

COR[®] Internal Auditor Training

COR® INTERNAL AUDITOR TRAINING

BC Construction Safety Alliance (BCCSA)

The BCCSA is an association fully funded by its member companies. The BCCSA's mission is to work in partnership with WorkSafeBC, to promote a positive occupational health and safety culture for the construction industry by providing programs and services where employers work together to reduce the human and financial impacts associated with workplace incidents.

Disclaimer

This manual is intended for general informational purposes and may not apply to all situations. It is not a comprehensive guide to government regulations or safety practices and does not absolve individuals or organizations from their responsibilities under applicable legislation. The BCCSA does not guarantee the accuracy of the information provided and assumes no liability for any consequences arising from its use.

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INTRODUCTION

The BC Construction Safety Alliance (BCCSA) is a not-for-profit organization funded by British Columbia's construction industry.

Certificate of Recognition (COR®)

COR® is an occupational safety and health accreditation program that verifies a fully implemented safety and health management system which meets national standards. The objectives of COR® are to provide industry employers with effective tools to develop, implement, assess, and promote continuous improvement of their safety and health management system to prevent or mitigate incidents and injuries, as well as their associated human and financial costs.

COR® is nationally registered, trademarked and endorsed by the Canadian Federation of Construction Safety Associations (CFCSA). COR® is delivered through member associations that have a formal Memorandum of Understanding to serve as the Authority Having Jurisdiction to recognize COR® in their respective province/territory.

The COR® Program is a voluntary employer certification program intended to motivate employers to take a proactive role in occupational health and safety. COR® certification is issued by WorkSafeBC to an employer who has successfully implemented an effective occupational health and safety management system ("OHSMS") and has passed a certification audit. The program is delivered through Certifying Partners. BCCSA is the COR® Certifying Partner for employers in the BC construction industry.

Eligibility

Companies in the construction sector, as well as select aggregate and ready-mix Classification Units (CU), are automatically eligible to participate in BCCSA's COR® program. These include:

- Construction, all CUs 721xxx, 722xxx, 723xxx
- Primary Resources (Aggregate Producers), CU 704008
- Manufacturing (Ready-Mix Concrete), CU 712033

Note: Companies outside of the construction industry interested in pursuing a BCCSA COR® may submit a COR® application for review. Participation will be subject to approval by WorkSafeBC on a case-by-case basis.

Benefits of COR®

COR® Certification makes a strong public statement about your company's commitment to protecting the well-being of workers and maintaining a culture of safety.

Employers who achieve and maintain COR® may be eligible to receive up to 10% in annual incentive payments from WorkSafeBC.

Over time, with reduced injuries and lower claim costs, a COR® company's experience-rated WorkSafeBC premiums will reflect additional savings.

Many general contractors require subcontractors to have a recognized safety program in place as a prequalification to bid on projects. COR® meets that requirement.

COR® IA COURSE PREPARATION

To maximize the learning outcomes for internal auditor course participants, there are certain prerequisites and pre-work that must be completed prior to training. These include:

- Taking and successfully completing the Principles of Health and Safety Management (PHSM) online course
- Downloading and reviewing the COR® National Audit Document, specifically the instructions portion of the document
- Reading the definitions included in the COR® National Audit Document
- Downloading and reviewing the COR® Auditor Resource Guide

Getting Started

The process of auditing can be complex, but the keys to success are following the audit instructions carefully and completing all the steps in the correct order. This information is clearly presented in the COR® resources and materials. Internal auditors have unlimited access to the BCCSA website for reference during the course. If it has been some time since completing the course pre-work, it is expected that you will download the most current versions of the documents.

Course Outline

The BCCSA COR® Internal Auditor Training course teaches skills to conduct objective and consistent audits.

The course is divided into the following modules, mirroring the progression of events during an actual audit by a BCCSA-qualified COR® internal auditor:

1. Audit Verification Techniques
2. Gathering and Analyzing Data
3. Writing Comments
4. Audit Administration
5. In-Class Case Study
6. Post-Audit Activities
7. Audit Quality Assurance
8. Student Audit Assignment

Learning Outcomes

When you complete the two-day course, you will be able to:

- Identify and confirm the purpose and scope of auditing and the roles and responsibilities of a COR® internal auditor. This includes reviewing and signing a Terms of Participation.
- Use the principles of auditing, including resources and preplanning.
- Use auditing resources and begin the audit process, including steps in conducting a Pre-Audit Meeting.
- Apply knowledge and skills for Documentation Review, Observations, and Interviews.
- Write accurate, complete, and sound auditor comments to address the Audit Document Questions, Guidelines, and Directives.
- Write precise and evidence-supported recommendations for the Executive Summary report.
- Explain the process of conducting a Post-Audit Meeting.
- Explain what is involved in producing a Corrective Action Plan (CAP).
- Use auditing skills and knowledge in a practice audit case study.
- Explain the process for submitting the COR® National Audit Document for a quality assurance review.
- Organize, schedule, conduct, and submit a Student Audit Assignment.

COR® National Audit Document

The COR® OHS National Audit Document is the instrument used by BCCSA qualified auditors to measure the effectiveness of a company's Occupational Health and Safety Management System (OHSMS) for BCCSA COR® Certification, Maintenance, and Recertification.

Note: For COR® Certification Audits, please ensure the company is registered to the BCCSA COR® Program.

COR® Auditor Resource Guide

The COR® Auditor Resource Guide is a document designed to support BCCSA auditors when they conduct a COR® audit. Used in conjunction with the BCCSA COR® OHS National Audit Document, the resource guide will help with audit pre-planning, conducting the audit (DOI), and writing the audit report.

COR® ROLES AND RESPONSIBILITIES

BCCSA

As a certifying partner, the BCCSA has responsibility for the following:

- Consistently adhering to the basic qualifying criteria for certifying partners.
- Planning and implementing a coherent communications strategy to promote the COR® Program and ensure that all key participants remain informed about operations and developments.
- Facilitating the registration of employers who fall within their area of responsibility.
- Helping employers identify and meet their needs for COR®-related training and qualified COR® auditors.
- Maintaining appropriate records related to employers whom they have registered as participating in the COR® program.
- Regularly, and upon request, providing information from their COR®-related records to WorkSafeBC.
- Establishing and facilitating a Technical Advisory Committee to ensure their COR®-related training and audit requirements for employers reflect OHS best practices and industry needs.
- Providing industry-specific audit tools based on WorkSafeBC standards and approved by WorkSafeBC.
- Performing verification and quality assurance oversight for the COR® program.
- Providing training and qualifications of COR® auditors.

Employers

As a participant of the COR® program, employers have responsibility for the following:

- Implementing management systems and acquiring needed in-house expertise, as specified by their certifying partner.
- Scheduling and meeting minimum standards for certification and maintenance audits to qualify for COR® incentive payments.
- Addressing any audit-identified deficiencies within their health and safety management systems.
- Submitting the audit results and other required documentation to their certifying partner.
- Remaining in good standing with WorkSafeBC to receive a COR® incentive payment.
- Ensuring conflicts of interest are avoided with internal and external auditors.
- Fostering a positive audit environment by assisting and cooperating with the auditor so that audit objectives can be met.
- Providing access to facilities and supporting information as requested by the auditor.
- Providing the BCCSA with feedback on the audit process to assist with continuous improvement.

COR® Auditors

As a certified COR® auditor, auditors have responsibility for the following:

- Having a good working knowledge of the industry sectors in which they audit.
- Observing professional practices, demonstrating competence in occupational health and safety, including an appropriate mix of skills and attributes necessary for safety program evaluation.

- Completing COR®-specific training required for the type of audit they will be performing.
- Demonstrating commitment to the “Code of Conduct for COR® Auditors.”
- Maintaining the quality and currency of their skill set and knowledge base.
- Keeping their Auditor Certification status current.
- Conducting a pre-audit meeting with the employer, begin the audit process, and review the audit protocol.
- Verifying the health and safety program through document review, observations & interviews.
- Communicating findings to the employer at the close-out meeting.

WorkSafeBC

WorkSafeBC has responsibility for the following:

- Promoting & providing information about the COR® Program, as needed, in an effective and timely manner.
- Providing funding for eligible COR® administrative expenses incurred by certifying partners.
- Providing oversight and quality assurance in relation to the performance of certifying partners.
- Granting COR® certification status to employers who have met requirements.
- Issuing assessment incentive payments to COR®-certified employers.
- Verifying that an employer in the COR® program is in good standing.
- Establishing and refining audit standards and approving audit tools.
- Providing quality assurance in relation to auditor training and employer audits.
- Performing quality assurance in relation to complaints.

Qualities of a Good Auditor

Communication

With your strong communication skills, you:

- Speak plainly.
- Listen to and process information.
- Read and understand the audit document.
- Write correct, straightforward answers.
- Work well with peers from different backgrounds and teams.
- The quality and effectiveness of your communication skills directly affect your audit results.

Research Skills

You are curious and have solid research skills, enabling you to:

- View things from different perspectives and change your focus between worker and auditor roles.
- Observe the safety standards of the work environment and the employees’ demonstrated safety skills.
- Ask questions, look for answers, be open-minded, and determine how to meet safety standards.
- See the bigger picture while being curious about the minor details, providing good results.
- Have the confidence to ask OMS for required documentation.

Critical Thinking

You are a critical thinker, gathering information from documentation, observations, and interviews. In your role, you:

- Analyze and evaluate facts to determine whether the information and source are valid and reliable.
- Consider different explanations for results and identify connections and contradictions in the documentation.
- Are fair, record your facts accurately, ignore personal preferences and biases, and apply sound judgment to your findings, even under pressure.
- Pay attention to detail, ensuring your work is accurate.
- Understand the audit document requirements, find relevant information from the workplace, analyze it, and use it to answer questions with clearly written comments.
- Are committed to continual learning and improvement.

Professionalism

BCCSA is obligated to WorkSafeBC to qualify internal auditors who conduct themselves honestly and professionally.

When conducting an audit, internal auditors must:

- Act with integrity, independence, objectivity, professional conduct, and honesty.
- Show professional objectivity in gathering, evaluating, and communicating information.
- Not let their own interests or those of others influence audit results.

MODULE 1 | AUDIT VERIFICATION TECHNIQUES

Terminology and Definitions

Why is terminology important?

Terminology gives specific context and meaning to the BCCSA COR® Program, including the COR® OHS National Audit Document. It reduces uncertainty, increases clarity, and helps people communicate better.

Why are definitions essential?

Definitions provide clarity to the meaning of terms and provide a basis for common understanding.

Go to Definitions in your OHS National Audit Document to find the terminology definitions.

Audit Verification Techniques

The audit process contains a series of three verification techniques. The three techniques are commonly referred to as DOI:

- D** = Documentation Review
- O** = Observations
- I** = Interviews

These verification techniques must be applied in this order when conducting an audit.

Audit Question Format

The OHS National Audit Document includes 14 elements. Each element contains questions with four components, as described below:

1. Question – the goal

Identifies the overall audit question that needs to be answered by the Auditor. For example, from Element 1:

Does the employer have a written health and safety policy that:

1.1 Is signed by the president, CEO or local senior management?

2. Guideline – due diligence

Provides the Auditor with instructions on how and/or what to do to determine if adequate documentation/ due diligence records have been established and implemented. Using the sample from Element 1, the guideline reads:

Guideline: Ensure the company policy has been both signed and dated by current senior management.

Note: **Some question Guidelines require a review of the OHS Regulation or Workers Compensation Act.**

3. Directive – proving diligence

The Directive demonstrates Auditor diligence. It requires examples tying back to the audit question through statements, dates, numbers, locations, descriptions of processes, lists of documents, etc. The directive for audit question 1.1 reads:

State the title of position of the signatory.

4. Comment

The auditor's comment justifies how the positive or negative (Y or N) was awarded. Each auditor's comment must answer the audit Question, Guideline, and Directive using the **DOI** verification techniques required by the question.

Documentation Review

Documentation review is the first (1st) verification technique. Documentation is written material that provides information describing the framework or directive of your program (policies, procedures, practices, forms). Documentation also includes forms that have been filled out as required by the program (see Due Diligence (DD) Records). For more information, see the Instructions tab on the National Audit Document under the heading "Documentation Review".

Documentation Types

The audit process reviews two types of documentation: Safety Management System (SMS) and Due Diligence (DD).

Safety Management System (SMS)

What is it?

Overarching policies, procedures and standards that provide direction within the organization for the implementation of the occupational health and safety management system within the workplace (e.g. states what will be done).

Where to find it?

In the Occupational Health & Safety (OHS) Manual.

Examples of SMS documentation include:

- Safety policy
- Company rules
- Orientation procedures and blank orientation forms
- Blank inspection checklists
- Incident investigation procedures and blank investigation reports
- Safe work practices and safe job procedures in their original state (proof of SWP/SJP review/revisions are considered DD records)

Due Diligence (DD) Records

What is it?

Documented evidence that the policies, procedures, and standards have been followed and implemented, including completed day-to-day operational records, due diligence records, and "paperwork."

Where to find it?

Main office, site locations, and document management systems.

Examples of DD records documentation include completed copies of:

- | | |
|---------------------------|---------|
| • Employee orientations | • _____ |
| • Site inspections | • _____ |
| • Incident investigations | • _____ |
| • Hazard assessments | • _____ |
| • Pre-Use inspections | • _____ |
| • _____ | • _____ |

Auditor Diligence

Documentation review may reveal critical information that needs to be confirmed during site observations and employee interviews.

You must verify that your observations match the documented process/due diligence records. The Auditor Resource Guide provides an auditor diligence strategy to identify what must be observed for each question.

Observations

Observations are the second (2nd) verification technique. Observations are the process of seeing the program in action. This would require the auditor to personally observe people while they are working, equipment while it is running, processes while they are occurring, tools that are in use, signage that is posted, etc. Observations are conducted to collect data or draw conclusions to confirm the program is functioning as written. For more information, see the Instructions tab on the National Audit Document under the heading “Conduct an Observational Tour”.

Observations: Questions

Observation or worksite tours require the auditor to answer several observation questions and have a solid understanding of the safety program requirements.

Note: **It is important to visit active worksites without interrupting critical operations.**

Interviews

Interviews are the third (3rd) verification technique. Interviews are a process that requires the auditor to speak to different individuals to learn what they understand about their safety management system. An interview is a structured conversation where one person asks questions to obtain information (the interviewer) and another person provides answers (the interviewee).

To conduct proper interviews, a person must know what questions to ask and have the ability to accurately document the answers that they receive. For more information, see the Instructions tab on the National Audit Document under the heading “Conduct Interviews”.

Conducting Interviews

Interviews help finalize the picture of a company’s operations regarding its stated safety program requirements. They occur privately, and interviewees are assured that their answers are confidential.

Auditor Diligence

The interviewee’s answers are expected to match the documented process/written records and what was observed on the worksite.

Auditor Verification Guidance

Follow the audit question verification techniques.

Use BCCSA’s COR® Auditor Resource Guide to find the types of documentation, what to gather, sampling criteria, and requirements for applying Auditor Diligence.

MODULE 2 | GATHERING AND ANALYZING DATA

Overview

When gathering and analyzing data, be prepared to explain and justify your findings when writing your audit comments.

Documentation: Describe the documents you reviewed, the number included, and your selected sampling period.

Observations: Note which sites you visited, the observations you made, and whether your findings are positive or negative.

Interviews: Keep notes to include positive or negative quotes in the audit document when interviewing.

Documentation

Sometimes, verifying documentation may be as simple as determining whether a statement exists. At other times, it may take hours of review to come to a justifiable conclusion.

Consider how the documentation will be reviewed when gathering data from an SMS or due diligence record.

Two possible methods exist to verify if documentation meets the audit question standard:

1. Yes/No method.
2. Eighty percent (80%) method.

Yes/No Method

The Yes/No method is the simplest verification method and usually requires proof that a single document is sufficient. Most SMS related questions are simple Yes/No questions.

Yes/No Example:

6.1 "Is there a written policy for PPE?"

Explanation:

This requires Yes/No verification because either a policy exists, or it does not.

Eighty Percent Method

This method usually requires a review of multiple records. You must locate at least 80% of the records that meet the requirement. Look for completeness of records.

80% Example:

9.3 "Is the required frequency being met?"

Explanation:

This requires a more complex approach than Yes/No. You first need to know the necessary inspection frequency and then measure the company's records against this frequency.

80% of the records sampled must meet the required frequency to award "Yes" ("Y").

Sampling Plan

When you develop a sampling plan, you must know how many records to gather and analyze based on the audit question. The Audit Resource Guide provides this information.

Sampling Plan Example:

9.3 "Is the required frequency for inspections being met?"

Explanation:

Verify that the frequency of inspections is being met as stated in the SMS Policy/Program. You will need to gather the past 12 months of inspection records (sites, office, shop).

Then sample:

- Three months - site.
- Six months - shop.
- Twelve months - office.

Determine the percentage of inspections completed by dividing the number of inspections completed by the number of inspections required as stated in the SMS Policy/Program.

80% of the sampled records must meet the required frequency to award "Yes" ("Y").

Justification

Justification is the action of proving that something is acceptable, reasonable or right. If there is a lack of evidence, justification is not possible. The absence of justification must also be explained.

When reviewing documented records, you must show how the points are justified based on the audit question—whether a simple Yes/No or 80% of total records.

At this stage, analyze each sampled document to determine if it was completed correctly. The document must meet this standard to be counted as a positive due diligence record.

ACTIVITY 1 | GATHERING AND ANALYZING DATA

Using the sampling plan information available in the Auditor Resource Guide, the auditor must be able to explain and justify their findings.

Review the company information provided - Element 5 Company Rules (SMS) and non-compliance documents (DD records) to determine if the correct information is available to answer questions 5.4 and 5.5. For each question, identify the documentation method (Y/ N or 80%), type of documentation to be gathered (SMS or DD), and auditor diligence requirements (correct sample).

Observations

Observations examine people, activities/work being performed, and the environment.

Observation Notes

To award a positive for an observation question at a worksite, 100% of the observations related to the observation question must be positive.

Explanation: 100% of the correct PPE must be observed as being worn by the workers.

The audit document identifies which questions require observation. The Auditor Resource Guide outlines the auditor's diligence requirements while observing each site.

The Auditor needs to have the Observation questions with them when actively performing their site tour. Then, during the observation tour, they can make notes for each audit observation question. These notes can be used later in creating comments and to justify positive or negative findings.

Interviews

Interviews help confirm what was read and observed during documentation review and site observations. You must verify whether or not the interviewee's answers match the documented process / due diligence records and the worksite observations. The Auditor Resource Guide has a diligence strategy to identify when interviewees answer positively.

Interview Notes

- The audit document identifies which questions require interviews with the Owner, Manager, Supervisor (OMS) and workers.
- The Auditor Resource Guide addresses the auditor diligence requirements to use while interviewing.
- During interviews, the auditor takes notes to use later in comments.
- When writing interview comments, look at the question in the 'Worker' and 'OMS' interview tabs and make the question part of your comment.
- Develop a system of making notes for each audit question to justify the positive or negative findings for each OMS and worker interview.
- When auditors are recording interview notes into the audit report, the auditor must not identify interviewees by name, position, etc., including if the interviewee is a worker or OMS.

Interviews: Paraphrasing Questions

Please read the question in its original format. If the interviewee does not understand it, rephrase it for clarity. Pre-read the original audit and interview questions to understand what information is needed. This will help you paraphrase questions for interviewees.

Example paraphrasing question:

1.9 "Can you explain what the policy means to you?"

Paraphrased for clarity:

"What is the purpose of the policy as it relates to you?"

Gathering and Analyzing Data

As an auditor, carefully gather and analyze the appropriate documentation. Observations and interviewees' answers must align with the documented process/due diligence records and what was observed on the worksite.

MODULE 3 | WRITING COMMENTS

Overview

Writing precise, detailed comments and considering the readers' perspective is essential.

Help them understand what you:

Read (the documentation you reviewed)

Saw (the observations you made)

Heard (interview responses shared with you)

The written audit report is intended to convey the findings that were read, seen, and heard.

The Auditor's goal is to paint a clear picture of the company's health and safety system based on the findings during the audit process and the facts, or the lack thereof. Written auditor comments justify why Y or N was scored.

Write complete comments answering each part of the question: Question, Guideline, and Directive. Your answers explain your findings and reasons for awarding points. Don't only write yes or no answers. Write comments using the same language as the element. Using words or phrases from the audit question, directive, or guidelines is acceptable.

Consider the following:

1. Provide the documentation, observe, or conduct an interview to obtain the needed information for comments. In the comments, include sampling requirements and examples. Refer to the Auditor Resource Guide for more clarification on the guidelines and directives.
2. Review the guidelines when referencing OHS legislation and become familiar with its provisions. If a company has not followed the required legislation, you may conclude that Y cannot be awarded. You will likely need to refer to the legislation when answering the question.
3. Look up the written process within the company's health and safety program. Once located, quote the process in the comment (part of your justification) to confirm what the company states it will do. If they follow what they say they will do, you will likely award Y.
4. Start your comments by answering the overall Question (to ensure nothing has been missed).
5. Follow and answer the Guideline as part of the justification for awarding Y or N.
6. Answer the Directive (3rd part of the audit question). It may ask for examples of documents, observations, and responses you received when gathering information. When the Question scores N, your comment may need to explain why.
7. DO NOT include employee names, roles, positions, etc. in a comment unless the audit question asks for it or if the audit information requires it.
8. When answering interviewee questions asked of both OMS and Workers, combine interviewee responses in the auditor comment to maintain anonymity (i.e., do not separate written OMS from Worker responses).
9. Use quotation marks (" ") to highlight individual interviewee responses or when quoting information required by the Directive.
10. When the audit question asks if a specific policy or program component exists, include an excerpt from the policy or program to demonstrate it exists. (quotes are a part of your due diligence when answering the audit Question).

11. To keep your statement objective, instead of “I” statements, use a third-person narrative, such as “the auditor noted...” or “the auditor found...”
12. Use correct grammar, punctuation, and spelling. The spell-check function key is at the bottom of each element. Proofread the audit report before submitting it.
13. Be descriptive when justifying and defending a Y or N position. Use percentages, sections, elements, pages, and paragraph excerpts to help explain the findings.

Preparing to Write Auditor Comments

To ensure that all components of an audit question have been answered correctly, you must evaluate the response in its entirety. It can be easy to miss answering a portion of the question, i.e. the guideline, because specific justification has not been included.

ACTIVITY 2 | REVIEW PREPARED WRITTEN COMMENTS

Element 14 in your OHS National Audit Document is prefilled with comments.

Review all of questions and determine if the questions, guidelines and directives were answered appropriately.

Were all documents gathered and sampled, documentation verification methods correct, and auditor diligence followed?

Did the auditor justify their “Yes” or “No” responses?

Writing Auditor Comments

Writing precise, detailed comments while considering the readers’ perspective is essential.

ACTIVITY 3 | WRITING THE AUDITOR COMMENTS

The information in this Participant Manual (Element 5 Company Rules and non-conformance records) will provide you with the information required for you to write your “D” comments for audit questions 5.1, 5.4, and 5.5.

Please refer to the Auditor Resource Guide to confirm that the proper documentation was gathered and sampled, and that the verification method was followed.

Write the comments in at least three distinct thoughts (paragraphs): one for the question, one for the guideline, and one for the directive.

Reviewing your own work means inspecting it from a detached perspective. The auditor needs to evaluate its merits; has the question been answered in full (question, guideline, and directive). Also consider the reader’s perspective, is the language clear, concise and justifiable?

CASE STUDY: SMS AND DUE DILIGENCE RECORDS FOR ACTIVITY 3

Use this section to complete Activity 3. The table of contents below is an excerpt from the company's health and safety manual.

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CASE STUDY: SMS AND DUE DILIGENCE RECORDS FOR ACTIVITY 3 - CONTINUED

Policy

This Discipline Policy applies to all BCCSA Construction Ltd. employees at any company work location(s). BCCSA Construction Ltd. presumes that most employees want to do a good job and will correct their behaviour, provided the clear expectations and the consequences of non-compliance are understood.

BCCSA Construction Ltd. adheres to the principles of progressive discipline, which are applied using progressive steps, increasing in severity upon the recurrence of misconduct. Serious offences may result in immediate suspension or termination.

The following “four strike” disciplinary actions will apply to any employee who is found to be in non-conformance or non-compliance with company policy, safety rules or applicable regulations:

- Verbal Warning
- Written Reprimand
- Suspension (with or without pay)
- Termination

Should any contractor, supplier or visitor be found in non-conformance or non-compliance with company policy, safety rules or applicable regulations, BCCSA Construction’s management has the authority to revoke site privileges.

The “four strike” disciplinary action method shall be considered and utilized by BCCSA Construction on a case-by-case basis, according to the severity of the infraction, repeated involvement in offences, etc. BCCSA Construction Management shall enforce any disciplinary action, up to and including termination, at their sole discretion, depending on the nature of the infraction (e.g., violation of zero tolerance rules, etc.), and history of occurrence.

Responsibilities

Management

- Takes appropriate action to ensure that immediate corrective action is taken in the case of safety infractions.
- Actively encourages all managers, supervisors, workers and contractors to comply with company, industry and government rules and regulations.

Supervisory Staff

- Demonstrates a commitment to safety by following regulations and rules consistently.
- Holds workers accountable for safe performance by following safety directives.
- Assists workers to understand the need for rules and the consequences of not following established safety rules and requirements.
- Handles worker infractions of safety rules and by following the disciplinary policy.

Worker

- Demonstrates a commitment to safety by following regulations and rules consistently.

CASE STUDY: SMS AND DUE DILIGENCE RECORDS FOR ACTIVITY 3 - CONTINUED**General Rules**

1. Employees shall wear personal protective equipment (PPE) as required by regulations or work conditions. The minimum PPE includes adequate footwear (CSA approved), a hard hat, hearing protection, a high-visibility vest and clothing and safety glasses.
2. Employees shall not conduct work they are not qualified to do. Personnel shall only perform tasks they have been trained to perform.
3. All individuals working on BCCSA Construction Ltd. property and job sites must report to work fit for duty, in accordance with the company's Fit for Duty policy.
4. All incidents, hazards, non-conformances or other concerns about work conditions or behaviours shall be reported to a supervisor immediately.
5. All injuries shall be reported immediately to a supervisor and on-site first aid attendants.
6. Employees who smoke shall do so only in designated areas.
7. The use of personal cell phones on job sites is prohibited except during designated break times.
8. BCCSA Construction Ltd. is a harassment and violence-free workplace. As such, all individuals on company property and/or job sites are prohibited from engaging in such conduct and are expected to demonstrate respectful behaviour.

Corrective Action

For discipline to effectively correct behaviour, it must be considered fair and reasonable. The key principles that support this are:

- Expectations are communicated
- The level of discipline is appropriate to the offence and the individual
- Disciplinary action is timely
- Progressive discipline
- Consistency in application and approach
- Confidentiality is respected

Corrective Action Steps for violations or non-compliance of company policies, safety rules or applicable regulations may include:

- Discussion/Meeting (notes taken and information added to personnel file)
- Verbal Warning (letter on file)
- Written Reprimand (letter on file)
- Suspension with or without pay—pending an investigation, if warranted by the circumstances of the incident
- Termination of Employment

CASE STUDY: SMS AND DUE DILIGENCE RECORDS FOR ACTIVITY 3 - CONTINUED**Discussion/Meeting/Evaluation**

In most situations, the problem will first be addressed in a meeting with the employee. The immediate General Foreman (supervisor) will inform the employee before the meeting takes place that the meeting is to be a supervisory review and that the results will be documented. This initial meeting is not considered part of the formal supervisory review. During the meeting, the General Foreman will ensure the employee is aware of the concern and impress upon him/her the importance and necessity of correcting the problem. The General Foreman and the employee will identify the steps necessary to resolve the issue and what specific improvements are required. Together, they will determine time frames, establish a review date, and discuss the employee's commitment to improving work performance. If the problem continues, remedial action may be initiated. A written record of the discussion and any goals or steps identified as a remedy will be kept.

Verbal Warning

A verbal review will be conducted to inform the employee of unacceptable behaviour or unsatisfactory job performance and will include actions necessary to improve performance. The review will be documented in his/her personnel file. If the problem continues, the supervisor may implement the next step and issue a written reprimand outlining expectations and further remedial actions.

Written Reprimand

A written reprimand will outline the unacceptable behaviour or unsatisfactory job performance. The letter will include a review of any prior remedies taken, a statement of the circumstances leading to the corrective action, a clear statement of expectations, and a concrete work plan and review period. If, after the review period, there is no appreciable improvement or the expectations of the action plan are not achieved, the results will be discussed with the employee. The General Foreman, President, and Human Resources will decide the next appropriate step.

Suspension

Situations may arise where the employee must be removed from the workplace immediately before an investigation can be conducted. Examples may include a criminal investigation, disorderly conduct or when the employee threatens others in the workplace. In these instances, the employee may be suspended with or without pay, depending on the circumstances of the investigation. In all cases, management must be informed immediately, and the employee must remain under supervision until removal from the workplace. This should be done before any action is taken unless there is a need to act because the employee presents a clear and imminent danger if he/she remains in the workplace. The suspension, pending investigation, is imposed with the understanding that a final decision, relative to the appropriate supervisory review, will be made when the investigation is completed. Investigations may include site management, corporate management, security or outside sources such as the RCMP. Suspension may be with or without pay.

Termination

When all other steps have been unsuccessful, or when there is cause for immediate dismissal, the employee may be terminated. The employee will receive, in person, a letter of termination stating the reasons and terms of the dismissal. The president and human resources will review all terminations.

Questions

Direct all questions regarding the application or subject of this Policy to the General Foreman or HR/Safety Coordinator.

CASE STUDY: SMS AND DUE DILIGENCE RECORDS FOR ACTIVITY 3 - CONTINUED

Review and Communication of Company Rules

Document Review and Communication

Following the review and approval of new rules or changes to the rules, the HR/Safety Coordinator will ensure all updates are sent to the Joint Health and Safety Committee and the General Foreman of each operational worksite.

The General Foreman receiving the program update will:

- Ensure all workers know the updated rules at the next toolbox talk.
- This will be documented on toolbox talks.

Documents Posting and Distribution

A copy of BCCSA Construction's Health and Safety Rules must be posted in a high-traffic area on site (on a bulletin board, in a lunchroom, in trailers, etc.), where it is easily accessible and visible, protected from the elements and free of obstructions.

Forms

- Form 5A - Non-Compliance
- Form 5B - BCCSA_Safety-Rules-Sign_4x8

BC OHS Regulations

Part 3, Sections 3.1 to 3.3 – Occupational Health and Safety Programs

CASE STUDY: SMS AND DUE DILIGENCE RECORDS FOR ACTIVITY 3 - CONTINUED

NON-COMPLIANCE FORM

HEALTH & SAFETY PROGRAM

EMPLOYEE NAME	Mike Ho	DATE	June 13
COMPANY NAME	BCCSA Construction Ltd.	WORKSITE	Mountain View Project #1790
ISSUED BY	Ron Huston	SIGNATURE	<i>Ron Huston</i>

DESCRIPTION OF INFRACTION

<input checked="" type="checkbox"/> VERBAL WARNING	<input type="checkbox"/> WRITTEN WARNING	<input type="checkbox"/> SUSPENSION	<input type="checkbox"/> TERMINATION
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SUPERVISOR'S REPORT:

During my daily walk around, I noted that Mike Ho was not wearing his hard hat as required. It is site policy that all workers must wear their hard hats. After this was noted, I informed Mike that this was a warning and that he must wear his hard hat in the future.

EMPLOYEE STATEMENT (check the appropriate statement)

<input checked="" type="checkbox"/> I agree with the company's statement.
<input type="checkbox"/> I disagree with the company's statement for the following reasons:

EMPLOYEE'S STATEMENT:

I wasn't wearing my hard hat. I know the rules, I just don't like to wear one.

EMPLOYEE SIGNATURE	<i>Mike Ho</i>	DATE	JUNE 13
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SENIOR MANAGEMENT ACTION PLAN

Ron Huston will need to continue monitoring Mike Ho and ensuring that he is wearing his hard hat at all times while on site.

SIGNATURE	<i>Stanley Trevino</i>	DATE	JUNE 14
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NON-COMPLIANCE FORM

HEALTH & SAFETY PROGRAM

EMPLOYEE NAME	Mike Ho	DATE	June 20
COMPANY NAME	BCCSA Construction Ltd.	WORKSITE	Mountain View Project #1790
ISSUED BY	Ron Huston	SIGNATURE	<i>Ron Huston</i>

DESCRIPTION OF INFRACTION

<input type="checkbox"/> VERBAL WARNING	<input checked="" type="checkbox"/> WRITTEN WARNING	<input type="checkbox"/> SUSPENSION	<input type="checkbox"/> TERMINATION
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SUPERVISOR'S REPORT:

I caught Mike not wearing his hard hat again today.
This is his second warning; he has been notified that continued non-compliance will result in a suspension.

EMPLOYEE STATEMENT (check the appropriate statement)

<input checked="" type="checkbox"/> I agree with the company's statement.
<input type="checkbox"/> I disagree with the company's statement for the following reasons:

EMPLOYEE'S STATEMENT:

I wasn't wearing my hard hat.

EMPLOYEE SIGNATURE	<i>Mike Ho</i>	DATE	JUNE 20
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SENIOR MANAGEMENT ACTION PLAN

If things do not improve, we will need to suspend Mike Ho

SIGNATURE	<i>Stanley Trevino</i>	DATE	JUNE 21
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CASE STUDY: SMS AND DUE DILIGENCE RECORDS FOR ACTIVITY 3 - CONTINUED

NON-COMPLIANCE FORM

HEALTH & SAFETY PROGRAM

EMPLOYEE NAME	Mike Ho	DATE	June 27
COMPANY NAME	BCCSA Construction Ltd.	WORKSITE	Mountain View Project #1790
ISSUED BY	Ron Huston	SIGNATURE	<i>Ron Huston</i>

DESCRIPTION OF INFRACTION

<input type="checkbox"/> VERBAL WARNING	<input type="checkbox"/> WRITTEN WARNING	<input checked="" type="checkbox"/> SUSPENSION	<input type="checkbox"/> TERMINATION
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SUPERVISOR'S REPORT:

This is the third time I've caught Mike Ho failing to wear his hard hat on site. I have informed him that he must leave the site immediately and that we would be looking at termination if he didn't start wearing his hard hat.

EMPLOYEE STATEMENT (check the appropriate statement)

<input checked="" type="checkbox"/> I agree with the company's statement.
<input type="checkbox"/> I disagree with the company's statement for the following reasons:

EMPLOYEE'S STATEMENT:

It's too hot to wear a hard hat.

EMPLOYEE SIGNATURE	<i>Mike Ho</i>	DATE	JUNE 27
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SENIOR MANAGEMENT ACTION PLAN

If he fails to comply, we must remove him from the company.

SIGNATURE	<i>Stanley Trevino</i>	DATE	JUNE 28
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NON-COMPLIANCE FORM

HEALTH & SAFETY PROGRAM

EMPLOYEE NAME	Mike Ho	DATE	July 04
COMPANY NAME	BCCSA Construction Ltd.	WORKSITE	Mountain View Project #1790
ISSUED BY	Ron Huston	SIGNATURE	<i>Ron Huston</i>

DESCRIPTION OF INFRACTION

<input type="checkbox"/> VERBAL WARNING	<input type="checkbox"/> WRITTEN WARNING	<input type="checkbox"/> SUSPENSION	<input checked="" type="checkbox"/> TERMINATION
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SUPERVISOR'S REPORT:

Mike Ho was fired today because he refused to wear a hard hat four times within the last thirty days.

EMPLOYEE STATEMENT (check the appropriate statement)

<input checked="" type="checkbox"/> I agree with the company's statement.
<input type="checkbox"/> I disagree with the company's statement for the following reasons:

EMPLOYEE'S STATEMENT:

I wasn't wearing my hard hat.

EMPLOYEE SIGNATURE	<i>Mike Ho</i>	DATE	JULY 04
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SENIOR MANAGEMENT ACTION PLAN

Mike Ho has been removed from the company.

SIGNATURE	<i>Stanley Trevino</i>	DATE	JULY 05
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CASE STUDY: SMS AND DUE DILIGENCE RECORDS FOR ACTIVITY 3 - CONTINUED

NON-COMPLIANCE FORM

HEALTH & SAFETY PROGRAM

EMPLOYEE NAME	Chris Tovell	DATE	February 09
COMPANY NAME	BCCSA Construction Ltd.	WORKSITE	Mountain View Project #1790
ISSUED BY	Jane Linklater	SIGNATURE	<i>Jane Linklater</i>

DESCRIPTION OF INFRACTION

<input type="checkbox"/> VERBAL WARNING	<input checked="" type="checkbox"/> WRITTEN WARNING	<input type="checkbox"/> SUSPENSION	<input type="checkbox"/> TERMINATION
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SUPERVISOR'S REPORT:

Chris Tovell was found not utilizing his fall protection while above 10ft and working on a sloped roof, a high-risk violation with severe consequences. Due to the severity of the situation, he has been given a written warning.

EMPLOYEE STATEMENT (check the appropriate statement)

<input checked="" type="checkbox"/> I agree with the company's statement.
<input type="checkbox"/> I disagree with the company's statement for the following reasons:

EMPLOYEE'S STATEMENT:

I was in a rush and decided not to use fall protection because it would only take a minute.

EMPLOYEE SIGNATURE	<i>Chris Tovell</i>	DATE	FEBRUARY 09
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SENIOR MANAGEMENT ACTION PLAN

Jane's choice to apply a written warning was appropriate in this scenario. Chris to be re-trained in fall protection within the next month.

SIGNATURE	<i>Stanley Trevino</i>	DATE	FEBRUARY 11
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NON-COMPLIANCE FORM

HEALTH & SAFETY PROGRAM

EMPLOYEE NAME	Collin Grant	DATE	May 05
COMPANY NAME	BCCSA Construction Ltd.	WORKSITE	Mountain View Project #1790
ISSUED BY	Jack Smithers	SIGNATURE	<i>Jack Smithers</i>

DESCRIPTION OF INFRACTION

<input checked="" type="checkbox"/> VERBAL WARNING	<input type="checkbox"/> WRITTEN WARNING	<input type="checkbox"/> SUSPENSION	<input type="checkbox"/> TERMINATION
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SUPERVISOR'S REPORT:

I noticed that Collin hasn't been conducting pre-use inspections on the hydraulic jack in the shop. He did not complete the pre-use inspection document prior to using the jack. This a company policy, all pre-use inspection forms are to be used prior using equipment.

EMPLOYEE STATEMENT (check the appropriate statement)

<input checked="" type="checkbox"/> I agree with the company's statement.
<input type="checkbox"/> I disagree with the company's statement for the following reasons:

EMPLOYEE'S STATEMENT:

I forgot that I needed to do those. I will do them from now on.

EMPLOYEE SIGNATURE	<i>Collin Grant</i>	DATE	MAY 05
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SENIOR MANAGEMENT ACTION PLAN

Good disciplinary action; please keep an eye on this. Conduct a toolbox meeting on how and when to fill in pre-use inspection forms within the next week.

SIGNATURE	<i>Stanley Trevino</i>	DATE	MAY 06
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CASE STUDY: SMS AND DUE DILIGENCE RECORDS FOR ACTIVITY 3 - CONTINUED

NON-COMPLIANCE FORM

HEALTH & SAFETY PROGRAM

EMPLOYEE NAME	Marie Tol	DATE	August 15
COMPANY NAME	BCCSA Construction Ltd.	WORKSITE	Mountain View Project #1790
ISSUED BY	George Straight	SIGNATURE	<i>George Straight</i>

DESCRIPTION OF INFRACTION

<input checked="" type="checkbox"/> VERBAL WARNING	<input type="checkbox"/> WRITTEN WARNING	<input type="checkbox"/> SUSPENSION	<input type="checkbox"/> TERMINATION
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SUPERVISOR'S REPORT:

Marie was not wearing eye protection while using the angle grinder; this does not comply with our angle grinding SWP practice we reviewed with the crew last week. I have discussed this issue with her.

EMPLOYEE STATEMENT (check the appropriate statement)

<input checked="" type="checkbox"/> I agree with the company's statement.
<input type="checkbox"/> I disagree with the company's statement for the following reasons:

EMPLOYEE'S STATEMENT:

I was in a rush and didn't want to get my safety glasses. I will wear them from now on.

EMPLOYEE SIGNATURE	<i>Marie Tol</i>	DATE	AUGUST 15
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SENIOR MANAGEMENT ACTION PLAN

Thank you for submitting this disciplinary action; it is vital that employees use the required PPE.

SIGNATURE	<i>Stanley Trevino</i>	DATE	AUGUST 16
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MODULE 4 | AUDIT ADMINISTRATION

Audit Preparation

With the appropriate audit preparation, you will understand the company's needs and requirements.

Scope of Audit - Ensure the audit is scheduled during the company's Normal Operating Mode (NOM).

Active Worksites - Identify how many sites you must visit as an auditor.

Interviewees (OMS & Worker) - Identify the number of interviews you must conduct.

Health and Safety Manual Verification

The company's health and safety manual is checked against the Health & Safety Manual Verification Form requirements to ensure all elements are included in the health and safety program.

Note: You are not looking to see how well-written these elements are or the order in which they are presented. Sometimes, the company may have labelled the elements differently or combined them.

The check confirms all COR® audit elements exist in one form or another. Review the table of contents. When the topic is not listed in the table of contents, look through the manual to see if you can find it.

Verifying COR® Registration

Prior to any Certification Audit, verify that the company is registered with the BCCSA COR® program.

Pre-Printing Relevant Forms

Be organized and prepare relevant forms for a smooth audit process. Print a complete set of forms for each site visited:

- Observation Checklist
- Owner, Manager and Supervisor (OMS) Interview Questions
- Worker Interview Questions

ACTIVITY 4A | AUDIT ADMINISTRATION

Using the information found in the company profile and reference documents in Module 5 for the case study, complete the following information in the OHS Audit document:

- Health and Safety Manual verification

Audit Information

The Audit Information Form contains basic details about the type of audit, information about the COR® auditor, and critical company information such as address and phone number. All fields must be completed. Fields left blank will be highlighted yellow.

Actual Audit Start Date

This is the first day of on-site data collection. This is also the date of the **Pre-Audit meeting**.

Note: Documentation review starts after the Pre-Audit meeting.

Actual End Date

This is the last day of on-site activities when your data collection is complete. e.g. Documentation review, Observations, and Interviews (**DOI**).

Audit Timelines

COR® audits must be completed and submitted to the BCCSA within a maximum timeframe of 45 calendar days. The breakdown of this timeframe is as follows:

1. Audit activities from start to end should be completed within a maximum timeframe of 15 calendar days by the auditor. The Pre-Audit meeting date will be considered the start of audit activities. From the start date, the auditor has a maximum of 15 calendar days to complete on-site activities and ensure all necessary documentation, observation, and interview data have been obtained.
2. From the end date of audit activities (last day on-site), the auditor has a maximum timeframe of 15 calendar days to review and collate the audit findings, write the audit report, and conduct the Post-Audit meeting with the company.
3. Once the company has received the final audit report from the auditor (at the Post-Audit meeting) the company will have a maximum time frame of 15 calendar days to review and sign off on the audit results, develop a Corrective Action Plan, and submit the final audit report to the BCCSA for Quality Assurance.

Type of Program

Large COR® Programs apply to companies with 20 or more employees.

Small COR® Programs apply to companies with 19 or fewer employees.

Note: The auditor must ensure the Type of Program selected is consistent with the information on record with the BCCSA.

Type of Audit

COR Certification Audit: This audit is for companies new to COR®.

Note: For new COR® applicants, a COR® Certification Audit must be conducted and submitted to the BCCSA by November 30th of the year the company seeks COR® Certification and incentive payment eligibility consideration from WorkSafeBC.

COR® Maintenance Audit: Interim audits are required to maintain COR® over three years.

COR® Re-Certification Audit: Renew COR® for another three years (the audit requirements are the same as for the Certification Audit).

Limited Scope Audit: When the audit has failed, scoring between 70% and 79% (or received less than 50% in any element), the company can request a limited-scope audit to re-audit the element(s) contributing to the original low score.

BCCSA must be informed of the company's intention to proceed with a limited-scope audit, which must be performed within 90 calendar days of the original audit date.

Quality Assurance Audit: WorkSafeBC Initiated Verification Audit (WIVA) As part of the Certificate of Recognition (COR®) program's ongoing quality assurance activities, WorkSafeBC reviews all COR® certified employers annually to determine the validity of their COR® certification.

High-risk violations and program orders, injury rate analysis, and complaints are triggers that could subject your company to a verification audit.

Account # and CU

Record all the WorkSafeBC Account numbers and Classification Unit (CU) numbers associated with the company.

Note: A six-digit classification unit code identifies CUs. Typically, each company is assigned a CU that best describes its primary business. If a company has two or more separate and distinct business areas, it may be assigned to multiple CUs.

Supplementary Audit Information

Complete the Supplementary Audit Information form only when multiple WorkSafeBC accounts have received prior approval from BCCSA to engage in a Joint Audit.

Leave this section blank for a single account audit.

ACTIVITY 4B | AUDIT ADMINISTRATION

Using the information found in the company profile and reference documents in Module 5 for the case study, complete the following information in the OHS Audit document:

- Audit information

List of Active Worksites

Complete the List of Active Worksites Form so the auditor, the company, and BCCSA can review and confirm that proper audit scoping is applied.

Total Number of Employees During Normal Operating Mode

Normal Operating Mode (NOM) ensures the audit is conducted during a period that reflects normal company operations/business activities. To determine NOM accurately, follow these steps:

1. Obtain the number of employees with payroll reported to the account being audited for each of the last 12 months.
2. Divide the total number of employees by 12.
 - a. Round accordingly (e.g. 10.4 = 10, 10.8 = 11)
3. Enter the NOM information. This number is used as the basis for interview sampling.

Normal Operating Mode (NOM) refers to the average number of employees calculated using the 12-month period prior to the scheduled start of an audit. As per WorkSafeBC's The COR® Program: Standard and Guidelines, audits must be conducted in a period when the company is in normal operating mode. Audit scheduling should take into consideration fluctuations in volume and/or type of work, which may be a factor of weather and/or other business considerations.

When planning for an audit, the company will need to ensure the total # of employees during the audit is not less than 80% of the NOM. The audit must be conducted when the company has a minimum of 1 active worksite in addition to their main office for site observations. The interview sample will be calculated using the NOM number of employees.

Important: The company should not schedule an audit during their slow season (i.e., when employees have been laid off and/or there are no active worksites). If your company's COR® audit due date does not align with normal company operations/business activities, please contact BCCSA immediately prior to commencing an audit.

TYPE OF WORKSITE LOCATION	DESCRIPTION OF CATEGORY	SITE NAME	ADDRESS	CITY
MAIN OFFICE	A central or main office where an employer plans, controls, or manages its activities, and where the OHSMS documents and records are usually kept.	Main Office If there is a shop, yard, etc., located at the <u>same address</u> as the Main Office, list it with the Main Office, e.g., "Main Office/Shop." Do not list/count as a separate worksite location.	Street Address	Name of City
PERMANENT	Site where an employer is performing work or providing a service on an ongoing basis.	Examples: Branch Office, Shop, Yard, Plant, Warehouse, etc.	Street Address	
TEMPORARY	Site where an employer is performing specific work or providing a service for a finite period of time .	Examples: Name of Project, Project #, etc.	Street Address, GPS Coordinates, Cross Streets, Markers, etc.	
		Examples: Truck #, Service Vehicle #, etc	Mobile	

Note: Main Office must be included in the scope of every annual COR® audit. All Permanent locations must be visited at least once during a 'typical' 3-year COR® audit cycle.

Visited (Yes or No)

Worksites included in the audit must be representative of the overall scope of operations, and all CUs for which the company is seeking COR® certification, and incentive payment eligibility consideration must be included in the scope of the audit.

If the audit covers more than one WorkSafeBC account, a representative sample of worksites and CUs for each WorkSafeBC account must be included in the scope of the audit for COR® Certification and incentive payment eligibility consideration. Confirm with the employer which CU is associated with each operational worksite. You **MUST** visit at least one worksite from each WorkSafeBC Account number and each CU covered in the audit.

For companies that have active worksites in various regions throughout the province, the Auditor must also ensure that the audit scope includes site observation visits to each region over a three year period.

1. Review Instructions to determine a proper observation sampling size.

Note: The Main Office MUST be visited.

2. Record which sites will be visited during the audit and ensure the total number of planned site visits aligns with COR® sampling requirements.

Number of Employees to Interview

1. Obtain information regarding the number of OMS and Workers at each worksite. Only count each employee once.
2. Record this information in the column under **Number of Employees**.
3. Review Instructions to determine a proper interview sample size.
4. Record this information in the column under **Number Interviewed**.

Note: The total number of interviews is distributed into 20% OMS and 80% Worker interviews. If you increase the total number of interviews, you must ensure you maintain the 20/80 ratio. Please contact BCCSA if you have any questions on the interview requirements prior to commencing an audit.

When you interview an extra OMS, additional Worker interviews may also be required to maintain the correct interview ratio (based on the number in the Total Employees column).

ACTIVITY 4C | AUDIT ADMINISTRATION

Using the information found in the company profile and reference documents in Module 5 for the case study, complete the following information in the OHS Audit document:

- List of Active Worksites (calculation of normal operating mode)

Pre-Audit Meeting

The pre-audit meeting engages company stakeholders by summarizing the activities during the audit. The meeting confirms the information gathered during the audit pre-planning phase, discusses any changes, reaffirms professional conduct, and answers any questions.

Pre-Audit Meeting Date

The Pre-Audit Meeting Date, which matches the audit start date recorded on the Audit Information Form, is also known as the audit start date.

Location

Indicate where the pre-audit meeting took place.

Attendees

List attendees by first and last name. The company chooses who attends the pre-audit meeting. In most cases, senior management and key stakeholders should participate.

Key Contact

This person is your primary company contact during the pre-audit activities and throughout the COR® audit. Key contact and site escort are sometimes the same individual.

Site Escort

The site escort will accompany you to each worksite. Record "NA" in this field if you visit sites alone.

Pre-Audit Meeting Notes

You are required to cover the following topics in the pre-audit meeting:

Purpose and scope of the audit

The purpose of the COR® audit is to measure the effectiveness of the company's occupational health and safety management system against an approved national standard.

Outline the audit scope (what operations will be included) and discuss the 10% incentive payment eligibility from WorkSafeBC if the audit requirements are satisfied.

Schedule

The proposed audit schedule includes time and date estimates for site and office visits. Tell the company how long the interviews are expected to take.

Confidentiality

All the information gathered is kept confidential.

Code of Conduct

The principles and rules of conduct you follow during the audit.

Audit Document to be used

The audit document includes 14 elements. Three verification techniques will be used to evaluate the effectiveness of the system: Documentation review, site Observations, and employee Interviews (DOI). The audit must achieve a passing score of 80% overall (minimum) and at least 50% in each element to pass.

Confirmation of the location of the active worksites

- Confirm the current active worksites.

Discuss the sites to be toured

- Confirm the worksites to be visited.

Number of people to be interviewed

- State the number of OMS and workers you will interview. Interviewees are selected by the Auditor. Confirm a quiet location is available and create a schedule for interviews.

Non-conformance issues

- Describe how potential non-conformance problems will be handled (e.g. the requirement to stop the audit until corrected).

The schedule for the Post-Audit Meeting

- Schedule the Post-Audit meeting to occur when management and stakeholders are available. Tell the company that the Post-Audit meeting will include a review of the program's strengths and recommendations for improvement.

Questions

- Ask the company if they have any questions.

ACTIVITY 5 | PRE-AUDIT MEETING

Using the information in the BCCSA Construction Profile, found in Module 5, prepare Pre-Audit meeting notes for presentation.

- Participants will complete the Pre-Audit Information in the student's COR® National Audit Document. The instructor will conduct a pre-audit meeting with the class. The participants are expected to take notes and record them in the Pre-Audit Meeting Notes of the OHS National Audit Document.

MODULE 5 | CASE STUDY - PROGRAM VERIFICATION

Overview

An accurate audit is a powerful tool that identifies an occupational health and safety management system's strengths and possible future improvements.

The following case study provides the information required to complete the pre-audit and post-audit activities and audit questions: 1.8, 4.4, 10.6, and 13.1 for the case study exercises.

Write your comments for the audit questions using verification techniques and the information provided during the class. Use the verification techniques listed in the Technique Employed column of the audit document's Health and Safety Program Verification section. The verification section includes Documentation(D), Observation(O), and Interviews(I).

The comments must include the facts and information found during the verification process to justify your findings.

Note: The Instruction Form of the OHS audit document provides additional information about the audit requirements and how to conduct an audit.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION

Use this section to complete the case study. This table of contents contains information needed to complete the audit, including excerpts from the company's health and safety manual.

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CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

Company Profile

BCCSA Construction Ltd., based in Vancouver for over twenty years, has completed over 500 projects in British Columbia. We always consider the best interests of both our clients and the public.

John Wells owns BCCSA Construction Ltd. The company also has a residential division called BCCSA Constructors. BCCSA Construction Ltd. is the Commercial Division, which provides project management services for high-rise concrete commercial/condo buildings.

BCCSA Constructors Inc. is the residential division, which constructs wood-frame housing complexes.

The head office in Vancouver has administrative offices, a fabrication shop, a warehouse, and an outside yard area for storing equipment and materials. It has four (4) management team members, two (2) support staff members, and two (2) operations staff members.

BCCSA Construction Ltd. maintains a fleet of six (6) pickup trucks, flatbeds, bobcats, telehandlers, and forklifts for operations in the Vancouver Area.

Audit Context

This is the company's second audit. An external auditor conducted the first audit and visited sites in Vancouver only.

Address and Contact Information

BCCSA Construction Ltd.
123 Main Street, Vancouver, BC, V1X 2K2
Phone: (604) 555-5555

WorkSafeBC Account # and Classification (units)

Account is # 112233, Under Classification Unit: Commercial Division 721028 – BCCSA Construction Ltd.
Account is # 112234, Under Classification Unit: Residential Division 721027 – BCCSA Constructors Inc.

BCCSA Construction Ltd. Safety Manual Table of Contents

ELEMENT 1	Safety Policy and Introduction
ELEMENT 2	Workplace Hazard Assessment and Control
ELEMENT 3	Safe Work Practices
ELEMENT 4	Safe Job Procedures
ELEMENT 5	Company Safety Rules
ELEMENT 6	Personal Protective Equipment (PPE)
ELEMENT 7	Preventative Maintenance
ELEMENT 8	Training and Communication
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ELEMENT 10	Investigation and Reporting
ELEMENT 11	Emergency Preparedness
ELEMENT 12	Records and Statistics
ELEMENT 13	Legislation
ELEMENT 14	Joint Health and Safety Committee

All 14 Elements of the company's health and safety manual are confirmed to be in place, by both the company and the auditor.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED**Meet the Management Team****John Wells, President**

John started this company more than 20 years ago to provide his clients with the best possible experience. Quality and safety are top priorities in every project.

Email: jwells@bccsaconstruction.ca

Stanley Trevino, Manager, Commercial Division (COR® Secondary Contact)

Stanley leads the commercial division of BC Construction Ltd. He is a civil engineer with over 15 years of experience with BC Construction.

Email: strevino@bccsaconstruction.ca

Joseph Sauer, Manager, Residential Division

Joseph has been building homes for over ten years and heads up the residential construction division.

Email: jsauer@bccsaconstruction.ca

Teresa Koch, Administrator (COR® Contact)

Teresa has been with the company for over 20 years. She runs the head office and all the systems necessary for the two divisions to operate throughout the province.

Email: tkoch@bccsaconstruction.ca

Jack Smithers, Shop Manager

Jack runs the shop and maintains the equipment, including the fleet of vehicles. He has over ten years of experience as a mechanic and shop manager.

Email: jsmithers@bccsaconstruction.ca

Company Auditor

- Name: Teresa Koch
- Certification: IA2348
- Company: BCCSA Construction Ltd.
- Auditor Certificate Expiration Date: In 2 years from today's date
- Email: tkoch@bccsaconstruction.ca
- Phone: (604) 555-5555
- Address: 123 Main Street, Vancouver, BC

Type of Audit

- Maintenance

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

BCCSA Construction Ltd. Payroll Data

Company Employee List

BCCSA Construction Ltd Employee List

EMPLOYEE	POSITION	WORK LOCATION	DATE OF HIRE
John Wells	President	Head Office	Feb. 3, 2007
Jack Smithers	Shop Manager	Head Office	Nov. 11, 2019
Joseph Sauer	Manager, Residential Div.	Head Office	Oct. 9, 2021
Stanely Trevino	Manager, Commercial Div.	Head Office	Oct. 20, 2006
Teresa Koch	Administrator	Head Office	Jan. 11, 2020
Hayden Pace	Secretary	Head Office	Dec. 4, 2017
Collin Grant	Mechanic	Head Office	Nov. 6, 2020
**Toby West	Shop Assistant	Head Office	July 7, 2004
Susie Beauchamp	Project Superintendent	Forest Lawn Project #1810	June 25, 2013
Tim Green	Construction Supervisor	Forest Lawn Project #1810	Nov. 2, 2016
John Roberts	First Aid	Forest Lawn Project #1810	Aug. 24, 2001
JP Miller	Project Superintendent	Mountain View Project #1790	Dec. 15, 2023
Ron Huston	Construction Supervisor	Mountain View Project #1790	Nov. 5, 2023
Jane Linkletter	Site Safety/First aid	Mountain View Project #1790	June 15, 2008
**Arden Moss	Equipment Operator	Mountain View Project #1790	Jan. 13, 2024
Billy Jung	Carpenter	Mountain View Project #1790	Sept. 3, 2023
Abdul Nurembi	Equipment Operator	Mountain View Project #1790	Jan. 2, 1999
Fred Straight	Carpenter	Mountain View Project #1790	Dec. 23, 1998
Chris Tovell	Labourer	Mountain View Project #1790	July 12, 2002
Arthur Milne	Carpenter	Mountain View Project #1790	Jan. 31, 2007
Michael Best	Labourer	Mountain View Project #1790	Feb. 6, 2010
Mike Ho	Carpenter	Mountain View Project #1790	Dec. 7, 2020
Dean King	Labourer	Mountain View Project #1790	June 22, 2017
Pat Jarvis	Project Superintendent	Piper Project #1801	Feb. 18, 2006
George Straight	Construction Supervisor	Piper Project #1801	Jan. 16, 2012
**Lucy Jordan	First Aid	Piper Project #1801	June 8, 2024
Rich Allen	Equipment Operator	Piper Project #1801	July 15, 2017
**Martin Docker	Carpenter	Piper Project #1801	Aug. 10, 2014
Dwight Albano	Carpenter	Piper Project #1801	Feb. 18, 2015
James White	Carpenter	Piper Project #1801	Aug. 17, 2020
**Marie Tol	Labourer	Piper Project #1801	June 26, 2024
Jong Lee	Labourer	Piper Project #1801	Sept. 13, 2022

Legend: New hires are signified with a **

Payroll-Number of Employees per Month

BCCSA Construction Ltd Employee List

JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	TOTAL
21	19	30	30	40	40	40	55	35	20	25	25	380

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

Project Summaries

BCCSA Construction Commercial Division–Mountain View Project #1790

WCB Account #: 112233 | CLASSIFICATION Unit #: 721028

- Location: 900 East Point Ave, Victoria, BC / Start date: March – Active
- The Mountain View Project is a six-story apartment complex with retail shops on the lower floor. The building has two levels of underground parking accessible from East Point Ave.
- The project is 20% complete, with all the utility services in place and the foundation and parking structure complete.
- A portable tower crane is set up on the fully fenced southeast corner of the construction site.
- BCCSA Construction Ltd. is the project's prime contractor. The site trailer on the left side of the entrance gate contains the first aid room, lunchroom, and two offices.

BCCSA Construction Commercial Division–Piper Project #1801

WCB Account #: 112233 | CLASSIFICATION Unit #: 721028

- Location: 441 Summit St, Vancouver, BC / Start date: May – Active
- The Piper Project is a large commercial office and warehouse.
- The building has three distinct areas: office, shop, and warehouse.
- The project is 50% complete, with the steel structure and cladding completed. The concrete floor was poured last week.
- BCCSA Construction Ltd. is the project's Prime Contractor.
- A site trailer containing a lunchroom and two offices is on the right of the entrance gate. A Separate First Aid Trailer has its entrance to the right of the main office trailer.

BCCSA Construction Residential Division–Forest Lawn Project #1810

WCB Account #: 112234 | CLASSIFICATION Unit #: 721027

- Location: 1209 120th Street, Kelowna, BC / Start date: August – Active
- The Forest Lawn Project is a small subdivision of single-family homes with 20 planned units.
- The site has five completed units: two framed and ready for trade, three foundations poured, and two excavated units.
- BCCSA Construction is the prime contractor of the project, which has a site trailer that contains a lunchroom, an office, and a dressing station near the entrance to the overall site.

BCCSA Construction Commercial Division–The Escher Project #1812

WCB Account #: 112233 | CLASSIFICATION Unit #: 721028

- Location: 838 Broughton St., Victoria, BC / Project Complete: January (previous year)
- The Escher Project is a 10-story commercial building that has been under construction for the last three years and was recently completed this year for the City of Victoria.
- Project Superintendent, JP Miller. Site Safety/ First Aid, Jane Linklater. 4 Carpenters- see attached project summary.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED**BCCSA Construction Residential Division–The Lifestyle Project #1813**
WCB Account #: 112234 | CLASSIFICATION Unit #: 721027

- Location: 90032 Hwy 97, Prince George, BC / Project Complete March (previous year)
- The Lifestyle project was a senior village complex consisting of 20 separate units with a main house for support services that was built for the Seniors Society.
- The project was completed on time and on budget earlier this year. Project Superintendent Susie Beauchamp, Construction Supervisor Tim Green, Site Safety / First Aid John Roberts.

COR® Meetings (Pre & Post)

BCCSA Construction Ltd. is COR® certified. This year, the company is conducting its second (2nd) COR® Maintenance Audit. The following team members will attend the pre- and post-audit meetings.

- John Wells, President
- Stanley Trevino, Manager, Commercial Division (site escort)
- Joseph Sauer, Manager, Residential Division
- Teresa Koch, Administrator (key contact)
- Jane Linklater, JOSH Co-Chair (worker)

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

Health and Safety Policy

BCCSA Construction Ltd.'s policy is to provide superior service and high-quality products while taking all precautions to prevent any incidents or accidents that could cause injury, illness, or property damage. This objective will be achieved by implementing and maintaining a comprehensive health and safety program.

Management at BCCSA Construction Ltd is committed to providing a healthy and safe work environment. Additionally, BCCSA Construction Ltd recognizes that workers have the right to work in a safe and healthy work environment. The company believes in and is committed to working in a spirit of consultation and cooperation with all workers to implement and maintain a successful health and safety program. It is the active participation of everyone, every day, in every job, that keeps everyone safe. Through this process, a healthy and safe work environment will be promoted. Health and safety are core values essential to how we conduct business. BCCSA Construction will set the standards and expectations for all workplace parties by outlining their accountabilities and responsibilities within the Health and Safety manual and providing training to ensure they are understood.

Management accepts responsibility and is accountable for the leadership of the health and safety program. This includes continually improving the program to ensure healthy and safe work conditions.

The Supervisory Staff accepts the responsibility and is accountable for the health and safety of workers. This includes promoting the health and safety program and informing workers of their responsibilities, accountabilities, and workplace hazards.

The Workers are responsible and accountable for their safety and the safety of others. This includes following all rules, regulations, practices, and procedures.

BCCSA Construction Ltd.'s health and safety program has been designed in the best interests of all personnel, contractors, visitors, and customers. Management fully supports the health and safety program and is committed to providing a safe and healthy work environment for all employees and personnel on any project or property location. All workplace parties' responsibilities and accountabilities are further detailed in Element 01, Leadership and Responsibilities.

The safety information in this policy does not take precedence over applicable government legislation, with which all workers should be familiar.

John Wells	<i>John Wells</i>	March 21
NAME	SIGNATURE	DATE

Safe Job Procedures

#	TITLE
01	Hydro Excavating
02	Excavation Ground Disturbance
03	Working at Heights
04	Electrical: Overhead Powerline
05	Dumping Hydro Excavating Debris Tank

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE

HEALTH & SAFETY PROGRAM

NAME OF SAFE JOB PROCEDURE	Hydro Excavating	SJP#	00-02
HAZARD RATING	<input checked="" type="checkbox"/> HIGH <input type="checkbox"/> MODERATE	<input type="checkbox"/>	LOW
DATE DEVELOPED	January 14, ----	REVISION DATE	October 24, ----
REVIEWED BY (name & title)	Joseph Sauer, Manager Residential Division	DATE	January 16, ----
REVIEWED BY (name & title)	Rich Allen - Equipment Operator	DATE	January 16, ----




INSTRUCTIONS

- Management and Worker representatives must review this safe job procedure (SJP) prior to implementation, annually, or any time the task, equipment, or materials change.
- Do **NOT** perform this procedure until you have been appropriately trained and authorized to do so by your supervisor.

REQUIRED TRAINING

- Class 3 or Class 1, Ground Disturbance.
- On-the-job including PPE, Backing up & Spotting, Digging & Excavating, and Remote Control procedures

REQUIRED PPE

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
									
EYE PROTECTION	HALF OR FULL-FACE MASK	FACE SHIELD	SAFETY FOOTWEAR	HEARING PROTECTION FOR 100DB	TYPE OF GLOVES	HARD HAT	HIGH VISIBILITY VEST	FALL RESTRAINT WHEN APPLICABLE	NO LOOSE CLOTHING, JEWELRY

POTENTIAL HAZARDS

BOOM CONTACT WITH OVERHEAD POWERLINE STRUCTURES

- Site assessment to keep a minimum approach distance of at least 3m/10ft.
- Use a spotter when moving the truck.

CONTACT WITH DAMAGED OR EXPOSED UNDERGROUND ELECTRICAL WIRES OR GAS LINES

- Follow Utility owner dig procedures.
- Be aware of what is under the ground.

FLYING DEBRIS OR CONTACT WITH HIGH PRESSURE AIR OR WATER

- Keep the wand pointed down and away from body parts.
- Use proper length wand.
- Be mindful of where debris is going.
- Use the proper nozzle for the job.
- Monitor pressure and temperature gauges.
- Wear PPE.

FALL FROM WORKING ON TOP OF THE TRUCK

- Maintain 3 points of contact when climbing up and down.
- Follow safe job procedures for climbing.
- Follow clients' safe job procedures for fall protection.

FALLS INTO EXCAVATION

- Use fall restraint if working over or adjacent to a trench/hole > 4 feet deep.
- Park the truck at proper distance away from the trench to prevent ground instability.

UNEXPECTED TRAFFIC (PEDESTRIAN OR VEHICULAR)

- Set up a perimeter with danger signs or flagging and cones to prohibit entry during work.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE - Continued : Hydro Excavating

OVEREXERTION FROM LIFTING OR TRIPPING OVER ROCKS

- Keep back straight and lift with legs.
- Place rocks in a pile in a designated area.

SUCTION INJURY FROM REACHING IN A CLOGGED DIG TUBE

- Disengage the vacuum and use a bar.
- Never dislodge by reaching the arm up the tube.
- Remove the narrower, bottom section of the tube from the vacuum system.

PRE-OPERATIONAL SAFETY CHECKS

- ✓ Conduct a site assessment to identify any overhead structures and power lines. Ensure all work will maintain the minimum approach distance of the boom or debris tank from any overhead powerlines.
- ✓ Conduct a ground stability assessment to identify any special precautions needed to avoid collapse or compromised trenches.
- ✓ Conduct an area assessment as needed to prevent entry into the work area.
- ✓ Inspect all Hydraulic equipment before use including all pre-trip items and energy shut-off devices.
- ✓ Identify and use the right type and size of wand nozzle for the work to be performed.
- ✓ Know beforehand where and how the debris slurry will be disposed of in accordance with site rules and local bylaws.

BEFORE YOU START WORK

1. Inspect required personal protective equipment and replace it if required.
2. Put on all required personal protective equipment.
3. Determine the need for specialized PPE.
4. During the Pre-job meeting assess how much hose will be required. Refer to remote host digging procedures if needed.
5. Allow for sufficient dig tube and flex hose to reach the bottom of the excavation.
6. Ensure flanges and clamps are clean for proper connection. Ensure the clamps are tight, especially for deep holes. Use a locking clamp for extra security.
7. In spill-sensitive areas, make sure joints are sealed to prevent leakage.
8. Assemble vacuum tubes to the flex hose before it is lowered into the excavation when required.
9. Assess ground conditions for stability and footing.
10. Pile rocks into a designated area to avoid trip hazards.

WHILE YOU'RE WORKING

1. Re-assess:
 - ground conditions for build-up of water and slippery conditions.
 - ground stability as work progresses.
 - risk of falls into trench or excavation as work progresses.
 - boom position with overhead structure and power line distances.
2. If the tube gets clogged, disengage the vacuum and use a bar. Never dislodge the blocked tube by reaching your arm up the tube.

AFTER YOU FINISH

1. During any breaks in activity, pull the wand and hose out of the hole to prevent it from getting stuck in the event of a cave-in.
2. Always vacuum or wash out the inside of the hose before disconnecting it to keep it clean and lighten the weight.
3. Disengage the blower when disconnecting the hose.
4. In winter it is good practice to always drain the extra wash hoses and wand extensions to prevent freezing.
5. Ensure equipment is off and boom stored safely in the cradle with a load-rated strap as per CVSE.
6. Ensure the work area is clean and any open excavations are made safe before leaving the site.

If an emergency occurs while conducting this task, or there is an equipment malfunction, shut the equipment off immediately and follow the incident procedure.

REPORT ANY HAZARDOUS SITUATION TO YOUR SUPERVISOR/MANAGER OR EMPLOYER IMMEDIATELY.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE

HEALTH & SAFETY PROGRAM

NAME OF SAFE JOB PROCEDURE	Excavation - Ground Disturbance	SJP#	00-02
RELEASE DATE	May 23, ----	REVISION DATE	December 13, ----
DATE OF APPROVAL	June 1, ----	MANAGEMENT SIGNATURE	<i>Joseph Sauer</i>
REVIEWED BY JHSC	Jane Linkletter	DATE	May 24, ----








INSTRUCTIONS

- This safe job procedure must be reviewed annually or any time the task, equipment or materials change.
- Do **NOT** perform this procedure until you have been appropriately trained and authorized to do so by your supervisor.

REQUIRED TRAINING

- When disturbing the ground for work you always run the risk of contacting buried facilities. Ground disturbance could include: excavation digging, trenching, plowing, pipe or cable drilling, vertical or horizontal auguring, tunneling or boring, ditch shaping, grading, topsoil stripping, land leveling, tree planting, rock picking, subsoil aeration, and driving bars, posts or anchors. Before disturbing the ground and/or operating equipment in area make sure all personnel have appropriate training for the equipment and emergency procedures.

REQUIRED PPE

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
						
EYE PROTECTION	SAFETY FOOTWEAR CSA APPROVED	HAND PROTECTION	PROTECTIVE CLOTHING	RESPIRATOR NIOSH APPROVED	HEAD PROTECTION	NO LOOSE CLOTHING, JEWELRY

POTENTIAL HAZARDS

PRE HAZARD RATING

B - MEDIUM

POST HAZARD RATING

C - LOW

- Electrical Hazards
- Natural Gas Hazards
- Sewer Water Main Hazards
- Communication Cable Hazards

PRE-OPERATIONAL SAFETY CHECKS

IDENTIFY AND CONTACT THE UTILITY OWNERS

- Contact BC One Call (1-800-474-6886) and provide details of the project and exact location of the planned excavation activities. Identify possibly owners whose underground utilities are buried in the proposed excavation site.
- Give potentially affected owners of buried utilities at least three (3) full working days notice of the intention to disturb the ground.
- Request that owners of buried utilities provide accurate locate information for their facilities. The owners may, in some cases, apply locate marks in the field. If so, the excavator/supervisor should meet the locator on site.

OBTAIN ALL NECESSARY INFORMATION BEFORE DISTURBING THE GROUND

- A Ground Disturbance Checklist is required to be filled out by the supervisor on site, and reviewed by operator and spotter before excavating or auguring can begin that day.
- Consider marking the limits of the job site with white flags. Stakes or paint may be used to provide the locators and project personnel with an accurate understanding of the proposed construction area. Use universal colour codes for marking underground utilities and project boundaries.
- Ensure that copies of locate documentation, including BC One Call ticket numbers, are on site at all times during the ground disturbance. Note: Maps and "as built" drawings may not always be accurate. They also may be hard to read because of the quality of the fax or photocopy.
- Maintain the buried utilities locate marks (if applicable).
- Request that owners perform a re-locate or provide accurate location information about their utilities if the extent of the ground disturbance increases beyond its initially proposed size and shape.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE - Continued : Excavation - Ground Disturbance

WHILE YOU ARE WORKING

HAND EXPOSE FACILITIES

- Hand expose all buried utilities before using mechanical excavation equipment.
- Hand exposing means exposing a buried utility, whose location has been marked, using non-powered tools and equipment (for example, a shovel).
- There are several things to remember when exposing a utility:
- Never probe for the utility with pointed tools such as pick axes or pointed bars.
- If possible, blunt shovels should be used to expose the facility. If spade-shaped shovels are used, caution should be taken, especially with newer, sharper spade shovels.
- Diggers should never jump on or use their entire body weight on the shovel when digging.
- Use a prying (rather than striking) motion to loosen hard dirt.
- Recommended digging technique involves digging on an angle if possible, such that any contact with the utility is a glancing blow as opposed to a direct hit. Digging from the side to expose the utility also helps reduce the chance of damaging the utility.
- Normally, the hand exposure process would begin at or near the locate marks and work down and outward into the hand expose zone until the buried utility is found.
- If the excavator has made a reasonable attempt to hand expose a buried utility but cannot find it, the excavator must immediately contact the utility owner directly for help. Once all the buried utilities have been hand exposed and are clearly visible, the excavator may use mechanical equipment (but not within the distance specified by the utility owner).

NOTE: The hand expose zone is a distance 1 m either side of the locate marks within which excavation with mechanical equipment must not take place, until the buried utility has been hand exposed and is clearly visible. Once exposed and visible, equipment can be used based on utility owner guidelines. Due caution must be used at all times.

HIGH-PRESSURE PIPELINES

- High-pressure pipelines are dealt with under special situations. Excavating within a right of way and around transmission and intermediate pipelines will require permits. Mechanical equipment may be used **ONLY** to remove surface cover (e.g., concrete, asphalt) or clear away loosened material down to the limits of the hand dig area before resuming hand digging.

EXCAVATING

- Quite often, construction activities such as road construction or curb and gutter replacement require excavation parallel to a buried facility. In this situation, the excavator must contact the owner of the buried facility for advice on how to proceed. The excavator should note that buried facilities—particularly shallow utilities (e.g., telephone, cable TV, electric and natural gas)—are not necessarily installed in a straight alignment.
- If utilities on a site all run in one direction dig with the excavator bucket in the same direction.
- A spotter must be used any time an excavator is excavating.
- Spotters are to inform operator of any abnormalities including exposing sand or warning tape.

HYDROVACING

- If it is not practical to hand dig, hydrovacing or air vacing may be considered. Check with facility owners to ensure hydrovacing is permitted and under what restrictions—such as maximum pressure, maximum temperature or type of nozzle.
- Hydrovacing is the use of pressurized water to liquefy and loosen soil, which is then removed from the excavation by the use of on-truck vacuum systems and hoses.
- Hydrovacing is faster and easier than hand digging and is helpful when the excavation is complex and involves multiple lines. Hydrovacing may not work in all situations and may be expensive. When hydrovacing operators must avoid damage to the coating of utilities as well as the methods of soil disposal.

SUPPORT REFILL BACK-FILL UTILITIES

- Support and protect exposed utilities. Unsupported exposed facilities may sag and cause breaks or damage.
- Return an exposed utility to its original position.
- Ensure care is taken to back-fill or re-fill exposed utilities. Some utilities may require special fill such as fine gravel or sand.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE - Continued : Excavation - Ground Disturbance

ACCIDENTAL CONTACT AND UTILITY EMERGENCY PROCEDURES

Stop ground disturbance work immediately if accidental contact is made with that utility. Notify utility owner immediately. If the utility cannot be identified, contact BC One Call.

Contact could include:

- Puncturing or cracking
- Flattening
- Scratching
- Denting the surface
- Gouging
- Damaging the protective coating

GAS UTILITY CONTACT

1. Remove all sources of ignition.
2. Turn off all mechanical equipment and vehicles.
3. Stop all work immediately. Contact 911 and Hydro or power supplier immediately.
4. Do not backfill. Gas company must be able to repair or check the integrity of the piping system.
5. If gas is escaping evacuate the area. Move people upwind if possible and prevent cars and bystanders from entering the area.

ELECTRICAL UTILITY CONTACT

1. Immediately contact the Utility owner.
2. Move the digger bucket clear of the cable to break contact.
3. If the machine cannot be moved, keep workers 10 m away and have the operator remain in the vehicle.
4. If there is an uncontrollable fire jump off the machine keeping your feet together. Never contact the machine and the ground at the same time.
5. Once clear of the machine shuffle away keeping the feet together to a minimum distance of 10 m.

COMMUNICATIONS UTILITY CONTACT

1. Immediately contact the utility owner; if not known, contact BC One Call.
2. Move the equipment, exit the trench and await response from the utility owner.

Contact WorkSafeBC immediately if it was necessary to evacuate people from buildings as a result of a major gas release, gas seeped into sewers or drains, the gas ignited or if any worker sustained a serious injury or a worker fatality occurred.

If an emergency occurs while conducting this task, or there is an equipment malfunction, shut the equipment off immediately and follow the lockout procedure.

REPORT ANY HAZARDOUS SITUATION TO YOUR SUPERVISOR/MANAGER OR EMPLOYER IMMEDIATELY.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE

HEALTH & SAFETY PROGRAM

NAME OF SAFE JOB PROCEDURE	Working at Heights	SJP#	00-03
DATE DEVELOPED	March 12, ----	REVISION DATE	December 13, ----
DATE OF APPROVAL	March 13, ----	MANAGEMENT SIGNATURE	<i>Joseph Sauer</i>
REVIEWED BY JHSC	Jane Linkletter	DATE	March 12, ----







INSTRUCTIONS

- This safe job procedure must be reviewed annually or any time the task, equipment or materials change.
- Do **NOT** perform this procedure until you have been appropriately trained and authorized to do so by your supervisor.

REQUIRED TRAINING

- All employees who will be working at heights shall receive training and instruction on the contents of this SOP and in the proper use, selection, and inspection, care, limitations, and maintenance requirements of their personal fall protection equipment. Training shall also include hazard recognition concerning working at heights, as well as the use of guardrails and warning lines or tape.
- Training on this procedure will be performed by a competent person. The training will be documented and the documentation submitted to the safety department.

REQUIRED PPE

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
						
EYE PROTECTION	SAFETY FOOTWEAR CSA APPROVED	HAND PROTECTION	PROTECTIVE CLOTHING	FALL PROTECTION EQUIPMENT CSA/ ANI APPROVED	FULL BODY HARNESS/ LANYARD	SELF RETRACTING LANYARD/ ANCHOR

POTENTIAL HAZARDS

PRE HAZARD RATING

A - HIGH

POST HAZARD RATING

B - MEDIUM

- Fall more than 3 metres.
- Falling more than 1.2 metres, if the work area below is used as a path for a material handling equipment or similar equipment.
- Falling into operating machinery.
- Falling into water or another liquid.
- Falling into or onto a hazardous substance or object.
- Falling through an opening in a work surface.

PRE-OPERATIONAL SAFETY CHECKS

- ✓ A scene survey to identify hazards.
- ✓ Determining the type of safety equipment required.
- ✓ Ensuring access to help in the event of an emergency.
- ✓ Completing an inspection of the tie-off point by a competent person.
- ✓ Allowing only 1 worker per tie-off point.
- ✓ Using a fall protection system attached to an anchor point when an employee or contractor is working on an elevating work platform (i.e., aerial work platform).
- ✓ Following manufacturer instructions to assemble, maintain, inspect, use, and disassemble the fall protection system.

BEFORE YOU START WORK

Fall protection systems must be inspected by a competent person.

- Before every use
- Annually

Never use fall protection equipment or a tie-off point presenting a deformation or any damage to the steel.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE - Continued : Working at Heights

LIFELINE OR LANYARD

- Before using a lifeline or lanyard ensure that the lifeline or lanyard is:
 - » Free of imperfections, knots, and splices, other than end terminations.
 - » Protected by padding where the lifeline or lanyard passes over sharp edges.
 - » Protected from heat, flame or abrasive or corrosive materials during use.
- Before using a vertical lifeline ensure that:
 - » The lower end extends to the ground or to a safe landing.
 - » The lifeline is protected at the lower end to ensure that the line cannot be fouled by any equipment.

FULL-BODY HARNESS

- Before using a full-body harness, ensure that the full-body harness:
 - » Is properly adjusted to fit the worker securely.
 - » Is attached by means of a connecting linkage to a fixed anchor or a lifeline.
 - » Connecting linkage is attached to a personal fall arrest system, lifeline, or a fixed anchor.

LADDERS / SCAFFOLDS / AERIAL WORK PLATFORMS

- Trained and authorized operators shall conduct pre-use inspections on all ladders, scaffolds and aerial work platform equipment in addition to their fall protection equipment before each use to ensure that it is in good working order and safe to use.

Any issue found during a pre-use inspection shall be reported immediately to their supervisor who will take appropriate action which can include taking it out of service, calling in a service provider to repair equipment, or cutting up and throwing out damaged fall protection equipment (to ensure that it cannot be reused).

FALL PROTECTION SITUATIONS

During Ladder Use: Fall protection is required when working from a ladder at a height of more than 3 metres above the nearest permanent safe level. Regulations permit workers to work from a ladder without fall protection if:

1. The work is a light duty task of short duration, such as touch-up painting.
2. The worker's centre of gravity is maintained between the ladder's side rails.
3. The worker can maintain 3-point contact (such as two feet and one hand) with the ladder.
4. The ladder is not positioned near an edge or floor opening that would significantly increase the potential fall distance.

During Aerial Work Platform Use: Only trained and authorized operators are permitted to operate aerial work platform equipment. Training shall be specific to the equipment and include both a theoretical and practical session by a third-party training provider, as well as include training on the fall protection equipment. Ensure all personal protective equipment is worn. If an employee is working on a temporary platform at a height greater than 3 metres, a fall arresting device must be used and connected to the engineered connection point. All employees must ensure they have the proper harness and equipment and have been trained on correct use.

USING A TRAVEL RESTRAINT SYSTEM

A travel-restraint system lets a worker travel just far enough to reach the edge but not far enough to fall over. The basic travel-restraint system consists of:

- CSA-approved full body harness.
- Lanyard.
- Lifeline.
- Rope grab to attach harness or lanyard to lifeline.
- Adequate anchorage (capable of supporting a static load of 2 kilonewtons—450 pounds—with a recommended safety factor of at least 2, that is, 4 kilonewtons or 900 pounds).

Travel-restraint arrangements must be thoroughly planned, with careful consideration given to:

1. Selection of appropriate components.
2. Location of adequate anchor points.
3. Identification of every fall hazard in the proposed work area.
4. Try to select an anchor point that is as close as possible to being:
 - i. Perpendicular to the unprotected edge, and
 - ii. At the centre of the work area. All fall hazards in the work area must be identified.

Pay special attention to work areas with irregular shaped perimeters, floor openings, or locations near corners. A fully extended lifeline and/or lanyard that adequately restrains a worker from a fall hazard in one section of the work area may be too long to provide the same protection in another section.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE - Continued : Working at Heights

Two methods of travel restraint are commonly used:

1. Connecting an adequately anchored lifeline directly to the D-ring of the worker's full body harness. It is critical that the length of the lifeline, measured from the anchor point, is short enough to restrain the worker from any fall hazard.
2. Attaching a lanyard from the D-ring of the worker's full body harness to a rope grab on an adequately anchored lifeline. There must be some means - such as a knot in the lifeline - to prevent the rope grab from sliding along the lifeline to a point where the worker is no longer restrained from falling.

Whether method 1 or 2 is used, the system must be adjusted so that the fully extended lifeline and/or lanyard prevents the worker from reaching any point where the worker may fall. The system must also be securely anchored.

USING A FALL ARREST SYSTEM

A fall arrest system shall:

Be adequately secured to an anchor point, or a lifeline that is:

1. Securely fastened to an anchor point.
2. Attached to a static line that is securely fastened to an anchor point that is capable of withstanding either the maximum load likely to be imposed on the anchor point or a load of 16 kN (3600 lbs), whichever is greater. Include a lanyard that:
3. Is attached to an anchor point or lifeline, where practicable, above the shoulder of the user. Complies with CSA Standard Z259.1-1995, "Fall Arresting Safety Belts and Lanyards for the Construction and Mining Industries".
4. Is as short as work conditions permit.
5. Is constructed of Nylon, polyester or polypropylene rope or webbing or wire rope that is equipped with an approved shock absorbing device.
6. Is equipped with suitable snap hooks.
7. Is approved and maintained. Note: It is recommended that shock absorbers be used if the arresting forces of the lanyard alone can cause injury. Prevent a free fall greater than 1.22 m where:
8. The fall arrest system is not equipped with a shock absorption system that complies with CSA Standard Z259.11-M92, "Safety Belts and Lanyards", and that reduces the shock level of any fall to less than 4 kN.
9. The combined free fall and shock absorbed deceleration distance exceeds the distance between the work area and a safe surface. Include a full body harness that:
 - Is attached to a lanyard.
 - Is adjusted to fit the user of the harness.
 - Complies with CSA Standard Z259.11-M90, "Full Body Harnesses". Where a snap hook is used as an integral component of a personal fall arrest system, connecting linkage, full-body harness or lifeline, an employer or contractor shall ensure that the snap hook is self-locking, is approved, and maintained.

The company shall ensure that a lifeline:

- Is available for each employee that may require one.
- Is suitable for the conditions in which the lifeline is to be used, having regard to factors including strength, abrasion resistance, extensibility, and chemical stability.
- Is made of wire rope or synthetic material.
- Vertical lifelines must have a minimum diameter of:
 - » 12 millimetres if the lifeline is made of nylon.
 - » 15 millimetres if the lifeline is made of polypropylene.
 - » 8 millimetres if the lifeline is made of wire rope.
- Horizontal lifelines must be designed and certified as safe by a professional engineer; or manufactured to an approved standard; and installed and used in accordance with the manufacturer's recommendations.
 - » Is free of imperfections, knots, and splices, other than end terminations.
 - » Is protected by padding where the lifeline passes over sharp edges.
 - » Is protected from heat, flame or abrasive or corrosive materials during use.
 - » Is fastened to a secure anchor point that:
 - › Has a breaking strength of at least 22.2 kilonewtons.
 - › Is not used to suspend any platform or other load.
 - › Is maintained according to the manufacturer's recommendation.
 - › Has a lower end extending to the ground or to a safe landing.
 - › Is protected at the lower end to ensure that the line cannot be fouled by any equipment.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE - Continued : Working at Heights

RESCUE PROCEDURE

If an employee falls, and their fall is arrested by fall protection equipment, the following procedure will be used to rescue the worker:

1. An elevating work platform will be always kept on site that will be high enough to reach any worker who has fallen.
2. Before workers attempt a rescue, they must ensure that they have all the required personal protective equipment for themselves and for the casualty (fall protection equipment for themselves, and at least a new lanyard for the victim).
3. Depending on the lifting capabilities of the elevating work platform being used (if it can lift safely two people plus the casualty) two workers will maneuver the elevating work platform beneath the fallen worker.
4. The workers will bring the lift up directly underneath the fallen worker until the injured worker touches the floor of the elevating work platform.
5. Once the casualty is safely on the floor of the elevating work platform, only then can the rescue workers disconnect his/her fall protection device.
6. The rescue workers must then connect the casualty's harness to the elevating work platform for the trip down.
7. The elevating work platform must reach high enough for the casualty to touch the floor.
8. When the casualty reaches the ground, the first aid responder will attend to them, and the casualty will be taken to the closest medical facility to be attended by a doctor.

If the casualty is unconscious or there is reason to suspect a back or a neck injury, emergency services must be called before any rescue attempt is made.

- It is important that you not allow the victim to lie on the ground, as this can cause a heart attack and multiple organ failure when the deoxygenated blood comes flooding back to the heart.
- Keep the person in a kneeling position, then a sitting position for the first 30 minutes after the rescue. Emergency personnel must be informed of how long the employee was suspended in the fall arrest to ensure correct medical attention.
- Prolonged suspension from a fall arrest system can cause orthostatic intolerance, which in turn can result in physical injury, or potentially, death.
- Research indicates that suspension in a fall arrest device can result in unconsciousness, followed by death, in less than 30 minutes as blood begins to pool in the lower extremities.
- A person suspended after a fall can feel dizzy in as little as three minutes, experience loss of consciousness in as little as 10 minutes.

If an emergency occurs while conducting this task, or there is an equipment malfunction, shut the equipment off immediately and follow the lockout procedure.

REPORT ANY HAZARDOUS SITUATION TO YOUR SUPERVISOR/MANAGER OR EMPLOYER IMMEDIATELY.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE

HEALTH & SAFETY PROGRAM

NAME OF SAFE JOB PROCEDURE	Electrical – Overhead Power Line	SJP#	00-04
RELEASE DATE	March 23, ----	REVISION DATE	December 14, ----
DATE OF APPROVAL	January 23, ----	MANAGEMENT SIGNATURE	<i>Stanley Trevino</i>
REVIEWED BY JHSC	Jane Linkletter	DATE	January 24, ----





INSTRUCTIONS

- This safe job procedure must be reviewed annually or any time the task, equipment or materials change.
- Do **NOT** perform this procedure until you have been appropriately trained and authorized to do so by your supervisor.

REQUIRED TRAINING

- Accidents involving contact with overhead power lines can not only damage equipment, but also cause serious injuries and even death.
- If your job requires you to work near overhead power lines — roofing, installing antennas, pruning trees or operating cranes, for example - make sure you exercise caution at all times and work outside of the limits of approach of 10 metres or more. Otherwise proper training, qualifications and equipment is required!

REQUIRED PPE

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
			
EYE PROTECTION	SAFETY FOOTWEAR CSA APPROVED	HAND PROTECTION	HIGH VISIBILITY VEST

POTENTIAL HAZARDS

PRE HAZARD RATING

A - HIGH

POST HAZARD RATING

B - MEDIUM

- Electrical Chock
- Thermal Burns

PRE-OPERATIONAL SAFETY CHECKS

INFORM PERSON WORKING CLOSE TO HIGH VOLTAGE EQUIPMENT

- The existence, location and voltage of electrical equipment and conductors.
- Work arrangements and procedures to be followed.
- Electricity can flow through objects that are touching energized power lines.
- Electricity can also move across a gap from a line to an object that is close by.
- Keep a safe distance from power lines. Ten metres is generally considered the minimum safe distance.
- Keep your distance even if a power line appears to be broken or grounded, because the line could still be energized.
- Contact with an energized line can injure or kill

3 KEYS TO ELECTRICAL SAFETY

- 1. Look up and down:** Plan your work so you can avoid contact with power lines. Make sure you look for power lines overhead and underground.
- 2. Stay back:** If you're working around power lines, keep a safe distance from the lines. You should be at least 10 metres (33 feet) away from the lines and your equipment should be at least 6 metres (20 feet) away. Use a spotter to make sure you're maintaining this minimum safe distance.
- 3. Call for help:** If you come across a fallen power line, an exposed underground power line, or any object comes into contact with a power line, stay back 10 metres (33 feet) and call 911. If your equipment contacts a line, stay calm and stay still until help arrives.

GENERAL

- Look up before raising long-handled tools and equipment to make sure they won't come in contact with a power line. Always carry them horizontally.
- If you need to cut a branch, be sure it won't fall into power lines. Should a branch fall into our lines,
- Make sure ladders can't come into contact with power lines in case they fall over.
- Work only in good weather. Thunderstorms, rain, winds and damp or icy ground can cause you to lose control & come into contact with power lines.
- Don't assume a power line is insulated. Although overhead power lines may appear to be insulated, often these coverings are intended only to protect metal wires from weather conditions and may not protect you from electric shock.
- Never work alone in proximity to high voltage lines.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE - Continued : Electrical - Overhead Power Line

BEFORE YOU START WORK

LIMITS OF APPROACH

For work near energized high-voltage electrical lines:

- WorkSafeBC regulations specify the safe limits of approach that must be maintained by any worker, work, tool, machine, equipment or material. That includes equipment like ladders, power tools, scaffolding, cranes, and machinery.

The minimum safe distance to prevent this from happening is called a "limit of approach" and it is determined by:

- The range of voltage in the line.
- The experience of the worker.
- And the equipment being used.

These distances apply not just to workers, but to tools, machines or other equipment. If you will be working near sources of high-voltage electricity, you must follow these limits of approach.

GENERAL LIMITS OF APPROACH

GENERAL LIMITS OF APPROACH	MINIMUM DISTANCE	
	METRES	FEET
Over 750 V to 75 kV	3	10
Over 75 V to 250 kV	4.5	15
Over 250 V to 550- kV	6	20

If work is needed inside the limits of approach, contact the local Utility to determine what steps are necessary to protect those working at the site. Completion of WorkSafeBC form 30M33 may be required to ensure the appropriate "assurance in writing" is obtained and documented for the particular circumstances in order to continue working safely.

EMERGENCIES

PERSON CONTACT

If the person has come into contact with high-voltage, outdoor wires, call 911 and then the power company immediately. Do not attempt to touch the person or to try to free the person from the wires. Stay at least 10 metres away from any downed wires at all times.

After the person has been separated from the electrical source, you should:

1. Check his breathing and heartbeat. If the person is not breathing, begin mouth-to-mouth resuscitation. If the person's heart has stopped beating, start CPR if you're trained to do so.
2. Treat the victim for shock. Keep him lying down. If the victim is unconscious, lie on his side to allow drainage of fluids. Cover him enough to maintain body heat.
3. Do not move the victim if you suspect neck or spine injury.
4. Treat burn by immersing in cold water. Do not apply grease or oil. For severe burns, cut away loose clothing and cover the burned area with a sterile dressing.

VEHICLE OR EQUIPMENT CONTACT

1. If possible, remain in the vehicle until help arrives.
2. If you must leave your vehicle, avoid making contact with the vehicle and ground at the same time. Jump from the vehicle, landing with both feet together. Shuffle or hop away, keeping both feet in contact with each other until you are at least 10 metres from the vehicle. If you run, your legs may bridge current from areas of high and low voltage, resulting in electric shock.

If an emergency occurs while conducting this task, or there is an equipment malfunction, shut the equipment off immediately and follow the lockout procedure.

REPORT ANY HAZARDOUS SITUATION TO YOUR SUPERVISOR/MANAGER OR EMPLOYER IMMEDIATELY.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE

HEALTH & SAFETY PROGRAM

NAME OF SAFE JOB PROCEDURE	Dumping a Hydro Excavated Debris Tank	SJP#	00-05
HAZARD RATING	<input checked="" type="checkbox"/> HIGH <input type="checkbox"/> MODERATE	<input type="checkbox"/> LOW	
DATE DEVELOPED	June 12, ----	REVISION DATE	May, ----
REVIEWED BY (name & title)	Stanley Trevino - Manager Residential	DATE	June 15, ----
REVIEWED BY (name & title)	Jane Linkletter - JHSC Member	DATE	June 14, ----



INSTRUCTIONS

- Management and Worker representatives must review this safe job procedure (SJP) prior to implementation, annually, or any time the task, equipment, or materials change.
- Do **NOT** perform this procedure until you have been appropriately trained and authorized to do so by your supervisor.

REQUIRED TRAINING

- Class 3 or Class 1
- On-the-job (including electrical safety, safe limits of approach, step potential, PPE)

REQUIRED PPE

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
							
EYE PROTECTION	FACE SHIELD	SAFETY FOOTWEAR	HEARING PROTECTION	TYPE OF GLOVES	HARD HAT	PROTECTIVE CLOTHING	NO LOOSE CLOTHING, JEWELRY

POTENTIAL HAZARDS

FALL FROM WORKING ON TOP OF DEBRIS TANK

- Use fall protection if > 3m/10 ft.
- Maintain 3 points of contact when climbing up and down.

CRUSH INJURY FROM RAISED TANK LID

- Do not go under the raised tank lid until safety pins are put in place.

OVERHEAD STRUCTURES

- Conduct site assessment of the dump area to ensure clearance from the overhead structure and minimum approach distance can be maintained from overhead power lines.
- Only dump at approved dump sites in approved locations.

UNEVEN OR UNSTABLE GROUND

- Ensure the truck is parked on solid stable ground before opening the debris tank.

UNEXPECTED TRAFFIC (PEDESTRIAN OR VEHICULAR)

- Communicate a plan to dump and flush the tank.
- Use a spotter when backing up.
- Ensure the truck is parked in a manner to contain slurry.
- Clear the area behind the truck and prohibit entry during work.

LOUD NOISE LEVELS

- Wear hearing protection.

WORKING AROUND MOVING EQUIPMENT

- Wear high visibility clothing.

SPLASH BACK

- Wear foot, eye, or face protection and head protection and protective clothing.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

SAFE JOB PROCEDURE - Continued : Dumping a Hydro Excavated Debris Tank

PRE-OPERATIONAL SAFETY CHECKS

- ✓ Ensure the boom is parked in the cradle and the truck is safe to be moved.
- ✓ Conduct a ground stability assessment before dumping.
- ✓ Conduct an area assessment and implement a traffic management plan as needed to prevent entry into the path of the slurry or flying debris.
- ✓ Communicate the plan to dump and flush.
- ✓ Obtain a Spotter to assist with reversing.
- ✓ Identify to avoid raised debris tank contact with any overhead structure and maintain a minimum approach distance of at least 3 meters (10 feet) to overhead power lines.

BEFORE YOU START WORK

1. Communicate a plan to dump and flush the debris tank.
2. Only dump at approved dump sites in approved locations.
3. Inspect the dump site for overhead obstructions.
4. Put on the required PPE before exiting the truck.
5. Walk the area of the dumpsite before backing in to ensure the truck is parked on solid stable ground before opening the debris tank.
6. Use an assistant/spotter when backing in. Ensure the assistant/spotter is positioned such that they can be seen/communicated with.
7. Ensure the truck is parked in a manner that will allow slurry to be contained.
8. Ensure the boom is parked in the cradle before dumping.
9. Establish the size of the danger zone.
10. Do not allow anyone to stand at the back of the truck or in the path of the debris when dumping.
11. Set the park brake.
12. Deflate the air suspension.

WHILE YOU'RE WORKING

1. Engage the hydraulic PTO.
2. Activate the desired control system.
3. Open the mud gate cylinder lock-out valve.
4. Open the mud gate.
5. Place safety pin.
6. If you wash out the debris tank with a wash out wand, stand on either the right- or left-hand side of the hydrovac unit to avoid being struck by the debris. **Do NOT enter the tank.**

AFTER YOU FINISH

1. Once the debris tank has been cleaned, remove the safety pin, and ensure the door seal is clean and free of rocks and debris.
2. Lower the door to the normal position.
3. Close the rear door and engage the lock pins.
4. Return the valves to the closed position.
5. Secure equipment before driving.

If an emergency occurs while conducting this task, or there is an equipment malfunction, shut the equipment off immediately and follow the lockout procedure.

REPORT ANY HAZARDOUS SITUATION TO YOUR SUPERVISOR/MANAGER OR EMPLOYER IMMEDIATELY.

Element 10: Investigations & Reporting

Policy

Incident investigation and reporting are good safety management practices and BCCSA Construction's obligation and regulatory requirement. The incident investigation aims to determine the cause and implement suitable corrective measures to prevent further incidents.

This element provides a standardized procedure for the investigation and reporting process. Using a team-based approach, BCCSA Construction will investigate incidents, accidents and near-miss occurrences. The immediate supervisor will lead the Incident Investigation with the assistance of the worker representative from the Joint Health and Safety Committee (JHSC). All investigations will be reviewed by senior management.

Following an incident, BCCSA Construction will immediately undertake the following:

- A preliminary investigation within 48 hours of the incident.
- An interim corrective action report which addresses the findings of the preliminary investigation.
- A full investigation report within 30 days of the incident.
- A full corrective action report that addresses the findings of the full investigation .

Reports should meet legislative and corporate reporting requirements and track the trends of incidents.

Definitions

- An incident is an accident or other occurrence that resulted in or had the potential to cause an injury or occupational disease.
- A near miss is an event or sequence of events that had the potential to cause serious injury, ill health or property damage.
- An accident is an event or sequence resulting in any injury, illness or property damage.

Responsibilities

Management

- Provides the necessary resources to implement approved corrective and preventative actions.
- Ensures all workers receive training and education in the reporting of incidents.
- Ensure regulatory reporting requirements are followed for the incident types stated in Section 68 of the *Workers Compensation Act* (Note: Types are stated under "Immediate Notice of Certain Accidents" on the following page).

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

PRELIMINARY INVESTIGATION ☐

FINAL INVESTIGATION ☐

EMPLOYEE NAME	INCIDENT LOCATION	DATE & TIME OF INCIDENT
JOB TITLE	EMAIL ADDRESS	DATE REPORTED

DESCRIPTION OF INCIDENT/INJURIES

Use additional pages as necessary. Describe what happened and include the sequence of events that preceded the incident.

INCIDENT CATEGORY

<input type="checkbox"/>	Workplace Injury requiring medical aid
<input type="checkbox"/>	Near Miss – minor injury or had potential for causing serious injury
<input type="checkbox"/>	Property Damage
<input type="checkbox"/>	Fire
<input type="checkbox"/>	Equipment Damage
<input type="checkbox"/>	Vehicle Damage
<input type="checkbox"/>	Security
<input type="checkbox"/>	Environmental
<input type="checkbox"/>	Other:

PHOTOS

PERSONS INVOLVED AND/OR WITNESSES

NAME		JOB TITLE		EMAIL	
NAME		JOB TITLE		EMAIL	
NAME		JOB TITLE		EMAIL	

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

CAUSES & CONTRIBUTING FACTORS (unsafe conditions, acts, or procedures)

ROOT CAUSES (for final investigation only)

CORRECTIVE ACTIONS

RECOMMENDED CORRECTIVE ACTION	ACTION ASSIGNED TO: (NAME/TITLE)	EXPECTED COMPLETION DATE	ACTUAL COMPLETION DATE

IF PRELIMINARY REPORT NOT COMPLETED WITHIN 48 HOURS, REASON FOR DELAY:

REPORT COPIED TO

- ☐ MANAGEMENT
- ☐ JHSC
- ☐ WORKSAFEBC
- ☐ OTHER

PREPARED BY		DATE	
REVIEWED BY (JHSC Member)		DATE	
APPROVED BY (Employer Rep)		DATE	

COMPLETED REPORTS

Incident Investigation Report 1

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

PRELIMINARY INVESTIGATION ☐

FINAL INVESTIGATION ☒

EMPLOYEE NAME	INCIDENT LOCATION	DATE & TIME OF INCIDENT
Ron Huston	900 East Point Ave, Victoria, BC	July 02 @ 9:30 AM
JOB TITLE	EMAIL ADDRESS	DATE REPORTED
Mountain View Project #1790	JLinkletter@bccsaconstruction.ca	July 02

DESCRIPTION OF INCIDENT/INJURIES

Use additional pages as necessary. Describe what happened and include the sequence of events that preceded the incident.

When debris hit him in the eye Chris Tovell was cutting through a board with his cut-off saw when a piece of debris hit him. He reported to first aid and had this injury treated by Jane Linkletter.

INCIDENT CATEGORY

<input checked="" type="checkbox"/>	Workplace Injury requiring medical aid
<input type="checkbox"/>	Near Miss – minor injury or had potential for causing serious injury
<input type="checkbox"/>	Property Damage
<input type="checkbox"/>	Fire
<input type="checkbox"/>	Equipment Damage
<input type="checkbox"/>	Vehicle Damage
<input type="checkbox"/>	Security
<input type="checkbox"/>	Environmental
<input type="checkbox"/>	Other:

PHOTOS

PERSONS INVOLVED AND/OR WITNESSES

NAME	JOB TITLE	EMAIL
Chris Tovell	Labourer	ctovell@gmail.com
NAME	JOB TITLE	EMAIL
NAME	JOB TITLE	EMAIL

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

NAME	Ron Huston	JOB TITLE		EMAIL	June 02
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CAUSES & CONTRIBUTING FACTORS (unsafe conditions, acts, or procedures)

Chris explained that it was just a quick cut, so he didn't want to go get his eye protection.

ROOT CAUSES (for final investigation only)

Improper motivation - Chris was in a rush, so he did not make safety his priority. He knew he should have been wearing eye and said he would do so in the future.

CORRECTIVE ACTIONS

RECOMMENDED CORRECTIVE ACTION	ACTION ASSIGNED TO: (NAME/TITLE)	EXPECTED COMPLETION DATE	ACTUAL COMPLETION DATE
Make sure Chris is wearing eye protection and increase supervision.	Ron Huston	June 02	June 02

IF PRELIMINARY REPORT NOT COMPLETED WITHIN 48 HOURS, REASON FOR DELAY:

REPORT COPIED TO

	<input checked="" type="checkbox"/>	MANAGEMENT
	<input checked="" type="checkbox"/>	JHSC
	<input type="checkbox"/>	WORKSAFEBC
	<input type="checkbox"/>	OTHER

PREPARED BY	Ron Huston	DATE	June 02
REVIEWED BY (JHSC Member)	Jane Linkletter	DATE	June 02
APPROVED BY (Employer Rep)	John Wells	DATE	June 03

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

COMPLETED REPORTS

Incident Investigation Report 2

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

PRELIMINARY INVESTIGATION ☐

FINAL INVESTIGATION ☒

EMPLOYEE NAME	INCIDENT LOCATION	DATE & TIME OF INCIDENT
Ron Huston	900 East Point Ave, Victoria, BC	August 04 @ 1:30 PM
JOB TITLE	EMAIL ADDRESS	DATE REPORTED
Mountain View Project #1790	JLinkletter@bccsaconstruction.ca	August 04

DESCRIPTION OF INCIDENT/INJURIES

Use additional pages as necessary. Describe what happened and include the sequence of events that preceded the incident.

Fred Straight came to first aid at 1:30 PM with a laceration on his right hand. He was changing the blade of his Olfa knife when he accidentally cut his hands with the blade.

INCIDENT CATEGORY

<input checked="" type="checkbox"/>	Workplace Injury requiring medical aid
<input type="checkbox"/>	Near Miss – minor injury or had potential for causing serious injury
<input type="checkbox"/>	Property Damage
<input type="checkbox"/>	Fire
<input type="checkbox"/>	Equipment Damage
<input type="checkbox"/>	Vehicle Damage
<input type="checkbox"/>	Security
<input type="checkbox"/>	Environmental
<input type="checkbox"/>	Other:

PHOTOS

PERSONS INVOLVED AND/OR WITNESSES

NAME	JOB TITLE	EMAIL
Fred Straight	Carpenter	fstraight@gmail.com

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

CAUSES & CONTRIBUTING FACTORS (unsafe conditions, acts, or procedures)

Fred was not wearing gloves when he changed the Olfa Blade, which led to him getting cuts on his hand.

ROOT CAUSES (for final investigation only)

Our current SWP for the Olfa blade does not include changing the blades out. We need to get this fixed and then retrain workers once the SWP is updated.

CORRECTIVE ACTIONS

RECOMMENDED CORRECTIVE ACTION	ACTION ASSIGNED TO: (NAME/TITLE)	EXPECTED COMPLETION DATE	ACTUAL COMPLETION DATE
Update SWP and retrain.	Ron Huston	August 08	August 08

IF PRELIMINARY REPORT NOT COMPLETED WITHIN 48 HOURS, REASON FOR DELAY:

REPORT COPIED TO

	<input checked="" type="checkbox"/>	MANAGEMENT
	<input checked="" type="checkbox"/>	JHSC
	<input type="checkbox"/>	WORKSAFEBC
	<input type="checkbox"/>	OTHER

PREPARED BY	Ron Huston	DATE	August 04
REVIEWED BY (JHSC Member)	Jane Linkletter	DATE	August 04
APPROVED BY (Employer Rep)	John Wells	DATE	August 05

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

COMPLETED REPORTS

Incident Investigation Report 3

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

PRELIMINARY INVESTIGATION ☐

FINAL INVESTIGATION ☒

EMPLOYEE NAME	INCIDENT LOCATION	DATE & TIME OF INCIDENT
George Straight	441 Summit St, Vancouver, BC	June 05 @ 9:30 AM
JOB TITLE	EMAIL ADDRESS	DATE REPORTED
Piper Project	gstraight@bccsaconstruction.ca	June 05

DESCRIPTION OF INCIDENT/INJURIES

Use additional pages as necessary. Describe what happened and include the sequence of events that preceded the incident.

Martin reported to first aid today at 2:00 PM stating that he had some back pain. First aid gave him alternative duties for the rest of the day and that he should go to a doctor if he needs to and to tell us as soon as he does.

INCIDENT CATEGORY

<input checked="" type="checkbox"/>	Workplace Injury requiring medical aid
<input type="checkbox"/>	Near Miss – minor injury or had potential for causing serious injury
<input type="checkbox"/>	Property Damage
<input type="checkbox"/>	Fire
<input type="checkbox"/>	Equipment Damage
<input type="checkbox"/>	Vehicle Damage
<input type="checkbox"/>	Security
<input type="checkbox"/>	Environmental
<input type="checkbox"/>	Other:

PHOTOS

PERSONS INVOLVED AND/OR WITNESSES

NAME	JOB TITLE	EMAIL
Martin Docker	Carpenter	cdocker@gmail.com
NAME	JOB TITLE	EMAIL
NAME	JOB TITLE	EMAIL

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

CAUSES & CONTRIBUTING FACTORS (unsafe conditions, acts, or procedures)

Fatigue – Martin was moving materials all day causing his back to hurt.

ROOT CAUSES (for final investigation only)

Repetitive duties - Martin was moving too much stuff today and it probably wasn't good for his back.

CORRECTIVE ACTIONS

RECOMMENDED CORRECTIVE ACTION	ACTION ASSIGNED TO: (NAME/TITLE)	EXPECTED COMPLETION DATE	ACTUAL COMPLETION DATE
We should rotate duties so no one has to lift heavy materials all day.	George Straight	June 05	June 05

IF PRELIMINARY REPORT NOT COMPLETED WITHIN 48 HOURS, REASON FOR DELAY:

REPORT COPIED TO

	<input checked="" type="checkbox"/>	MANAGEMENT
	<input type="checkbox"/>	JHSC
	<input type="checkbox"/>	WORKSAFEBC
	<input type="checkbox"/>	OTHER

PREPARED BY	George Straight	DATE	June 05
REVIEWED BY (JHSC Member)		DATE	
APPROVED BY (Employer Rep)		DATE	June 05

COMPLETED REPORTS

Incident Investigation Report 4

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

PRELIMINARY INVESTIGATION ☐

FINAL INVESTIGATION ☒

EMPLOYEE NAME	INCIDENT LOCATION	DATE & TIME OF INCIDENT
Ron Huston	900 East Point Ave, Victoria, BC	June 10 @ 7:30 AM
JOB TITLE	EMAIL ADDRESS	DATE REPORTED
Mountain View Project #1790	JLinkletter@bccsaconstruction.ca	June 10

DESCRIPTION OF INCIDENT/INJURIES

Use additional pages as necessary. Describe what happened and include the sequence of events that preceded the incident.

Dean was working on the scaffolding and putting up siding when he accidentally nudged his hammer off the side of the scaffolding with his feet. Mike Ho was working 5 feet from where the hammer landed. When this incident occurred, there was no board on the scaffolding platform. This incident could have resulted in a fatality or severe injury. Mike Ho and Dean King reported this incident immediately.

INCIDENT CATEGORY

<input type="checkbox"/>	Workplace Injury requiring medical aid
<input checked="" type="checkbox"/>	Near Miss – minor injury or had potential for causing serious injury
<input type="checkbox"/>	Property Damage
<input type="checkbox"/>	Fire
<input type="checkbox"/>	Equipment Damage
<input type="checkbox"/>	Vehicle Damage
<input type="checkbox"/>	Security
<input type="checkbox"/>	Environmental
<input type="checkbox"/>	Other:

PHOTOS

PERSONS INVOLVED AND/OR WITNESSES

NAME	Mike Ho	JOB TITLE	Carpenter	EMAIL	fstraight@gmail.com
NAME	Dean King	JOB TITLE	Labourer	EMAIL	dking@gmail.com
NAME		JOB TITLE		EMAIL	

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

CAUSES & CONTRIBUTING FACTORS (unsafe conditions, acts, or procedures)

Unsafe condition – The scaffolding was not put together in compliance with the manufacturer’s instructions.

ROOT CAUSES (for final investigation only)

Inadequate training - We have not adequately trained our workers to identify a safe scaffolding platform. While a third party handles scaffolding setup, our workers should know what it looks like when scaffolding is set up according to the manufacturer’s specifications.

CORRECTIVE ACTIONS

RECOMMENDED CORRECTIVE ACTION	ACTION ASSIGNED TO: (NAME/TITLE)	EXPECTED COMPLETION DATE	ACTUAL COMPLETION DATE
Create and train a SWP for workers to check the scaffolding before use.	George Straight	June 16	June 16

IF PRELIMINARY REPORT NOT COMPLETED WITHIN 48 HOURS, REASON FOR DELAY:

REPORT COPIED TO

	<input checked="" type="checkbox"/>	MANAGEMENT
	<input checked="" type="checkbox"/>	JHSC
	<input type="checkbox"/>	WORKSAFEBC
	<input type="checkbox"/>	OTHER

PREPARED BY	Ron Huston	DATE	June 15
REVIEWED BY (JHSC Member)	Jane Linkletter	DATE	June 15
APPROVED BY (Employer Rep)	John Wells	DATE	June 16

COMPLETED REPORTS

Incident Investigation Report 5

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

PRELIMINARY INVESTIGATION ☐

FINAL INVESTIGATION ☒

EMPLOYEE NAME	INCIDENT LOCATION	DATE & TIME OF INCIDENT
Ron Huston	900 East Point Ave, Victoria, BC	May 15 @ 7:30 AM
JOB TITLE	EMAIL ADDRESS	DATE REPORTED
Mountain View Project #1790	JLinkletter@bccsaconstruction.ca	May 15

DESCRIPTION OF INCIDENT/INJURIES

Use additional pages as necessary. Describe what happened and include the sequence of events that preceded the incident.

Michael Best was cutting a 2x4 with a chop saw when a piece of wood flew into his eye. After this incident, he reported his injury to Jane, who flushed out his eye at the wash station. Arthur Milne, who witnessed the event, stated that Michael was not wearing eye protection at the time of the incident.

INCIDENT CATEGORY

<input checked="" type="checkbox"/>	Workplace Injury requiring medical aid
<input type="checkbox"/>	Near Miss – minor injury or had potential for causing serious injury
<input type="checkbox"/>	Property Damage
<input type="checkbox"/>	Fire
<input type="checkbox"/>	Equipment Damage
<input type="checkbox"/>	Vehicle Damage
<input type="checkbox"/>	Security
<input type="checkbox"/>	Environmental
<input type="checkbox"/>	Other:

PHOTOS

PERSONS INVOLVED AND/OR WITNESSES

NAME	Michael Best	JOB TITLE	Labourer	EMAIL	mbest@gmail.com
NAME	Arthur Milne	JOB TITLE	Carpenter	EMAIL	amilne@gmail.com
NAME		JOB TITLE		EMAIL	

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

INCIDENT INVESTIGATION REPORT

HEALTH & SAFETY PROGRAM

CAUSES & CONTRIBUTING FACTORS (unsafe conditions, acts, or procedures)

Michael Best was cutting a 2x4 without wearing eye protection. This act does not comply with BCCSA Construction's Safe Work Practice for the Chop Saw.

ROOT CAUSES (for final investigation only)

After reviewing the toolbox talk records for the past six months on the Mountain View Project, we have not reviewed the Chop Saw Safe Work Practice recently or anything related to eye protection. We should review these issues more frequently to ensure workers think about these hazards more frequently.

CORRECTIVE ACTIONS

RECOMMENDED CORRECTIVE ACTION	ACTION ASSIGNED TO: (NAME/TITLE)	EXPECTED COMPLETION DATE	ACTUAL COMPLETION DATE
Review the Safe Work Practice for Chop Saw. Use at tomorrow's meeting.	Ron Huston	May 16	May 16

IF PRELIMINARY REPORT NOT COMPLETED WITHIN 48 HOURS, REASON FOR DELAY:

REPORT COPIED TO

	<input checked="" type="checkbox"/>	MANAGEMENT
	<input checked="" type="checkbox"/>	JHSC
	<input type="checkbox"/>	WORKSAFEBC
	<input type="checkbox"/>	OTHER

PREPARED BY	Ron Huston	DATE	May 15
REVIEWED BY (JHSC Member)	Jane Linkletter	DATE	May 15
APPROVED BY (Employer Rep)	John Wells	DATE	May 16

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

Observation Tour Notes

Main Office/ Shop - 123 Main Street, Vancouver, BC.

Audit Question: 4.4 – Are safe job procedures followed on a regular basis?

Observation Question: 4.4 Do workers follow the safe job procedures while performing their work?

ARG: Verify workers are following the step-by-step instructions in the written Safe Job Procedure while they perform their work.

AUDITOR NOTES

There is a dumping pit for excavated materials, in the shop area of the yard. Throughout the observation period the workers followed the "Dumping Hydro Excavating Debris Tank" safe work procedure.

Workers wore the correct PPE (hard hat, safety footwear, hi-viz vest, eye protection, fall protection harness / lanyard that was attached to the anchor point, and hearing protection). The area was clear of overhead structures, and workers conducted a pre-operational check prior to starting work. They followed the 12 steps in the procedure "Before you Start work". Another part of the procedure, "While you're Working" - 6 steps was followed during the dumping of the tank. At the completion of the dump the last part of the procedure "After you Finish" – these 5 steps were followed.

The auditor reviewed the workers' training records confirmed training requirements were current as per procedure requirement.

Audit Question: 13.1 – Are copies of relevant legislation posted at each workplace?

Observation Question: 13.1 Are copies of relevant legislation posted or made available to workers?

ARG: Verify applicable legislation is readily available. / Verify a notice identifying the location of the applicable publications have been posted.

AUDITOR NOTES

Observed copies of relevant legislation in the Office/shop lunchrooms, and a poster of how legislation can be accessed online.

Project Site: Forest Lawn Project #1810, 1209 120th Street, Kelowna, BC.

Audit Question: 4.4 – Are safe job procedures followed on a regular basis?

Observation Question: 4.4 Do workers follow the safe job procedures while performing their work?

ARG: Verify workers are following the step-by-step instructions in the written Safe Job Procedure while they perform their work.

AUDITOR NOTES

On the project site hydro excavating was in progress to locate underground utilities. The workers were observed following the "Hydro Excavating" safe work procedure.

Workers were wearing the correct PPE (hard hat, safety footwear, hi-viz vest, eye protection, hearing protection). The site was clear of overhead structures, and a pre-operational check was conducted by workers prior to starting work. Workers followed the 10 steps part of the procedure "Before you Start work". During the hydro excavating, the employees followed the last 2 steps of the procedure "While you're Working"

The auditor reviewed the workers' training records confirmed training requirements were current as per procedure requirement.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

Audit Question: 13.1 – Are copies of relevant legislation posted at each workplace?

Observation Question: 13.1 Are copies of relevant legislation posted or made available to workers?

ARG: Verify applicable legislation is readily available. / Verify a notice identifying the location of the applicable publications have been posted.

AUDITOR NOTES

WorkSafeBC OHS regulations were on the lunchroom tables in the job site trailers. Notice posted to identify the location of the applicable publications (WorkSafeBC OHS regulations) on the safety board outside trades trailer.

Project Site: Mountain View Project #1790, 900 East Point Ave. Victoria, BC.

Audit Question: 4.4 – Are safe job procedures followed on a regular basis?

Observation Question: 4.4 Do workers follow the safe job procedures while performing their work?

ARG: Verify workers are following the step-by-step instructions in the written Safe Job Procedure while they perform their work.

AUDITOR NOTES

On the project site work was conducted on the overhead powerlines. The workers were observed following the “Electrical – Overhead Power Line” safe work procedure.

The limits of Approach were identified by the crew prior to starting work, this information was found on pages 2 and 3 of the procedure, and the emergency portion of the procedure was addressed with crew prior to starting work.

Workers wore the correct PPE (hard hat, safety footwear, hi-viz vest, eye protection, hand protection), and a pre-operational check prior to starting work was followed. Workers followed the 6 general steps in the “3 keys to Electrical Safety” that is part of the procedure.

The auditor reviewed workers’ training records confirmed training requirements were current as per procedure requirement.

Audit Question: 13.1 – Are copies of relevant legislation posted at each workplace?

Observation Question: 13.1 Are copies of relevant legislation posted or made available to workers?

ARG: Verify applicable legislation is readily available. / Verify a notice identifying the location of the applicable publications have been posted.

AUDITOR NOTES

WorkSafeBC OHS regulations were not found on site or any posting. Asked supervisor where I would find the WorkSafeBC OHS regulations, he stated, “they keep going missing, I do not understand why”.

Interview Quotations/Auditor Notes

Worksite: Office and Shop, Mountain View Project #1790, 900 East Point Ave., Victoria, Forest Lawn Project #1810, 1209 120th Street- Kelowna

Audit Question: 4.4 – Are safe job procedures followed on a regular basis?

Interview Question: 4.4 (worker) Do you follow the safe job procedures?

ARG: 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.

CASE STUDY: PROGRAM VERIFICATION ACTIVITY INFORMATION - CONTINUED

Worker

#	QUOTATION OR COMMENT	RESPONSE
1	"Yes, I follow safe job procedures."	P
2	"Not always, because I need to take a short cut to finish the job."	N
3	"When working around powerlines, you must make sure you are the right distance away."	P
4	"Does the office have safe job procedures?"	N
5	"Excavation procedure is always followed, if not someone can be seriously injured."	P
6	"When working at heights, a fall protection plan must be followed."	P
7	"I am new to the company, are there safe job procedures?"	N
8	"What is a safe job procedure?"	N
9	"When working around electrical powerlines, I usually do not check out the limits of approach, that takes time."	N
10	"Safe work procedures are a step-by-step, such as my excavation procedure."	P
11	"I am not sure if I follow safe work procedures."	N
12	"I just do my work, if no one interrupts me, I am happy."	N
13	"Safe what? I have never heard of a procedure with this company."	N

Audit Question: 13.1 – Are copies of relevant legislation posted or available at each workplace?

Interview Question: 13.1 (Worker) Where is the OHS Regulation and other relevant legislation located?

ARG: Verify workers can confirm where OHS Regulation and other relevant legislation are located on site. / Verify worker responses match the observed locations.

Worker

#	QUOTATION OR COMMENT	RESPONSE
1	"OHS regulations are onsite in the job trailer."	P
2	"WorkSafeBC OHS regulations are in the lunchroom trailer."	P
3	"What do you mean, this company has nothing for safety."	N
4	"I have the WorkSafeBC app on my phone, and there is a paper copy of the OHS regulation and other relevant legislation in the lunchroom."	P
5	"office lunchroom."	P
6	"I am new, I am not sure if they are available on site."	N
7	"You get them from your supervisor, or go on the WorkSafeBC app"	P
8	"I am on the committee, all of our sites have a copy of the OHS regulations, I delivered them to the sites, they are in the lunchroom."	P
9	"There is paper version in the shop lunchroom."	P
10	"OHS regulations and TDG regulations are in the lunchroom."	P
11	"I have seen them in the site trailer."	P
12	"OHS regulations are in the site trailer where the crew has lunch."	P
13	"Over there on the wall is the WorkSafeBC App notice."	P

MODULE 6 | POST-AUDIT ACTIVITIES

Post-Audit Activities

When the audit is complete, you should understand the health and safety aspects of company operations.

Using experience and written documentation, observation, and interview notes will help you make practical recommendations for improvement.

The post-audit activities include:

- Reviewing all audit data.
- Writing the Executive Summary Report.
- Presenting the audit results at the Post-Audit Meeting.
- Answer any company questions regarding the next steps.
- Providing suggestions for creating an effective Corrective Action Plan.

Review All Audit Data

Due to the mix of questions and verification techniques, it is wise to double-check all data before completing the audit report. Ensure all scores are correct and consistent with your comments. Check each element to ensure all areas are scored appropriately.

Executive Summary

The Executive Summary Report (ESR) briefly summarizes the company's health and safety performance and provides practical guidance for future improvement.

Step 1: Thank the organization for their effort and help during the audit. Identify the individuals who assisted you during the audit.

Step 2: Provide a brief description of the company being audited and the scope of the audit (e.g. audit start and end dates, sites visited, number of interviews conducted, and any other relevant information). Explain in detail if any variances were made in the number of sites seen or interviews conducted.

Step 3: Complete the report's main body by summarizing each element's audit findings. Briefly describe areas of strength and recommended areas for improvement.

Note: This is not a repeat of what has been explained in each audit question

Strengths

List at least one strength for each element of the audit based on documentation, observations, or interviews.

Often, the company being audited might focus only on deficiencies. Listing strengths provides an opportunity to highlight health and safety areas that work well.

Recommendations

Recommendations provide suggestions to guide companies to develop a Corrective Action Plan (CAP) that is focused on OHSMS improvements.

A negative verification technique (DOI) requires a written recommendation (even if the question scored full points).

If an element scores 100% (with all "Y" awarded), the auditor is required to provide at least one recommendation for the element.

All recommendations must reference the relevant audit question at the beginning of the recommendation.

Step 4: Write a concluding paragraph following the instructions in Step 4 of the ESR.

Remind the company to develop a CAP to address areas for improvement identified in the audit.

Thank the company for allowing you to present the audit findings. Remind them that by focusing on the areas for improvement, their program may be more effective at reducing the impact of workplace injuries.

ACTIVITY 6: PROGRAM VERIFICATION ACTIVITY INFORMATION

The Executive Summary exercise tests your ability to briefly summarize the company's occupational health and safety management system performance and provide practical recommendations for future improvement.

Using the audit report/case study information, write an Executive Summary for the Case Study exercise – BCCSA Construction.

Since Steps 1, 2, and 4 have been prefilled, your focus will be on writing a strength and recommendation for Elements 5 and 14.

Finalizing The Audit Report

Before the Post-Audit Meeting with the company, ensure a thorough and complete audit report. Review all aspects of the audit report to ensure the following:

- The report is complete per the current version of the BCCSA's electronic audit.
- The audit occurred during a period reflecting the company's normal operating mode (NOM).
- The report is complete in full (e.g., no blank fields, boxes, etc.).
- The Audit Information has been verified as correct (e.g. Legal Name, WorkSafeBC Account number, Classification Unit Number, etc.).
- The List of Active Worksites includes worksites active during the audit, regardless of whether they were visited.
- The Criteria for Determining Representative Site Sampling are applied (e.g. an appropriate number of worksites have been visited).
- The required number of interviews occurred as outlined in the audit interview sampling chart (or as pre-approved by BCCSA).
- If more than one Classification Unit (CU) number is seeking COR® certification, the audit scope includes a representative sampling of active worksites from each CU.
- When the audit represents multiple WorkSafeBC Accounts, a representative sampling of active worksites from each account is included in the scope of the audit. Note: A joint audit (i.e. an audit that includes more than one WorkSafeBC Account number) cannot proceed unless prior written approval has been granted by BCCSA.
- Comments are provided for every question in the audit (including questions that receive a score of zero). Ensure your comments address the audit question, guidelines, and directives.
- A senior manager (or company designate) reviewed the Audit Summary Form and set a goal for the next audit.
- The Executive Summary Report (e.g. Steps 1 through 4) is complete. Strengths and recommendations are provided for each element, including elements that score 100%. Reminded the company to develop a Corrective Action Plan (CAP).

BCCSA may reject any COR® Audit submission that does not meet the above criteria or return the audit to the Auditor for correction and resubmission.

Post-Audit Meeting

The Post-Audit Meeting should take 30–60 minutes, depending on the questions and comments generated. The meeting is a review of the overall audit findings from each of the elements.

Be prepared to justify questions that received a zero-point score with a complete explanation based on objective observations.

Post-Audit Meeting Notes

You are required to cover the following topics in the post-audit meeting:

Purpose and scope of the audit

The purpose of the COR® audit is to measure the effectiveness of the company's occupational health and safety management system against an approved national standard. Review the audit scope (what operations were included).

Confidentiality

All the information gathered is kept confidential.

Code of Conduct

The principles and rules of conduct you followed during the audit.

Audit document that was used:

The audit document includes 14 elements. Three verification techniques (DOI) were used to evaluate the effectiveness of the system:

- Documentation review
- Observations
- Interviews

Review all elements

Review the score of each element and highlight strengths and recommendations from the executive summary report.

Present the audit score

Discuss the final audit score and criteria for a pass result. A score of 80% is required to pass the audit. A minimum score of 80% overall and at least 50% in each element is required to receive a pass.

State the Corrective Action Plan requirements

Inform the company that a corrective action plan must be developed and included with the audit report submission to BCCSA.

Discuss the target audit score for the next audit. Remind the company that they must set a goal for the next audit.

Outline the company's next steps

Inform the Senior Manager to review the Audit Summary and CAP, with the final report to be submitted to BCCSA cor@bccsa.ca.

ACTIVITY 7: POST-AUDIT MEETING

The instructor will conduct a Post-Audit Meeting with students.

To prepare for the meeting, students will use Element 5 and Element 14 information to fill out the Post Audit meeting form and take notes during the Post Audit Meeting.

Corrective Action Plan

The Corrective Action Plan (CAP) describes the steps to address deficiencies identified in the audit report.

It is the company's responsibility to develop the action plan, but you may be able to provide appropriate recommendations for corrective action when you present the audit findings to the company.

Develop S.M.A.R.T. corrective actions for the selected identified deficiencies:

- Specific
- Measurable
- Attainable
- Relevant
- Time-bound

The CAP will:

- Reference the specific audit question number.
- Identify corrective actions/improvements required.
- Set a priority for each action plan item (e.g., Low, Medium, High).
- Assign responsibility to a person.
- Set target completion/implementation dates.

The developed CAP must be reviewed, dated, and approved by the owner or senior manager. Keep a copy of the CAP to ensure items are completed. The CAP will be reviewed at the next audit to verify that the action items are completed.

Note: The company is not expected nor required to have all CAP items completed/implemented prior to the submission of the report to BCCSA for QA Review.

ACTIVITY 8: CORRECTIVE ACTION PLAN (CAP)

The Corrective Action Plan exercise is designed to assist the company auditor in providing recommendations for corrective actions based on the SMART principle for the selected deficiencies.

Write a CAP using the information from recommendations in Elements 5 and 14.

MODULE 7 | AUDIT QUALITY ASSURANCE

WorkSafeBC-initiated Verification Audit (WIVA)

As a COR® Certifying Partner, the BCCSA, in accordance with WorkSafeBC's The COR® Program: Standard and Guidelines, may be required to conduct a verification audit on a company's health and safety management system. As part of the COR® program's ongoing quality assurance activities, all COR®-certified employers are reviewed annually by WorkSafeBC to determine the validity of their COR® certification. Triggers that could result in a verification audit include high-risk violations and program orders, injury rate analysis, and complaints. If a company is required to undergo a WIVA, it will receive written notification from WorkSafeBC. The audit will be performed at no cost to the company and will be conducted by the BCCSA (or an assigned representative).

BCCSA Desktop Audit Review

As a COR® Certifying partner (CP), the BCCSA is required by WorkSafeBC's The Certificate of Recognition Program: Standards and Guidelines to "perform a detailed review of all COR® audits, ensuring the audit process deficiencies are remedied as required so that all audits meet an acceptable standard."

All audit reports submitted to BCCSA are subject to a formal desktop review. When audits do not meet the required standard, they are returned to the internal auditor for revision and resubmission. You will receive a notification containing instructions on areas of the audit report that need improvement.

Incomplete, incorrect, or insufficient audit data submitted within an audit report is grounds for BCCSA to take disciplinary action. BCCSA deems any unsubstantiated, non-verifiable, or false reports as breaches of the BCCSA Internal Auditor Code of Conduct.

Boilerplating and Templating

Purpose: To define the terms "boilerplating" and "templating" and explain why they are unacceptable auditing practices.

Terms of Participation: As per BCCSA's COR® Internal Auditor Program - Terms of Participation: "Auditors shall: Not plagiarize in part or whole the work of other auditors, or any person."

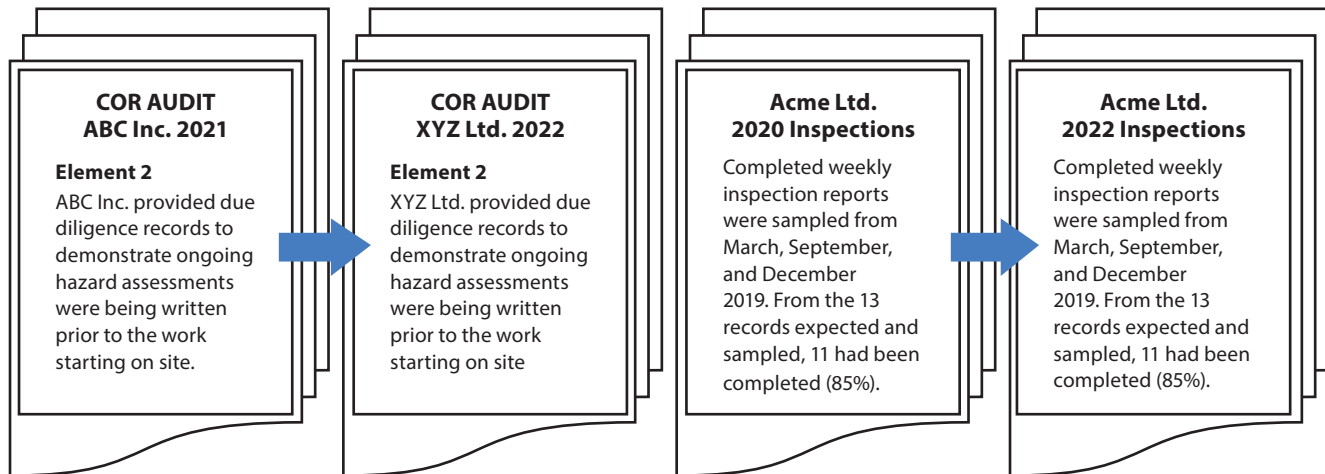
Table 1- Auditor Disciplinary Action Table itemizes violations and consequences based on confirmed Auditor behaviors. "Replicating audit reports from previous audit reports for the same company or across different companies is different companies" may result in suspension, requirement to take training, or termination as a qualified COR® internal auditor.

Boilerplated: Defined

The term **boilerplate** refers to standardized text, copy, documents, methods, or procedures that may be used over again without making changes to the original.

Applying the same definition to BCCSA COR® audit reports, boilerplating refers to copying exact written text or wording from one written report to another written report. This includes one's own work or the work of others.

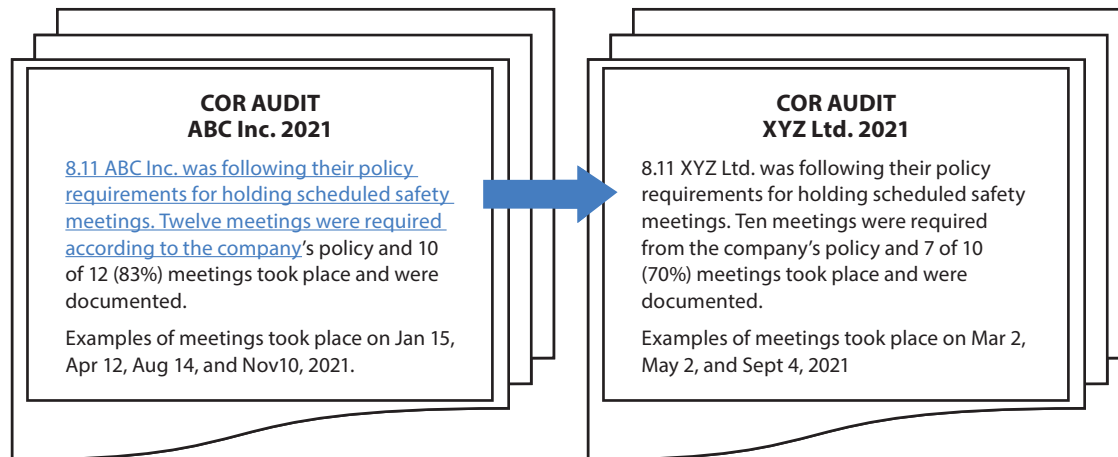
Two examples of boilerplating:



Templated: Defined

The term **template** refers to a pattern or guide that serves as a starting point for a new document. When opening a template, it is pre-formatted in some way.

Applying the same definition to BCCSA COR® audit reports, templating uses pre-crafted, ready-made auditor comments, and recommendations for multiple reports. These comments and recommendations are modified to include some specific findings, but are, for the most part, unoriginal.



Why Boilerplating and Templating are Problematic

Boilerplated or templated audit reports are often an indication that a full audit with the required verification and sampling has not taken place. In a case where only some legitimate auditing activities have taken place, an auditor with previously prepared comments and recommendations may miss important real-time audit findings, include information in the audit report that is not applicable to the employer, or make recommendations that are incorrect or not relevant to the deficiencies identified in the audit report.

From an employer's perspective, a boilerplated or templated audit report:

- May be considered fraudulent, negligent, or a breach of the contract between the auditor and employer. The audit does not reflect the actual current state of the employer's health and safety management system.
- May result in an employer failing to implement necessary changes to improve the safety of their operations, as the auditor does not actually provide the employer with comments and recommendations specific to their operations. Workers could be at increased risk of injury or death if an employer incorrectly believed, based on the audit report provided, that their health and safety system was sufficient when in fact it was not.
- May result in an employer losing their COR® certification because the audit has been deemed invalid, or the employer could be put at risk in other legal proceedings, including prosecution under occupational health and safety law.

Auditor Obligations

Under the BCCSA Auditor Code of Ethics, auditors have an obligation to be diligent, accurate, and complete when performing audits. Auditors also have an obligation to provide relevant recommendations that add value to improving the employer's health and safety management system.

It is very important that each audit report is unique to the employer and is supported by auditor comments and recommendations that are specific to the employer.

It is unethical and fraudulent to knowingly include false statements or data in an audit report, to interview fewer employees or visit fewer site locations than is required, or to knowingly take shortcuts on the required audit validation methods.

BCCSA's Role

Boilerplating and templating are serious infractions of the BCCSA Auditor Code of Conduct.

BCCSA regularly examines audit reports for evidence of boilerplating and templating as part of its standard quality assurance review. If BCCSA is not confident about the quality of the auditing activities, the audit report can be rejected. BCCSA uses a variety of methods to determine if an audit report is the result of boilerplating or templating. If an auditor has engaged in either of these practices, the auditor may be sanctioned under the Auditor Performance Management Policy for quality assurance non-compliance and ethical wrongdoing.

BCCSA will continue to conduct 100% review of all audit report submissions as part of its quality assurance process. Maintaining the highest level of standards and accuracy on each audit report.

MODULE 8 | STUDENT AUDIT ASSIGNMENT

Student Audit Assignment

A student audit assignment shows that relevant skills have been learned and allows the BCCSA to provide constructive guidance to the Student Auditor before issuing certification.

Scope

For the Student Audit Assignment, you must:

1. Conduct the assignment using all questions regardless of the size of the host company.
2. Secure one host construction company to audit. This could be your employer or another company, provided it has a functioning health and safety program.
3. Identify one (1) active worksite to perform site observations. You must visit the main office and at least one (1) active worksite.
4. Interview five (5) employees. Of these five (5), one (1) must be an Owner, Manager, or Supervisor (OMS), and four (4) must be Workers (W).

Elements

Your assignment will evaluate the following health and safety program elements:

- Element 2: Workplace Hazard Assessment and Control
- Element 4: Safe Job Procedures
- Element 8: Training and Communication
- Element 10: Investigations and Reporting

Answer all audit questions contained in the four elements.

Note: The sole purpose of the assignment is to assess a student's competency in performing a COR® audit and determine whether a COR® Internal Auditor Certificate will be awarded. BCCSA does not record the performance of the host company (i.e. audit score).

The Audit Evaluation

Audit assignments must score:

- 50% or more in each Element, as noted on the Evaluation Form.
- 80% or more overall, as indicated on the Evaluation Form.

Submission

- The student audit assignment must be submitted to training@bccsa.ca no later than four weeks from the last day of the completed COR® Internal Auditor Training course.
- The boilerplating/plagiarism policy found in the Terms of Participation apply to the Student Audit Assignment.
- Auditor certification must be received prior to conducting a BCCSA COR® audit.

Auditor Certification

To obtain and maintain your Internal COR® Auditor certificate, you must:

- Attend the 2-day COR® Auditor Training Course.
- Review, sign, and submit the BCCSA Terms of Participation.
- Achieve 80% on the multiple-choice exam.
- Pass the student audit assignment.
- Complete at least two BCCSA OHS COR® audits every three years.
- Attend re-qualification training every three years.

BCCSA Terms of Participation

For a copy of the BCCSA Terms of Participation (TOP), see Appendix A of this manual.

The TOP must be signed by each auditor prior to receiving your certificate.



COR[®] **INTERNAL** **AUDITOR** **PROGRAM**

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- Communication / Training & Mentorship
- Quality Assurance of Audit Reports
- Quality Assurance of Internal Auditors
- Disciplinary Action

Program Goals

As a COR® Certifying Partner, BCCSA is obliged to ensure Auditors maintain a high standard of ethical behavior and professional performance in their auditing role. BCCSA has an obligation to WorkSafeBC and to the construction industry to qualify Auditors that will consistently conduct themselves with honesty, integrity and the highest degree of professionalism as outlined in the BCCSA Internal Auditor Code of Conduct. The BCCSA's COR® Internal Auditor Program is focused on accountability to this standard.



Roles & Responsibilities

British Columbia Construction Safety Alliance (BCCSA)

The BCCSA is responsible for overseeing and maintaining the integrity of the COR® Program and the work of COR® Auditors. This includes, but is not limited to, Auditor:

- Qualification
- Training
- Quality assurance
- Mentorship
- Disciplinary Action

The COR® Internal Auditor Program is intended to promote an ethical and cooperative culture in the COR® program amongst all Auditors. The BCCSA will review and evaluate the work of COR® Auditors to ensure that they are communicating accurate information to companies, performing pre-audit planning that results in clear communication of audit expectations, conducting COR® audits using the established protocol and required audit tool(s), and submitting COR® audit reports that meet the identified standards. This will be done through training, communication, mentoring, and disciplinary action as required.

Internal Auditor

COR® Internal Auditors are responsible for conducting themselves with integrity, establishing and maintaining trust with the BCCSA and those in which they audit. This provides the basis for reliance on their judgment. Integrity requires Auditors to meet the established auditing standards and also requires Auditors to observe the principles of independence, objectivity, standards of professional conduct, and absolute honesty in their work. The responsibilities of the Auditor during the audit process places a high ethical demand on their conduct and professional practices. Auditors must exhibit the highest level of professional objectivity in gathering, evaluating and communicating information about the audit activities. They must make a balanced assessment of all the relevant circumstances and are not to be unduly influenced by their own interests or by others when forming judgments.

WorkSafeBC

WorkSafeBC's document, *The Certificate of Recognition Program: Standards & Guidelines* sets out the standards and guidelines associated with British Columbia's COR® program and Part 4 of the document outlines responsibilities and requirements associated with COR® Auditors. BCCSA expects Auditors to review Part 4 of this document and become familiar with the content. The following are key excerpts from *The Certificate of Recognition Program: Standards & Guidelines* outlining Internal Auditor qualification standards, training requirements, and ethical practices:

Definition:

Internal Auditor – This individual is a permanent employee of the employer who has received a minimum of 14 hours of combined instruction and training from a Certifying Partner on how to conduct, document, and score a COR® audit of health and safety management systems and/or injury management/return-to-work systems. If the employer is a small employer (with fewer than 20 workers), the internal auditor is empowered to conduct both certification audits and annual maintenance audits. If the employer is a large employer (with 20 or more workers), the internal auditor is empowered to conduct annual maintenance audits only. Note that in order to perform an internal audit on a large employer, the auditor must be trained to utilize the large employer audit tool, which may exceed the minimum 14 hours of required training.

- 4.2** COR® auditors must observe professional practices, demonstrate competence in occupational health and safety, and possess an appropriate mix of skills and attributes.
- 4.3** COR® auditors must have completed COR®-specific training required for the type of audit they will be performing.
- 4.4** COR® auditors must commit to the “Code of Conduct for COR® Auditors.” The “Code of Conduct for COR® Auditors” calls for auditors to:

- exercise honesty, objectivity, and diligence in the performance of their duties
- not knowingly engage in acts or activities that are discreditable to the profession of auditing in the occupational health and safety field
- only undertake work activity that they are competent and qualified to carry out
- protect the confidentiality of information obtained during the audit and ensure the anonymity of all individuals contacted during the audit process
- apply a continuous improvement methodology in all services rendered
- maintain the highest standards of honesty and integrity during the application of audits

4.5 COR® auditors must maintain the quality and currency of their skill set and knowledge base.

Approved COR® program auditors are required to keep current on auditing quality standards and audit instrument use, and they are expected to pursue opportunities to improve and maintain their auditing skills. To this end, COR® auditors must:

- be re-approved at least once every 3 years
- complete a minimum of 7 hours of auditor refresher/recertification training or equivalent as deemed appropriate by the certifying partner over the three-year auditor certification period to be eligible for re-approval

*Internal Auditors must also conduct a minimum of 2 audits within the 3 year period between their initial certification and their certification expiration date. The Certifying Partner may accept team audits from certified auditors to satisfy this requirement, provided the auditors are involved in document reviews, interviews, and observation processes.

Internal Auditor Code of Conduct

Overview

The **BC Construction Safety Alliance (BCCSA) Code of Conduct** describes the principles and rules of conduct that govern the behavior of BCCSA qualified Internal Auditors. These standards provide principles and rules for Auditor conduct that are the standards expected for all auditors. Internal Auditors are to conduct themselves in a manner consistent with the promotion of cooperative, professional and ethical relations between the construction sector and the BCCSA.

The Code of Conduct is based on 2 components:

1. Principles relevant to the profession and the practice of auditing.
2. Rules of Conduct that describe expected behavior of auditors. The rules are intended as an aid to interpreting the Principles into practical application and are intended to guide the ethical conduct of Auditors.

Expectations

The following are the principles and rules that all BCCSA Internal Auditors are to follow. The fact that a particular conduct is not mentioned in this Code does not prevent an action from being unacceptable, and therefore, an Auditor or institution can be liable for disciplinary action. Auditors shall not violate the Code of Conduct. Any breach of the Code will result in a formal review and disciplinary action.

A. Integrity

The integrity of Auditors establishes trust and provides the basis for reliance on their judgment. Integrity requires Auditors to observe both the form and spirit of auditing standards. It also requires Auditors to observe the principles of independence, objectivity, standards of professional conduct, and absolute honesty in their work. Auditors shall:

- Follow high standards of honesty, fairness, integrity and ethical conduct.
- Respect and act with dedication to the COR® Program goals and vision.
- Conduct audits in an honest and fair manner, without actual or apparent conflict of interest.
- Advise the BCCSA in writing with reasons, whenever the activities or conduct of an auditor appear to be in conflict with this Code.
- Not be associated with any report, statement or representation known to be false or misleading.
- Respect the integrity of other Auditors, recognizing their different experiences and areas of expertise.
- Comply with the *Workers Compensation Act and the Occupational Health and Safety Regulations*, as well as all other applicable laws and regulations.
- Serve the company being audited, in a conscientious, diligent, respectful, and efficient manner.

B. Objectivity

Auditors must exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the audit activities. They must make a balanced assessment of all the relevant circumstances and are not to be unduly influenced by their own interests or by others when forming judgments. It is essential that Auditors are independent and impartial, not only in fact but also in appearance. Auditors shall:

- Separate facts from opinions and base evaluations on objective and measurable data, not subjective opinions, unfounded assumptions, or personal bias.
- Conduct the audit as instructed by the audit protocol without bias, prejudice, variance or compromise.
- Remain free of any influence, interest or relationship that impairs professional judgment, independence or objectivity while auditing.

C. Confidentiality

Auditors must respect the value and ownership of information they receive during an audit and not disclose information to any third party, orally or in writing, without appropriate authority, and unless there is a legal or professional obligation to do so. Auditors shall:

- Maintain the confidentiality of information received during the audit.
- Be prudent in the use of information acquired in the course of their work.
- Take all reasonable steps to protect the confidentiality of the audit results, data collected and the anonymity of interviewees.
- Not use audit information for any personal gain, financial or otherwise that would be contrary to the law, the audit process, or detrimental to the BCCSA.
- Not share, either for profit or otherwise, any BCCSA process or program materials without written permission from the BCCSA.

D. Competency

Auditors must apply the knowledge, skills and experience needed in the performance of auditing services. Auditors shall:

- Continually seek to maintain and improve their proficiency, effectiveness, and quality of their skills.
- Be consistent and accurate in their evaluations of data obtained through documentation, interviews and observations.
- Ensure that the comments, notes, and recommendations are clear, concise, and written in plain language.
- Strive to be complete in their evaluations and avoid any omissions.
- Not plagiarize in part or whole the work of other auditors, or any person and does not boilerplate audit reports
- Provide support for Auditor opinions through quantitative, measurable data.
- Assist companies with any post audit questions, such as recommendations or explanations of results.
- Make relevant and meaningful recommendations that add value to improving the health and safety management systems of the company being audited.
- Be timely in the performance of the audit and comply with the required timelines for audit completion, submission, and correction, as communicated to the Auditor by the BCCSA and the company.

Rule of Conduct

As per WorkSafeBC's The Certificate of Recognition Standards and Guidelines item 4.5: COR® Auditors must maintain the quality and currency of their skill set and knowledge base. Approved COR® program Auditors are required to keep current on auditing quality standards and audit instrument use, and they are expected to pursue opportunities to improve and maintain their auditing skills. To this end, COR® Auditors must:

- Be re-approved at least once every 3 years.
- Complete at least a minimum of 7 hours of auditor refresher/recertification training or equivalent as deemed appropriate by the certifying partner over the 3 year auditor certification period to be eligible for re-approval.

E. Compliance

COR® Auditors must comply with BCCSA COR® program policies and procedures, conducting COR® audits in accordance with established audit protocol and participating cooperatively with the BCCSA in the administration of the COR® program. Auditors shall:

- Submit Notices and Audit Reports within the specified timelines.
- Complete audits that address the COR® program minimum scope requirements.
- Comply with audit report submission requirements.
- Perform the necessary minimum number of audits to maintain certification.
- Keep updated on the COR® program via the BCCSA website and Auditor correspondence.
- Participate in BCCSA quality assurance activities and comply with quality assurance outcomes.
- Follow the Auditor Code of Conduct.

Auditor Qualifications & Training

Step 1

Review the *Terms of Participation*, competency requirements and pre-requisites needed to become a COR® Internal Auditor.

Step 2

Complete the 2 day COR® Internal Auditor course.

Step 3

Complete a successful student audit assignment on a host construction company within 4 weeks of your last day of training. Student audit assignments will be evaluated against a detailed quantitative marking scale. Student audit assignment instructions as well as the mark sheet will be reviewed with each student auditor during the COR® Internal Auditor Training course. Successful student Auditors will be issued a COR® Internal Auditor certificate valid for 3 years.

Note:

Certification is maintained through submission of 2 COR® audits by the qualified COR® Internal Auditors within the 3 year period.

Performance Management

Outline

BC Construction Safety Alliance's performance management of COR® Auditors will include the following elements:

- Communication / Training & Mentorship
- Quality Assurance of Audit Reports
- Quality Assurance of Internal Auditors
- Disciplinary Action

Communication/Training & Mentorship

BCCSA will communicate all updates and changes related to the COR® program and the performance of COR® Auditors in writing via email. COR® Internal Auditors have a responsibility to keep current with all BCCSA notices and activities through reading all correspondence issued.

Mentorship is a key element in the improvement of auditing skills and BCCSA will work to provide COR® Auditors with information, feedback, and coaching, when necessary.

The onus to remain informed lies with the COR® Auditor and the BCCSA expects that Auditors read and respond to communications including emails, newsletters, directives, and all other correspondence regarding their performance, and updates to COR®.

Quality Assurance of Audit Reports

All audit reports submitted to the BCCSA will be subjected to a formal desktop review. Audits which do not meet the required standard are sent back to the Internal Auditor for revision and re-submission. Auditors will receive a notification containing appropriate instructions on aspects of the audit report which require improvements.

The BC Construction Safety Alliance deems any unsubstantiated, non-verifiable, and/or false reports as breaches of the BCCSA Internal Auditor Code of Conduct and is grounds for BCCSA to trigger disciplinary action on an Auditor.

As a COR® Certifying Partner, the BCCSA, in accordance with the WorkSafeBC's *The Certificate of Recognition Program: Standards and Guidelines* is required to perform periodic quality assurance audits on Auditors to ensure their work is of an acceptable standard. This type of audit utilizes established practices to evaluate an Auditor's performance and auditing skills.

These audits are performed at no cost to the company and are conducted by the BCCSA (or an assigned representative).

Disciplinary Action

Auditor performance concerns and issues may come to BCCSA's attention through a number of avenues such as:

- Results from quality assurance on audit reports
- Results from quality assurance audits on Internal Auditors
- Complaints or reports from companies participating in the COR® program
- Complaints or reports from other Certifying Partners
- Requests and inquiries from WorkSafeBC

The BCCSA will investigate all performance concerns and issues to confirm validity and apply disciplinary action as outlined within the Disciplinary Action Policy. The BCCSA is not required to apply progressive discipline in situations which are serious in nature and warrant severe penalties up to and including permanent removal of certification.

Disciplinary Action Policy

- 2.1** All BCCSA Internal Auditors will be provided access to this Disciplinary Action Policy as part of the Internal Auditor qualification process.
- 2.2** As a condition of maintaining their BCCSA auditor certification, all auditors shall agree to be bound by the disciplinary process outlined in this policy by signing the BCCSA Internal Auditor Terms of Participation.
- 2.3** Reported and/or confirmed auditor performance issues, whether relating to ethical or quality assurance issues, will remain on an Auditor's file.
- 2.4** Any organization that is affected by an Auditor performance management issue, whether relating to ethical or quality assurance issues, may be notified by BCCSA, as set out in the Agreement.
- 2.5** When BCCSA receives notice from another Certifying Partner that it found a BCCSA Internal Auditor to have committed one or more serious infractions as determined by the BCCSA, or the equivalent, BCCSA may initiate an investigation of the Auditor. As part of its investigation, BCCSA may discipline the Auditor in accordance with this Policy, but is not obligated to do so.
- 2.6** Once BCCSA begins an investigation into an Auditor's performance, and particularly when discipline that could affect the Auditor's certification may result, BCCSA will notify the Auditor verbally, if possible, and in writing, that while BCCSA's investigation is ongoing, the Auditor is subject to suspension while BCCSA completes its investigation ("Interim Suspension").
 - 2.6.1** Auditors subject to an Interim Suspension are prohibited from conducting any new audits with BCCSA.
 - 2.6.2** Upon being notified of an Interim Suspension, BCCSA will communicate what, if any, audits the auditor may complete during an Interim Suspension.
 - 2.6.3** Any audits completed and submitted after an Interim Suspension is imposed and for which written approval was not obtained may not be accepted by BCCSA.
- 2.7** Disciplinary measures are effective immediately upon notice to the Auditor by BCCSA.
- 2.8** BCCSA's written notice to the Auditor setting out the disciplinary decision will be accompanied by instructions on the appeals process. While BCCSA is handling an appeal the Auditor is subject to suspension while BCCSA completes its investigation.
- 2.9** The enforcement of disciplinary decisions made under this policy is not delayed or suspended during the appeal period, if an auditor submits a request for appeal, or while an appeal is heard or waiting to be heard.
- 2.10** All other applicable Certificate of Recognition Certifying Partners and WorkSafeBC will be notified if the Auditor is suspended for 12 months or more as a result of discipline in accordance with this policy.
- 2.11** Table 1- Auditor Disciplinary Action Table itemizes violations and consequences based on confirmed Auditor behaviors. The BCCSA is not limited in applying disciplinary action consequences to the items listed within Table 1 and the [Terms of Participation](#).

TABLE 1 Auditor Disciplinary Action Table

VIOLATION	1st OCCURENCE CONSEQUENCE	2nd OCCURENCE CONSEQUENCE	3rd OCCURENCE CONSEQUENCE
Incomplete and/or insufficient audit data within audit report.	Verbal warning	Written letter on file	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination
Use of obsolete COR® forms and documents.	Verbal warning	Written letter on file	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination
Completing audits that do not meet the minimum audit scope requirements with regards to interviews and worksite observations.	Written letter on file	Written letter on file and suspension	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination
Replicating audit reports from previous audit reports for the same company or across different companies.	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination 	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination 	Written letter on file and consequences as deemed necessary by the BCCSA. This may include: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination
Manipulation of audit data (documentation review, site observation & interview results) to alter audit scores. (BCCSA will perform investigation prior to consequences being enacted.)	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination 	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination 	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination

VIOLATION	1 st OCCURENCE CONSEQUENCE	2 nd OCCURENCE CONSEQUENCE	3 rd OCCURENCE CONSEQUENCE
Unprofessional conduct (Lack of PPE, use of profanity, defamatory language against BCCSA or companies being audited, discriminatory practices etc.)	Written letter on file	Written letter on file and suspension	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination
Confidential information audit information revealed.	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination 	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination 	Written letter on file and consequences as deemed necessary by the BCCSA. This may include and is not limited to: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination
Conduct an audit outside of the Auditor's scope of knowledge	Written letter on file	Written letter on file and suspension	Written letter on file and consequences as deemed necessary by the BCCSA. This may include: <ul style="list-style-type: none"> • Suspension • Requirement to take training • Termination

