calculate: Divide the number of inspection reports that showed review or participation from senior management by the number of inspection reports reviewed.
		DD	12 months inspection records all areas	3 months for each senior management position		
	I (OMS)					Verify senior management review and participate in the inspection process. Verify OMS responses match the inspection review and involvement requirements.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
9.10	O					Verify inspection reports are posted. Note: If there is no ability to post the inspection reports, verify inspection reports are distributed or otherwise communicated to employees. Have employees show how the inspection reports are made available to them.
	I (OMS)					Verify how inspection results are communicated to workers. Verify OMS responses match the method of communicating the inspection results to workers.
	I (Worker)					Verify how workers are informed of inspection results (posted and/or communicated). Verify workers can confirm the method of posting and/or communicating the inspection results to them.
10.1	D	SMS	Investigation Policy Reporting procedure		Yes/No	Verify the company has an investigation policy and reporting procedure that meets the requirements of OHS Regulation 3.3(f) and Workers Compensation Act - Part 2 Division 10 Sections 68 and 69. Note: The company's investigation policy and reporting procedure can be combined or separated but must clearly address investigations and reporting procedure.
10.2	D	DD	12 months investigation reports	All	80%	Verify investigations are completed according to the company's investigation policy or procedure. Calculate: Divide the number of completed investigation reports by the number of investigation reports required according to the policy or procedure.
	I (OMS)					Verify serious or potentially serious incidents are being investigated. Verify OMS responses match the documented policy for investigating serious or potentially serious incidents.
	I (Worker)					Verify incidents are being investigated. Verify worker responses match the documented method for investigating incidents.
10.3	D	SMS	Blank investigation form(s)	All	80%	Verify form(s) exist for the types of incidents that require investigating, according to the policy.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
10.4	I (Worker)					Verify workers can confirm the process for reporting incidents, accidents and near misses and list the steps.
						Verify worker responses match the steps for reporting incidents, accidents and near misses.
10.5	D	DD	All Supervisor training records in investigations and reporting procedures	All	80%	Verify supervisors receive training in investigations and reporting procedures. Verify the training content includes: <ul style="list-style-type: none"> reporting requirements supervisor roles and responsibilities for conducting investigations (obligations, legislative requirements, etc.) information on investigation process and follow up a method that confirms understanding/retention of information received (quiz, graded activities, assignments, etc.) Calculate: Divide the number of supervisors who received training by the number of supervisors employed by the company.
	I (OMS)					Verify Supervisors are trained in investigations and reporting procedures. Verify OMS responses match the documented training requirements for Supervisors in investigations and reporting procedures.
10.6	D	SMS	Information on required employee involvement in investigations.		80%	Verify required parties are involved in investigations as per company policy and legislation. Calculate: Divide the number of investigation reports with the required employee involvement by the total number of investigation reports.
		DD	12 months investigation reports.	All		

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
10.7	D	DD	12 months near miss reports	All	Yes/No	Verify near misses are being reported and Near Miss Reports are being completed (i.e., the company has a reasonable number of documented Near Miss records based on the nature of the company's work, consistent with other recorded findings such as investigation reports, meeting agenda topics, stats, summaries, etc.).
	I (OMS)					Verify no-loss/near miss incidents are being recorded. Verify OMS responses match the requirements for recording no-loss/near miss incidents.
	I (Worker)					Verify workers can confirm they are reporting no-loss/near miss incidents. Verify worker responses match the requirements for reporting near misses.
10.8	D	DD	12 months investigation reports	All	80%	Verify the recommendations for corrective action have been implemented in a timely manner . Calculate: Divide the number of corrective actions completed in a timely manner by the number of corrective actions identified. Note: <i>Timely manner is measured by 'reasonably practicable' timeframes based on corrective action(s) required (order timeframe for items, complexity of implementation, etc.).</i>
	I (OMS)					Verify OMS can confirm recommendations are being implemented in a timely manner. Verify OMS responses match the records showing corrective actions are being implemented in a timely manner.
	I (Worker)					Verify workers can confirm changes or improvements are being implemented in a timely manner. Verify worker responses match the records showing corrective actions are being implemented in a timely manner.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
10.9	I (OMS)					Verify corrective actions are communicated to workers.
						Verify OMS responses match the records showing investigation corrective actions are being communicated to workers.
	I (Worker)					Verify workers can confirm how they are made aware of corrective actions/how corrective actions are being communicated.
						Verify worker responses match the records showing corrective actions are being communicated to them
10.10	D	DD	12 months investigation reports	All	80%	<p>Verify senior management (or an accountable company designate) are involved, review, and/or sign completed investigation reports to show they are part of the investigation process.</p> <p>Calculate: Divide the number of investigation reports that included senior management involvement by the number of completed reports.</p>
11.1	D	SMS	Emergency Preparedness Risk Assessments (include office/shop)			Verify a formal Emergency Preparedness Risk Assessment has been developed for each worksite.
						Verify the company's Emergency Preparedness Plans match the Emergency Preparedness Risk Assessments.
	DD		12 months Emergency Preparedness Plans	All		Calculation: Divide the number of Emergency Preparedness Plans developed (per the Risk Assessments) by the number of plans required.
					80%	<p>Note: Where scope of activities is the same (e.g., service trucks that conduct the same tasks), activities can be covered under one Emergency Preparedness Risk Assessment.</p>
	O					Verify the observed activities match the emergency scenarios identified in the Emergency Preparedness Risk Assessments.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
11.2	D	SMS	Information on emergency response training requirements		80%	Verify the plan includes a requirement for training in emergency procedures, roles, and responsibilities.
		DD	All Emergency Preparedness Plan training records	25% of employees from all company levels/positions		Verify training in emergency procedures, roles, and responsibilities is provided to employees according to the training requirements (e.g., high angle rescue, confined space, fire extinguisher training, etc.). Calculate: Divide the number of employees who were provided training in emergency procedures, roles, and responsibilities by the number of employees in the sample.
	I (OMS)					Verify workers know their roles and responsibilities in an emergency.
						Verify OMS responses match the records showing emergency response plan training.
	I (Worker)					Verify workers know their responsibilities in an emergency.
						Verify worker responses match the records showing emergency response plan training.
11.3	D	DD	12 months Emergency Drill records	All	80%	Verify annual mock drills are conducted for emergency scenarios and results are documented. Calculate: Divide the number of mock drills which included documented results by the number of drill records from the past 12 months. Note: Drill records must be complete and include information/findings on deficiencies and corrective actions. If no deficiencies have been identified, drill report must indicate no deficiencies were found.
11.4	D	SMS	Fire response plans		Yes/No	Verify fire response plans are developed for each worksite (including office/shop). Verify the following are included in the plan: <ul style="list-style-type: none"> types of fire extinguishers locations of fire extinguishers locations of communication devices
11.5	O					Verify sampled fire extinguishers for each worksite (including office/shop) are: <ul style="list-style-type: none"> the correct size the correct class marked (e.g., a wall decal, floor markings, etc.) available visible

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
11.6	D	DD	12 months fire extinguisher inspection records/ maintenance tags (monthly, yearly)	All	80%	<p>Verify documentation for fire extinguishers show they are being inspected monthly and maintained annually.</p> <p>Calculate: Divide the number of fire extinguisher records that show monthly inspections and annual maintenance by the number sampled.</p> <p>Note: If any tags/records missed a monthly or annual inspection, count that unit as a negative indicator.</p>
	O					Verify the sampled fire extinguishers are being inspected regularly (monthly and annually).
11.7	O					Verify access to emergency communication devices are adequate and made readily available.
	I (OMS)					<p>Verify OMS can confirm how they get assistance if an emergency occurs at their workplace.</p> <p>Verify OMS responses match the observed emergency communication devices located at the workplace.</p>
	I (Worker)					<p>Verify workers can confirm how they call for assistance if an emergency occurs at their workplace.</p> <p>Verify worker responses match the observed emergency communication devices located at the workplace.</p>
11.8	O					Verify first aid supplies and facilities meet the First Aid Assessment for each worksite in accordance with the minimum requirements of OHS Regulation 3.16.
11.9	O					<p>Verify the level and number of first aid attendants meet the requirements of the First Aid Assessments.</p> <p>Verify first aid personnel are identifiable (e.g., decal on hard hat, certificates posted on safety board, etc.).</p>
	I (OMS)					Verify OMS can confirm the required first aiders are on site.
	I (Worker)					<p>Verify workers can confirm who the first aiders are on site.</p> <p>Verify worker responses match the observed first aiders on site.</p>

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
11.10	O					Verify there is a means of transporting an injured employee to a medical facility.
	I (OMS)					Verify OMS can confirm how an injured individual would be transported to a medical facility. Verify OMS responses match the observed mode of transportation on site for transporting an injured employee to a medical facility.
12.1	D	SMS	Personnel files, training files, program records, inspections, meeting minutes, preventative maintenance records, incident reports, stats, audit reports, etc		Yes/No	Verify health and safety program documentation and records are organized and managed.
12.2	D	SMS	Information on safety summary requirements and frequency for maintaining summaries		80%	Verify safety summaries are developed and maintained according to the types and frequency requirements identified. Calculate: Divide the number of safety summaries that were developed and maintained by the number required.
		DD	12 months health and safety activity summaries	All		
12.3	D	SMS	Information on health and safety statistical report requirements		80%	Verify health and safety statistical reports are generated on an ongoing basis. Verify health and safety statistical reports are made available and reviewed at management or committee meetings. Calculate: Divide the number of health and safety statistical reports made available and reviewed at management or committee meetings by the number of meetings held. Note: Count all statistical reports that are generated for each reporting period just once .
		DD	12 months health and safety statistical reports	All		
12.4	D	DD	Year-to-year safety performance records	3 years	Yes/No	Verify safety performance is being compared year-to-year. Note: If the company has been COR® Certified for less than 3 years, provide an explanation in auditor comment, and evaluate against the number of years the company has held COR®.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
12.5	D	SMS	Information on identifying needs/trends requirements		Yes/No	Verify annual statistics are analyzed for needs/trends according to the company's process. Note: If the company has less than 1 year to analyze, use monthly, quarterly, etc. stats to identify needs/trends.
		DD	Documented analyses of annual statistics	3 years		
12.6	D	SMS	Policy or documented first aid information/requirements	All	80%	Verify a policy or document has been developed that identifies the requirements to keep adequate first aid records as per OHS Regulation 3.19. Verify first aid records have been maintained according to the requirements found in OHS Regulation 3.19. Calculate: Divide the number of first aid records kept by the number required to be kept according to OHS Regulation 3.19. Note: A review of investigation or other reports may be needed to determine how many first aid reports were required.
		DD	12 months First Aid treatment records			
12.7	D	DD	Corrective Action Plan		Yes/No	Verify a corrective action plan has been developed from the most recent audit.
12.8	D	DD	Corrective Action Plan		80%	Verify the corrective action plan items have been implemented. Calculate: Divide the number of action items corrected by the number of items identified in the Corrective Action Plan.
	I (OMS)					Verify the previous corrective action plan has been communicated. Verify OMS responses match how the corrective action plan was communicated
13.1	O					Verify applicable legislation is readily available. Verify a notice identifying the location of the applicable publications has been posted.
	I (Worker)					Verify workers can confirm where OHS Regulation and other relevant legislation are located on site. Verify worker responses match the observed locations.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
13.2	I (OMS)					Verify OMS regularly refer to relevant legislation as part of job planning.
13.3	I (OMS)					Verify how OMS make workers aware of their legislated rights and responsibilities per Workers Compensation Act - Part 2 Division 4 Sections 21 and 23. Verify OMS responses match the method in which employees are made aware of their legislative rights and responsibilities.
	I (Worker)					Verify workers know their legislated rights and responsibilities per Workers Compensation Act - Part 2 Division 4 Section 22. Verify worker responses match the rights and responsibilities found in legislation.
13.4	I (OMS)					Verify OMS know the regulatory reporting requirements of incidents that must be reported to WorkSafeBC as per Workers Compensation Act Section 68. Verify OMS responses match the reporting requirements found in the Workers Compensation Act Section 68.
14.1	I (OMS, Worker)					Verify interviewees can identify the company's JOHS committee or worker representatives. Verify interviewees can confirm how to contact them. Verify interviewee responses match the JOHS committee or worker representatives and methods for contacting them.
14.2	D	SMS	Terms of Reference (Rules of Procedure) for JOHS Committee		Yes/No	Verify the Terms of Reference (Rules of Procedure) is developed and includes requirements of Workers Compensation Act Section 37.

AUDIT QUESTION #	AUDIT VERIFICATION TECHNIQUE	TYPE OF DOCUMENTATION	GATHER	SAMPLE	DOCUMENTATION VERIFICATION METHOD	AUDITOR DILIGENCE
14.3	D	DD	All JOHS Training records	JOHS members or WHS reps from past 12 months	80%	<p>Verify JOHS members or WHS representative received required training.</p> <p>Verify the training material content includes:</p> <ul style="list-style-type: none"> • course information • reference materials • a method that confirms an understanding/retention of information received (quiz, graded activities, assignments, etc.). <p>Calculate: Divide the number of JOHS committee members and worker representative(s) from the past 12 months who have received training by the number required.</p> <p>Reference: OHS Regulation 3.27</p>
14.4	D	DD	Terms of Reference (Rules of Procedure) for JOHS Committee	All	Yes/No	<p>Verify JOHS committee members or worker reps follow their duties outlined in the Terms of Reference (Rules of Procedure).</p> <p>Reference: Workers Compensation Act, Section 36.</p>
	I (OMS, Worker)					<p>Verify interviewees can confirm what the JOHS committee or worker representative(s) does.</p> <p>Verify interviewee responses match the JOHS committee functions identified in the Terms of Reference (ToR).</p>
14.5	D	DD	12 months inspection records, incident investigation records, resolution of safety issues records		Yes/No	<p>Verify the JOHS committee members or worker reps are involved in inspections, incident investigations, and the resolution of safety issues.</p>
	I (OMS, Worker)					<p>Verify participation in inspections, incident investigations or the resolution of safety issues.</p> <p>Verify interviewee responses match the completed inspection records, incident investigation reports, or records showing resolution of safety issues.</p>