



COR® Audit Instrument



THE CANADIAN FEDERATION OF
CONSTRUCTION SAFETY ASSOCIATIONS

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Introduction

The Certificate of Recognition program (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 continual 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 now frequently used as a pre-qualification and/or condition of contract by public and private project owners across Canada.

COR® is nationally registered, trademarked and endorsed by the Canadian Federation of Construction Safety Associations (CFCSA) and is delivered through member associations that have a formal Memorandum of Understanding (MOU) to serve as the Authority Having Jurisdiction to grant COR® in their respective province/territory. Although COR® is a national standard, COR® Certification must be granted by the Authority Having Jurisdiction in each of the provinces/territories a company works in. COR® Reciprocity can be granted to companies who are COR® Certified through a CFCSA member but who do not have a permanent base of operation in the jurisdiction they are requesting reciprocity from. A straightforward process is available to companies that have achieved COR® and would like to request reciprocity in another jurisdiction. Please contact your provincial/territorial CFCSA member association to request COR® Reciprocity.

Each of the participating members of the CFCSA acts as the Authority Having Jurisdiction to grant COR® Certification in their Province or Territory and practices the utmost diligence to ensure that the National COR® standards are upheld.

Disclaimer

The information presented in this publication is intended for general use and may not apply to every circumstance. It is not a definitive guide to government regulation and does not relieve persons using this publication from their responsibilities under applicable legislation. It is the responsibility of the company to ensure they are in compliance with the NS Occupational Health and Safety Act and regulations as it relates to their place of employment.

CSNS does not guarantee the accuracy of, nor assume liability for, the information presented in this evaluation package. Individual counselling and advice are available from CSNS, contact our Safety Services Department cor@constructionsafetyns.ca

CSNS does provide information, education, and advisory services on most aspects of construction health and safety. It is at the discretion of the individuals to seek further counselling and advice pertaining to their specific set of circumstances if needed.

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COR® Audit Classifications

- **Small Business** (2-4 persons)
- **Intermediate** (5-19 persons)
- **Standard** (20 + persons)

Classification numbers consider all employees, including the owner, any administrative support, (Companies with less than 5 employees that hire constructors are classified as Intermediate). All sections of the audit are applicable to each classification unless otherwise noted in each section’s guideline.

COR® Audit Cycle

| Year | Cycle - Audit | |
|--------------------------------------|---------------|--|
| 1 | 1-1 | Internal and external audit - all classifications must complete an Internal Audit and submit to CSNS for review. Intermediate and Standard size businesses must also successfully complete an external COR audit. Your CSNS auditor will contact your business to confirm an External Audit date. |
| 2 | 1-2 | Internal audit - all classifications must complete an Internal Audit and submit to CSNS for review, referred to as the Anniversary Audit to maintain the Certificate of Recognition |
| 3 | 1-3 | Internal audit - all classifications must complete an Internal Audit and submit to CSNS for review, referred to as the Anniversary Audit to maintain the Certificate of Recognition. |
| (New cycle) | 2-1 | The cycle starts back at Year 1-Internal and external audit - Small Business classifications must complete an Internal Audit and submit to CSNS for review. Intermediate and Standard size businesses must successfully complete an external COR audit. Your CSNS auditor will contact your business to confirm an External Audit date. |
| Quality Assurance COR® Audits | | Applicable to all classifications, a quality assurance COR® audit can occur at any time to any COR® program participant. Quality assurance COR® audits are performed on 5% of certified companies, annually. This is done to maintain the integrity and quality of the COR® standard. |

COR® Training Requirements

| | |
|-----------------------------------|-----------------------------------|
| Construction Entry Level Training | Principles of Loss Control |
| Hazard Identification & Control | COR Evaluation |
| Leadership for Safety Excellence | + any compliance related training |

COR Trained Person*: CSNS requires the auditor or person primarily responsible for maintenance of your safety and health program obtain the above training courses.

General Guidelines for COR Audit Instrument

At the beginning of each section there are guidelines for each question. The audit document has areas for additional commentary or notes. Any question scored negative or felt to be not applicable should have an explanation provided. Please be diligent in providing any information which may be helpful to the CSNS administrators in the audit review.

| | |
|---|---|
| Enter ✓ for acceptable items and x for deficient items. | Carry points from each section of the audit to the " actual score " column on the Scoring Summary sheet . |
| Enter the points awarded for each item in the " points awarded " column to the right. | Calculate the overall score in percentage (to the nearest whole number) for sections (1) through (15) and enter in the box provided. |
| Answer both sides of all " AND " & " OR " questions. | Carry adjusted scores for not applicable items to the totals on audit summary sheet . |
| Issue points for " AND " questions according to the guideline instructions. | Overall audit score must be at least 80% and all elements must achieve at least 50% to meet standard. |
| Issue point for " OR " questions only when one or both are positive . | Cross out items that are not applicable and mark with "N/A" and your initials . Explain why an item is not applicable in the comment section. |
| Provide a labelled comment to justify all deficient items (every x). | Sign the audit summary sheet. |
| Place comments only in the appropriate area at the bottom of each page. | Interviews are confidential and must not be discussed with anyone. |
| Complete all areas on the audit summary sheet, including company name, auditor and audit date(s). | The auditor must destroy all documents and notes associated with interviews. |
| Initial all changes and/or corrections made to the audit. | Complete company and auditor information on page #8. |
| Cross out wrong entries with one or two straight lines and enter the correct entry adjacent. Initial the change. | The overall audit results and report provide privileged information available only to the CSNS , the Auditor and the Auditee senior management. |
| Remove items that are not applicable to the audit and the scoring. | Develop an internal action plan in the table provided using corrective actions and opportunities for improvement from your audit results. |

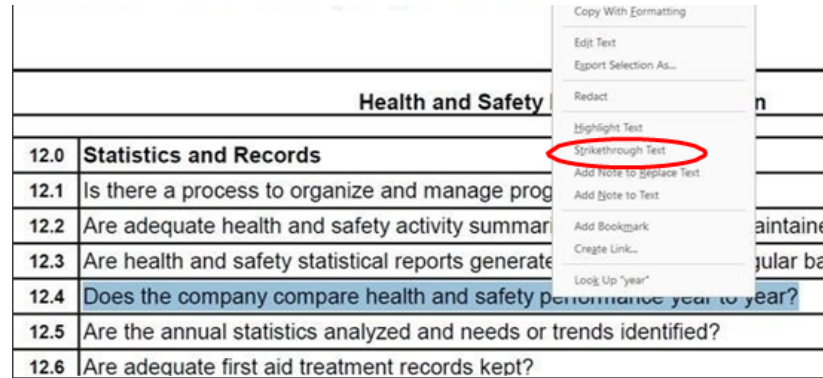
| PDF Fillable Audit Instructions | |
|---|--|
| Opening the Audit Tool: | |
| 1. | Save the Fillable Audit Tool to your computer (Select File, then Save As) |
| 2. | Once saved to the desired location, right click on document from the drop-down list select “open with” |
| 3. | From the “Open With” drop down menu select whichever reader you have on your computer. For example, Adobe Acrobat Reader DC – This is a free program. |
| 4. | Save your work as you go, and when you are done. This is an Important Step, as the fillable option will not work if you do not save to your computer prior to beginning. |
| Functions of the Audit Tool: | |
| 1. | This tool automatically tallies the score in the points awarded column when answers are marked. |
| 2. | These totals are then transferred to the Audit Summary Sheet |
| 3. | When recording the positive and negative answers to the interview questions, these totals are then transferred to the Interview Summary Sheets. |
| Filling out The Audit Tool: | |
| 1. | All spaces under verification techniques must be completed by selecting: (✓) (x) OR a value from a dropdown menu Acceptable Deficient |
| 2. | All deficient items (✓) must have a labelled comment to justify. |
| 3. | “AND” questions valued at three or less points, must have both acceptable answers to receive points. |
| 4. | “AND” questions valued at four or more points, refer to the question guidelines for possible partial points. |
| 5. | “OR” questions must have at least one acceptable answer to receive points. |
| Submitting the Completed Audit Tool: | |
| 1. | All signatures must be completed in order to complete this step. |
| 2. | Save the PDF file to your desktop titled as your company name. |
| 3. | E-mail the file to COR@constructionsafetyns.ca |

*If you are unable to complete the digital signatures, please print the required pages to sign, and include them with your e-mail submission.

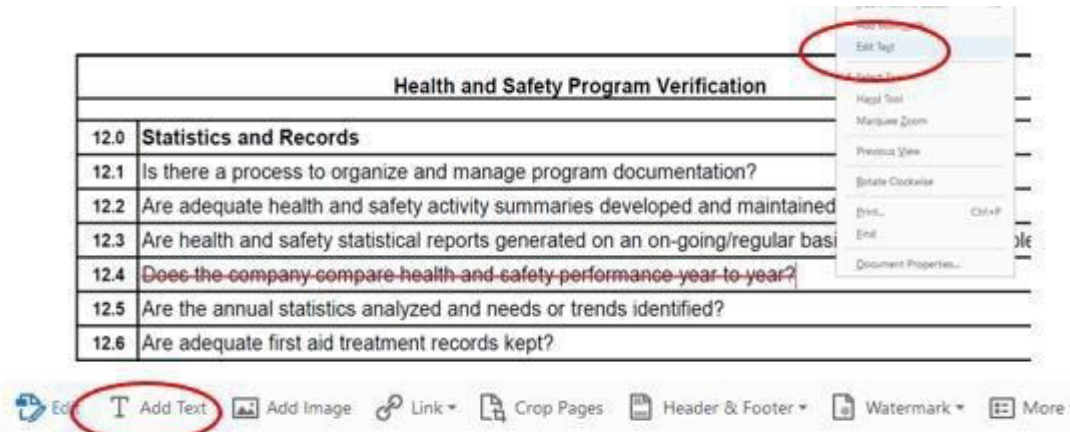
PDF Filable Audit Instructions cont....

Not-Applicable Items:

- 1) Sections not applicable must be supported with a detailed comment to justify the reasoning.
- 2) Using your document tools highlight the text you would like to strike through using your mouse cursor, right click and select strike through text.



- 3) Click anywhere on the page, using your mouse right click and select edit text on the top bar, next select Add Text and put initials on the same line as the omitted questions.



- 4) Change the possible score for the omitted question to zero. This will auto-populate the total possible score as well as the scores on the Audit Summary Sheet.
- 5) You must leave the verification and points awarded areas blank.
- 6) If you have entered a checkmark or an X and want to “Clear” the entry before marking it Not Applicable, you must click on the “Clear” button located to the left of the question. Applicable in Section 12 & Section 14 only. Change possible points to zero.

PDF Filable Audit Instructions cont....

Audit Interviews

1) Select from either drop down list whether there is a negative or positive answer

2) For each additional answer go up by one number

3) Totals are transferred to the Interview Summary Sheet.

4) Determine if the answer is indicating a positive number (✓) or a negative number (x).

5) Move the answers from the Interview Summary Sheet to the corresponding section in the audit.

| | | | |
|--|---|-------------------------------|--|
| Date: _____ | Company Information | | |
| Company Name: | | | |
| Address: | | | |
| Company Phone: | | | |
| Company Email: | | | |
| Key Contact: | | | |
| Phone Number: | | | |
| Email: | | | |
| | | | |
| Type of Audit: <input type="checkbox"/> Internal <input type="checkbox"/> External | Current # of Employees: _____ | Maximum # of Employees: _____ | <i>Classification:</i> (Check one) Small Business (2-4 employees) Intermediate (5-19 employees) Standard (20+ employees) |
| | | | |
| WCB of Nova Scotia Business #: | Brief Company Description: Does your company hire subcontractors? Yes <input type="checkbox"/> No <input type="checkbox"/> | | |
| Standard Industry Classification Code (SIC)#: | | | |
| Company Auditor Information | | Student ID | List all audited / active jobsites in Nova Scotia |
| Auditor/ COR® Trained Employee: | | | |
| Hired consultant name and Company (if applicable) | | | |

Pre-Audit Checklist

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

Note: If any of the above elements are missing from your safety and health program your audit will not be successful. Please re-evaluate and make appropriate provisions before submitting this audit to CSNS.

| | |
|--|--|
| 1.0 | Guidelines - Safety and Health Policy |
| Small Business- All questions apply | |
| 1.1 | The policy must state management's commitment to provide a safe and healthy work environment. |
| 1.2 | The policy must include a statement of the employer's commitment to work in a spirit of consultation and cooperation with their workers or clearly express the commitment to work jointly with their workforce in the development and implementation of their safety and health program. |
| 1.3 | The policy should include individual safety and health obligations and make reference to documented safety and health responsibilities of workplace parties (management, supervisors, workers, safety and health representatives, subcontractors, etc.). This information could be contained in a document separate from the company safety policy. - Award two (2) points for the written assignment of safety and health responsibilities. - Award two (2) points based on the majority of positive interview responses. |
| 1.4 | The policy must be signed by current senior management with a current date. |
| 1.5 | During worksite observations, verify the safety and health policy has been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to workers (in the form of a handbook, safety and health manual, or other accessible electronic format). |
| 1.6 | The majority of interview responses must confirm that all personnel understand the safety and health policy. |

| Safety and Health Policy | | Score Weighting | Technique Employed | | | Points Awarded |
|--|--|-----------------|--------------------|-----|---|----------------|
| <i>Senior management shall establish, implement, monitor, and maintain a documented occupational safety and health policy appropriate to the scale and nature of the organization's operations and activities, and associated risks. Does the employer have a written safety and health policy that:</i> | | | D | O | I | |
| 1.1 | Includes management's commitment to provide a safe and healthy work environment? | 3 | | | | |
| 1.2 | Expresses a commitment to work in a spirit of consultation and cooperation with the workers? | 3 | | | | |
| 1.3 | Addresses accountability and responsibility for safety and health for workplace parties? | 0-4 | | AND | | |
| 1.4 | Is signed by current senior management and appropriately dated? | 2 | | | | |
| 1.5 | Is visibly posted in the workplace and/or made readily available to all workplace parties. | 3 | | O | R | |
| 1.6 | Is communicated to workplace parties? | 3 | | | | |
| COR® total points possible/awarded | | 18 | | | | |
| Auditor Comments: | | | | | | |

| | |
|--|--|
| 2.0 | Guidelines - Hazard Assessment, Analysis, and Control |
| Small Business- All questions apply | |
| 2.1 | <p>An employer is required to complete formal hazard assessments that encompass all aspects of company operations, including both routine tasks and non-routine work. Hazard assessments could also include primary scopes of work undertaken by the company, task inventories, or occupational exposures. The hazard assessments should be based on the work performed and should result in the identification of hazards and implementation of control measures.</p> <ul style="list-style-type: none"> - Award two (2) points based on documentation of completed formal hazard assessments as per company policy/directive. - Award three (3) points based on observations that the formal hazard assessments accurately reflect the activities on site and are made readily available. - Award two (2) points based on the majority of positive interview responses. |
| 2.2 | <p>Completed hazard assessments must clearly report/describe existing and potential hazards and the majority of interview responses must confirm workers review of the information on hazard assessments. Both documentation and interviews must be confirmed to award points.</p> |
| 2.3 | <p>Completed hazard assessments must show that risks are assessed/evaluated prior to work being performed. An example of an assessment/evaluation could include hazard ranking using frequency, severity, or probability ranking.</p> |
| 2.4 | <p>Documentation must show that risks on hazard assessments are reassessed/re-evaluated when people, equipment, material, environment, or processes are changed. The frequency of this type of assessment will depend on how often changes occur. The hazard assessment commonly used before each day, or each task, is a good example of an ongoing risk assessment process.</p> <ul style="list-style-type: none"> - Award three (3) points based on documentation of completed ongoing risk assessments from the same worksite location as applicable. - Award three (3) points based on the majority of positive interview responses. |
| 2.5 | <p>Documented hazard assessments must include consideration of design and layout of the work area, ergonomics, machinery, or processes to award points for this section. The risk of musculoskeletal injury and appropriate prevention control (safe job procedures, tailored work schedules, personal protective equipment, etc.) would be an example for awarding points.</p> |
| 2.6 | <p>The names of the individuals involved in hazard assessments must be identified in the documentation. On-site workers, supervisors, and any other individual involved must be identified in the hazard assessment process.</p> <ul style="list-style-type: none"> - Award two (2) points based on verification of appropriate signatures on completed hazard assessments. - Award two (2) points based on the majority of positive interview responses. |
| 2.7 | <p>Verify training has been completed for individuals involved in the hazard assessment to confirm their competency.</p> <ul style="list-style-type: none"> - Award two (2) points based on verification of training for individuals identified on completed hazard assessments. - Award two (2) points based on the majority of positive interview responses of those responsible. |
| 2.8 | <p>Verify a critical task list has been completed (a list of tasks involving the potential for serious injury or death — for which related safe job procedures should be developed). Points may also be awarded if critical tasks are identified on completed hazard assessments as well as having the applicable safe work procedure included as the control.</p> |
| 2.9 | <p>Once hazards are identified, appropriate controls must be put in place. Verify the methods of control follow the hierarchy of controls (elimination, substitution, engineering controls, administrative controls, personal protective equipment). Verify through documentation showing hierarchy of controls was used to determine the appropriate control method. Points may also be awarded by verifying workers are following the controls identified on the hazard assessment for the job/task.</p> |

| | |
|------|--|
| 2.10 | Verify through documentation and interviews that appropriate individuals/roles are assigned the responsibility to implement the control. Both documentation and interviews must be confirmed to award points. |
| 2.11 | When a control involves a time requirement or additional effort to implement, there must be a process or timeline indicating when the control is implemented. Verify through documentation that the control has been implemented (normally through a signature and completion date) or through observation that the identified controls have been implemented. |

| Hazard Assessment, Analysis, and Control | | Score Weighting | Technique Employed | | | Points Awarded |
|--|--|-----------------|--------------------|-----|---|----------------|
| <i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for assessing, analyzing, and controlling hazards that is appropriate to the nature of the hazards and level of risk.</i> | | | D | O | I | |
| 2.1 | Do formal hazard assessments include all aspects of company operations, including routine and non-routine where work is performed? | 0-7 | | | | |
| 2.2 | During hazard assessments are both existing and potential hazards identified and reported? | 3 | | AND | | |
| 2.3 | Are risks assessed/evaluated prior to work being performed? | 3 | | | | |
| 2.4 | Are risks reassessed/re-evaluated as when people, equipment, material, environment, or processes are changed? | 0-6 | | AND | | |
| 2.5 | Are design and layout of the work area, ergonomics, machinery, and processes considered in the assessments? | 3 | | | | |
| 2.6 | Are appropriate personnel involved in the hazard assessment process? | 0-4 | | AND | | |
| 2.7 | Are the personnel competent to participate in the hazard assessment process? | 0-4 | | AND | | |
| 2.8 | Has a list of critical tasks or activities been created and/or included within the hazard assessments? | 4 | | | | |
| 2.9 | Are controls developed for identified hazards using the hierarchy of controls? | 4 | O | R | | |

| | | | | | | |
|---|---|-----------|---|-----|--|--|
| 2.10 | Are individuals/roles assigned to implement the controls identified? | 3 | | AND | | |
| 2.11 | Is there a process/timeline for indicating when the control is implemented? | 4 | O | R | | |
| COR® total points possible/awarded | | 45 | | | | |

Auditor Comments:

| | |
|--|---|
| 3.0 | Guidelines - Safe Work Practices |
| Small Business- All questions apply | |
| 3.1 | During worksite observations, look for tools or tasks, then review the safe work practices to ensure the appropriate practices have been written. For example, if the auditor observes extension ladders in use at the worksite but safe work practices have not been developed for extension ladders, points would not be awarded for this question. |
| 3.2 | Verify through interviews that the majority of employees are able to demonstrate an understanding of the company's safe work practices by describing some of the key points they contain. |
| 3.3 | Applicable safe work practices must be readily available at each worksite and employees should be able to identify their location. NOTE: if electronic documentation is used, verify they are readily accessible in order to award points. |
| 3.4 | Confirm that workers are performing tasks/using tools in a manner consistent with the safe work practice. |
| 3.5 | Verify through interviews that safe work practices have been a relevant topic of discussion. Points can also be awarded if the company has a formal process to regularly review/revise safe work practices that includes both management and workers. |

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

Auditor Comments:

| | |
|--|---|
| 4.0 | Guidelines - Safe Job Procedures |
| Small Business- All questions apply | |
| 4.1 | <p>Confirm through documentation and observation that written safe job procedures accurately reflect activities that the company performs. An index of safe job procedures must be submitted.</p> <ul style="list-style-type: none"> - Award two (2) points based on verification that written safe job procedures accurately reflect activities the company performs. - Award two (2) points based on verification that high risk or critical tasks being performed at the time of a visit have a written safe job procedure. - Award two (2) points based on observations that the written safe job procedures accurately reflect the company's worksite activities. |
| 4.2 | <p>Employees must be able to give an example(s) of safe job procedures they are required to follow with respect to critical tasks. Critical tasks are high risk activities in which employees must know and understand they need to follow the step-by-step procedures.</p> |
| 4.3 | <p>Ensure copies of the company's safe job procedures are at each worksite and readily available to employees. The majority of employee interview responses must confirm an understanding of where safe job procedures are kept.</p> <p>NOTE: if electronic documentation is used, verify they are readily accessible in order to award points.</p> |
| 4.4 | <p>Confirm that workers are performing tasks in a manner consistent with the safe job procedure(s).</p> |
| 4.5 | <p>Review safety meeting minutes to verify safe job procedures have been a relevant topic of discussion and confirming that both management and workers have participated.</p> <ul style="list-style-type: none"> - Award two (2) points based on documentation that verifies both management and worker participation in the development or formal review/revision of safe job procedures. - Award two (2) points based on the majority of positive interview responses confirming workers have received instruction or training in safe job procedures. |

| Safe Job Procedures | | Score Weighting | Technique Employed | | | Points Awarded |
|---|--|-----------------|--------------------|-----|---|----------------|
| <i>Safe job procedures are written, step-by-step instructions for completing specific tasks safely. Safe job procedures must clearly identify the steps required to complete the task (in proper order), the hazards the worker could be exposed to, the control measures, and what to do in an emergency (i.e.: spill containment, shut down).</i> | | | D | O | I | |
| 4.1 | Do the safe job procedures accurately reflect the employer's current work activities, including high risk or critical tasks? | 0-6 | AND | | | |
| 4.2 | Are they understood by workers? | 4 | | | | |
| 4.3 | Are these procedures available and easily accessible to workers? | 3 | | AND | | |
| 4.4 | Are safe job procedures followed by employees? | 4 | | | | |
| 4.5 | Have both management and workers participated in the development/review of these procedures? | 0-4 | | AND | | |
| COR® total points possible/awarded | | 21 | | | | |

Auditor Comments:

| | |
|--|--|
| 5.0 | Guidelines - Company Safety Rules |
| Small Business- All questions apply | |
| 5.1 | Documentation must clearly state responsibilities for setting, implementing, and complying with company rules. |
| 5.2 | - Award two (2) points based on documentation that confirms both written company rules and project specific rules are available to workers on site. - Award two (2) points based on the majority of positive interview responses confirming both company and site-specific rules are made available to workers on site. |
| 5.3 | During worksite observations, verify the company rules have been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to workers (in the form of a handbook, safety and health manual, or other accessible electronic format). |
| 5.4 | The majority of workers interviewed must be able to give examples of some of the company safety rules or project safety rules. |
| 5.5 | Documentation must clearly address non-conformance and progressive disciplinary action. |
| 5.6 | Verify through documentation that non-conformance is enforced consistently with all personnel. Points may also be awarded based upon the majority of interview responses confirming that rules are applied and enforced consistently with all personnel. |

| Company Safety Rules | | Score Weighting | Technique Employed | | | Points Awarded |
|--|--|-----------------|--------------------|-----|----|----------------|
| <i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for company safety rules.</i> | | | D | O | I | |
| 5.1 | Does the policy, procedure, or guideline include responsibilities for setting, implementing, and complying with company rules. | 2 | | | | |
| 5.2 | Are both company and project (work location) specific rules available? | 0-4 | | AND | | |
| 5.3 | Are the rules written and prominently posted or provided to each employee? | 2 | | | OR | |
| 5.4 | Are company and project specific rules clearly explained and understood? | 2 | | | | |
| 5.5 | Does the program address non-conformance and progressive disciplinary actions? | 2 | | | | |
| 5.6 | Are all rules applied/enforced consistently with all personnel? | 3 | | OR | | |
| COR® total points possible/awarded | | 15 | | | | |

Auditor Comments:

| 6.0 | Guidelines - Personal Protective Equipment (PPE) |
|--|---|
| Small Business- All questions apply | |
| 6.1 | <p>To determine the criteria used for basic and specialized personal protective equipment (PPE) selection, review hazard assessment forms, safety data sheets, codes of practice, and company PPE policy requirements for reference to CSA or other legislated standards. Confirm employee understanding through the interview process.</p> <ul style="list-style-type: none"> - Award two (2) points based on documentation to verify the company has established criteria for the selection of protective equipment. - Award two (2) points based on the majority of positive interview responses confirming an understanding of the criteria used for selection of protective equipment. |
| 6.2 | <p>Verify through documentation that the employer has developed and made written instructions readily available to employees with respect to the proper fitting, care, and use of basic and specialized PPE such as: ear plugs, respiratory devices, fall protection, etc.</p> |
| 6.3 | <p>Verify that workers have been made aware of requirements/provided instructions with respect to the proper fitting, care, and use of basic and specialized PPE prior to beginning work.</p> <ul style="list-style-type: none"> - Award two (2) points based on completed worker orientations and/or training records confirming the review of PPE requirements. - Award two (2) points based on the majority of positive interview responses confirming an understanding of the company's requirements for PPE. |
| 6.4 | <p>Verify that appropriate PPE is provided and/or made available for specific activities. PPE that is required during specific activities may include, but is not limited to, fall protection, respiratory protection, face shields, welding shields/goggles, chemical goggles, fire retardant coveralls, chemical suits, and impermeable gloves.</p> <ul style="list-style-type: none"> - Award two (2) points based on the observation of appropriate PPE for specific activities is available. - Award two (2) points based on the majority of positive interview responses. |
| 6.5 | <p>Workers should be observed using basic and specialized PPE at all times as prescribed by company criteria, SDS, CSA, or other legislated standards.</p> |
| 6.6 | <p>Basic PPE inspections and maintenance may be conducted and recorded as part of a safety meeting or be included as an item on the company's inspection checklist. Specialized PPE inspections will require verification of pre-use inspection and compliance with manufacturers' recommendations.</p> <ul style="list-style-type: none"> - Award two (2) points based on supplied documentation that verifies regular inspection and maintenance of PPE. - Award two (2) points based on the observation of PPE should be well maintained, in serviceable condition, and meet regulatory standards. |

| Personal Protective Equipment (PPE) | | Score Weighting | Technique Employed | | | Points Awarded |
|---|--|-----------------|--------------------|-----|---|----------------|
| <i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for personal protective equipment (PPE).</i> | | | D | O | I | |
| 6.1 | Are activities requiring PPE documented and is specific criteria used to select appropriate PPE for those activities? | 0-4 | | AND | | |
| 6.2 | Are there written rules and/or guidelines for the proper fitting, care, and use of PPE? | 2 | | | | |
| 6.3 | Are workers made aware of PPE requirements and provided instruction/training for the proper fitting, care, and use of PPE? | 0-4 | | AND | | |
| 6.4 | Is appropriate PPE provided and/or made available to workers for specific activities when required? | 0-4 | | AND | | |
| 6.5 | Is appropriate PPE used by workers as required? | 4 | | | | |
| 6.6 | Is there a system in place to regularly inspect and maintain PPE? | 0-4 | AND | | | |
| COR® total points possible/awarded | | 22 | | | | |

Auditor Comments:

| | |
|--|---|
| 7.0 | Guidelines - Preventative Maintenance Program |
| Small Business- All questions apply | |
| 7.1 | Verify there is an inventory list of facilities/equipment/tools/vehicles that require ongoing maintenance. |
| 7.2 | Verify through documentation the completion of the established maintenance schedules that include all the items on the inventory as well as a system to enable the recording of pre-operational checklists for equipment such as: forklifts, man lifts, excavators, suspended platforms, vehicles, etc. - Award two (2) points based on documentation to verify completed pre-operational/ checklists and maintenance records are retained on file. - Award two (2) points based on observations confirming completed pre-operational/ checklists are kept with equipment in use. |
| 7.3 | Documented records should include a description of corrective actions taken when a deficiency of maintenance requirement has been identified through inspection (i.e., service records, lockout/tagout tags, repair invoicing, etc.) - Award two (2) points based on documentation to verify corrective actions have been completed. - Award two (2) points based on observations confirming that documented corrective actions have been completed. |
| 7.4 | Documented records should indicate that equipment is being maintained by recognized service facilities. Training records or other documentation should support qualifications and prove competency of in-house maintenance personnel. Verify through interviews how the individuals that perform maintenance are competent to do that type of work. |
| 7.5 | The company must develop a written system to prevent defective tools and equipment from being used and provide instructions to employees with respect to the course of action to be followed. A lockout/tagout system is the most common. This question could also be verified through interviews. |
| 7.6 | Verify through observation that the company follows its system to prevent defective tools and equipment from being used. |

| Preventative Maintenance Program | | Score Weighting | Technique Employed | | | Points Awarded |
|---|--|-----------------|--------------------|----|---|----------------|
| <i>The organization shall establish, implement, monitor, and maintain a preventative maintenance program.</i> | | | D | O | I | |
| 7.1 | Is there an inventory of items to be maintained? | 3 | | | | |
| 7.2 | Are preventative maintenance schedules and checklists used and completed as required, including manufacturers and legislated specifications? | 0-4 | AND | | | |
| 7.3 | Are records maintained that include a description of corrective actions taken? | 0-4 | AND | | | |
| 7.4 | Does a qualified/competent person perform the inspection and maintenance? | 2 | | OR | | |
| 7.5 | Does the preventative maintenance program of facilities, tools, equipment, and vehicles include a system that effectively removes defective tools, equipment, and vehicles from service? | 2 | | OR | | |
| 7.6 | Is the system in 7.5 followed? | 2 | | | | |
| COR® total points possible/awarded | | 17 | | | | |

Auditor Comments:

| 8.0 | Guidelines - Training and Communication |
|---|---|
| Small Business- Question 8.3 is not applicable | |
| 8.1 | <p>The policy/procedure/guideline includes a method for selecting training of employees. Examples include legislative training requirements; manufacturers' training requirements; job specific and high-risk activities; identifying competencies for each task and/or role; and identifying effectiveness of training.</p> <ul style="list-style-type: none"> - Award two (2) points based on documentation. - Award two (2) points based on the majority of positive interview responses. |
| 8.2 | <p>Are employees evaluated to measure the effectiveness of training and the retention of the information as it pertains to the company safety and health program? Records of written and/or performance evaluations, tests, or examinations associated with job-specific training and/or orientations can help determine the effectiveness of training and awarding points for this question.</p> <ul style="list-style-type: none"> - Award two (2) points based on documentation. - Award two (2) points based on the majority of positive interview responses. |
| 8.3 | <p>Review training records to ensure supervisors or other individuals with HSE responsibilities have received training in their legislative requirements.</p> <p>Documentation and interviews must both be verified in order to award points.</p> <p><i>Leadership for Safety Excellence or equivalent courses may satisfy this requirement.</i></p> |
| 8.4 | <p>Review training records to ensure employees staff have received job-specific training in high-risk activities or for specific company roles (supervisor, safety rep, etc.).</p> <ul style="list-style-type: none"> - Award three (3) points based on training records confirming workers have been trained in job-specific requirements (including high-risk activities and/or manufacturer requirements). - Award three (3) points based on training records confirming supervisors have been trained in tasks specific to their role (i.e.: hazard identification, inspections, investigations, communications, etc.). |
| 8.5 | <p>Mandatory training as specified by legislation, policy or project requirements must be confirmed and/or provided prior to beginning work.</p> <ul style="list-style-type: none"> - Award three (3) points based on training records confirming. - Award three (3) points based on the majority of positive interview responses. <p>Examples of mandatory training would include WHMIS, TDG, first aid, H2S, etc. Examples of policy or project requirements would include training identified in hazard assessments, fall protection plans, confined space permits, etc., to ensure that only people with proper training are performing the work.</p> |
| 8.6 | <p>Verify that management ensures the persons providing training have been deemed competent or qualified by the employer. Examples could include verification of trade certification, experience, education, or training conducted by an outside agency.</p> |
| 8.7 | <p>Verify the company has a method to record and maintain training records. Examples could be hard copy, electronic copy, or a training matrix used to record and maintain employee training ensuring job-specific, recertification, and refresher training is taking place.</p> |

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| 8.0 | Guidelines - Training and Communication cont... |
| Small Business- All questions apply | |
| 8.8 | The company safety program must have a formal process for providing company and worksite orientations to employees and subcontractors. Verify through documentation and interview that an orientation is provided to all workers. Documentation would include company or site-specific orientations, checklists, quizzes, etc. Verify through interviews that all workers have received an orientation before starting work. Documentation and interviews must both be verified in order to award points. |
| 8.9 | Verify that the orientation program addresses new and young workers as well as returning workers. |
| 8.10 | As per company policy statement, procedure(s), and/or guideline(s), safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings, tailgate meetings, or monthly safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Minutes of safety meetings must indicate senior management's regular attendance. Safety meeting minutes must verify senior management's participation/attendance in safety and health meetings. Documentation and interviews must both be verified in order to award points. |
| 8.11 | As per company policy statement, procedure(s), and/or guideline(s), safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings, tailgate meetings, or monthly safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Minutes of safety meetings must indicate workers' regular attendance. |
| 8.12 | Are all personnel given the opportunity to present their concerns and discuss corrective actions? Meetings should be a positive place for discussing identified safety concerns where all input is welcomed in order to determine the best course of action. This question is verified through interviews. |
| 8.13 | As per company policy statement, procedure(s), and/or guideline(s) safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings, tailgate meetings, or monthly safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Records or minutes must be on file that show regular company, corporate, and/or toolbox are being held. - Award two (2) points based on documentation from multiple locations that meetings are held as per legislation or policy as applicable. - Award two (2) points based on the majority of positive interview responses. |

| Training and Communication | | Score Weighting | Technique Employed | | | Points Awarded |
|---|---|-----------------|--------------------|-----|---|----------------|
| <i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for training and communication of safety and health information.</i> | | | D | O | I | |
| 8.1 | Is there a method for the selection of safety and health training of employees? | 4 | | AND | | |
| 8.2 | Is there a method for the evaluation and monitoring of the knowledge, competency, and effectiveness of safety and health training of employees? | 4 | | AND | | |
| 8.3 | Have appropriate individuals been trained in legislated requirements? | | | AND | | |
| 8.4 | Have appropriate individuals been trained in job specific and/or manufacturer requirements? | 6 | | | | |
| 8.5 | Are mandatory training requirements verified or training provided before starting the task? | 6 | | AND | | |
| 8.6 | Does a qualified/competent person conduct training? | 2 | | | | |
| 8.7 | Are training records maintained? | 4 | | | | |
| 8.8 | Is there a mandatory orientation program that is completed prior to starting work, if a change of location and/or operational change? | 4 | | AND | | |
| 8.9 | Is it applicable to new and young workers or returning workers? | 2 | | | | |
| 8.10 | Does senior management attend/participate in safety and health meetings? | 4 | | AND | | |
| 8.11 | Do workers attend/participate in safety and health meetings? | 2 | | | | |
| 8.12 | Is there a process for worker input and communication of safety and health information? | 2 | | | | |
| 8.13 | Are safety and health meetings held regularly and documented as per legislation, company, or project requirements? | 4 | | AND | | |

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| COR® total points possible/awarded | | | |
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Auditor Comments:

| 9.0 | Guidelines - Inspections |
|---|--|
| Small Business- Question 9.3 is not applicable | |
| 9.1 | Along with the actual equipment, process, and site-specific areas identified, ensure that other areas such as yards, offices, shop, storage facilities, etc., are not being excluded from the inspection process. |
| 9.2 | A standardized method, form, or checklist should be completed for all inspections. The method, form, or checklist should include equipment, processes, and site activities; identification of the area and items inspected; hazard classification; recommended corrective actions; the person responsible for the action; and a date for expected completion/follow-up. This question may also be verified through interviews. |
| 9.3 | <p>A review of past inspection methods/forms/checklists will confirm if the corrective action has been completed as assigned. Determine whether corrections have been completed in a timely manner, paying particular attention to unsafe acts and/or conditions with the potential to cause injury or serious property damage.</p> <ul style="list-style-type: none"> - Award two (2) points based on the receipt of completed documentation verifying that deficiencies noted during an inspection are corrected in a timely manner. - Award two (2) points based on the majority of positive interview responses confirming that identified inspection deficiencies are corrected in a timely manner. |
| 9.4 | A standardized method, form, or checklist should be completed for pre-use inspections. The method, form, or checklist should include equipment, tools, and/or vehicles; identification of the items inspected; recommended corrective actions; the person responsible for the action; and a date for expected completion/follow-up. This question may also be verified through interviews. |
| 9.5 | A review of past pre-use inspection methods/forms/checklists will confirm if the corrective action has been completed as assigned. Determine whether corrections have been completed in a timely manner, paying particular attention to unsafe conditions with the potential to cause injury or serious property damage. |
| 9.6 | <p>Are supervisors and other responsible individuals meeting the required frequency for inspections as outlined in the company policy statement, procedure(s), and/or guideline(s). The frequency must be stated as monthly, weekly, daily, etc. The words, "on a regular basis," are not acceptable.</p> <p>Consecutive records must be submitted to support the adherence to the identified frequency of inspections for all work locations that apply.</p> |
| 9.7 | <p>Check inspection methods, forms, and/or checklists to verify that workers, safety representative, supervisors, and senior management have taken an active role and are involved in the formal (and informal) inspection process.</p> <ul style="list-style-type: none"> - Award three (3) points based on the supplied documentation that includes names of individuals at all levels within the company. - Award three (3) points based on the majority of positive interview responses. |
| 9.8 | During worksite observations, verify the inspection reports have been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to workers, safety representatives, supervisors, and senior management or through other accessible electronic format. |

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

Advisor Comments:

| 10.0 | Guidelines - Incident Investigation and Reporting |
|--|---|
| Small Business- All questions apply | |
| 10.1 | <p>Verify that the company has formal documentation that clearly identifies roles and responsibilities of workplace parties for reporting incidents and conducting investigations in a timely manner and that all parties understand these roles and responsibilities.</p> <ul style="list-style-type: none"> - Award three (3) points based on documentation. - Award three (3) points based on the majority of positive interview responses. |
| 10.2 | <p>Verify investigation reports include that management, workers, and/or worker safety representatives/workplace safety committee are involved in the investigation process. The investigation report/forms should clearly identify the appropriate personnel involved.</p> |
| 10.3 | <p>Verify supervisors and other appropriate individuals have taken training specific to incident investigations. The Leadership for Safety Excellence course or equivalent would be acceptable for the awarding of points.</p> <ul style="list-style-type: none"> - Award two (2) points based on documentation confirming supervisor training. - Award two (2) points based on documentation confirming other appropriate individuals have received training. - Award two (2) points based on the majority of positive interview responses. |
| 10.4 | <p>A system to communicate, implement, and follow up on corrective actions is required. Corrective action must be specific to preventing recurrence and clearly show when the stated corrected actions have been implemented.</p> <p>Verify through documentation and interviews that this process is in place and that corrective action is implemented within an acceptable time frame.</p> <ul style="list-style-type: none"> - Award two (2) points based on documentation verifying corrective actions are appropriate to prevent reoccurrence (i.e.: they must be specific and measurable — “be careful,” “use caution,” or other generic statements would not be acceptable). - Award two (2) points based on documentation verifying corrective actions have been implemented. - Award two (2) points based on the majority of positive interview responses. |
| 10.5 | <p>Verify through documentation or interviews that investigation results and corrective actions are communicated to appropriate parties. Examples could include documented lessons learned, toolbox talks, safety committee meetings, etc., that include investigation results and corrective actions. Points may also be awarded if the majority of interview responses confirm investigation results and corrective actions are communicated to appropriate parties.</p> |
| 10.6 | <p>Verify records of incidents, near misses, and investigation reports are completed according to company policy/procedures. Both documentation and interviews must be confirmed to award points.</p> |

| Incident Investigation and Reporting | | Score Weighting | Technique Employed | | | Points Awarded |
|---|--|-----------------|--------------------|-----|---|----------------|
| <i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s) and / or guideline(s) for reporting and investigating incidents, including near misses.</i> | | | D | O | I | |
| 10.1 | Do workplace parties know their responsibilities and the reporting procedures? | 0-6 | | AND | | |
| 10.2 | Are appropriate personnel involved in investigations? | 4 | | | | |
| 10.3 | Have appropriate individuals been trained in legislative and company-specific reporting requirements and investigation procedures? | 0-6 | | AND | | |
| 10.4 | Are recommendations for prevention/remedial action implemented as per legislation and/or company requirements? | 0-6 | | AND | | |
| 10.5 | Are investigation results and corrective/preventative actions communicated to appropriate parties? | 4 | | OR | | |
| 10.6 | Are the investigation reports completed according to company policy and procedures? | 4 | | AND | | |
| COR® total points possible/awarded | | 30 | | | | |

Auditor Comments:

| 11.0 Guidelines - Emergency Preparedness | |
|---|--|
| Small Business- All questions apply | |
| 11.1 | <p>The goal of an effective emergency preparedness plan is to return to normal working operations as soon as possible. Appropriate emergency response plans should be developed specific to work activities.</p> <ul style="list-style-type: none"> - Award one (1) points based on documentation to verify that the company has developed a generalized plan/procedure with respect to legislative requirements for emergency response (i.e.: fire, first aid, transportation, communication). - Award two (2) points based on documentation if evidence of site-specific written plans have been developed to meet the activities being performed (i.e.: chemical spill, rescue, confined space testing and retrieval, muster points, etc.). - Award three (3) points based on observation that site-specific emergency response plans have been posted/made readily available at each worksite and are appropriate to the work activities being performed. |
| 11.2 | Verify through observation that emergency equipment is readily available, marked, and visible in work areas. Examples include defibrillators, spill kits, first aid supplies, and rescue equipment for confined space or fall arrest. |
| 11.3 | Verify through either documentation or observation that emergency equipment is regularly inspected and maintained as per legislated, manufacturer, and/or company requirements. Examples could include inspection tags, invoices, or completed inspections. |
| 11.4 | Confirm that the number of qualified first aid personnel meet legislated requirements. Points can be awarded through observation of qualified first aid personnel names are posted. Points may also be awarded upon positive interviews confirming awareness of first aid personnel on site. |
| 11.5 | Verify through observation that an emergency communication system is available. This would include a means to communicate to onsite personnel as well as contacting outside agencies for assistance. Verify through interviews that employees are familiar with the site-specific instructions necessary to contact appropriate personnel/agencies for emergency assistance. Observation and interviews must both be verified in order to award points. |
| 11.6 | Verify through observation that the organization would have the means to transport an injured employee to a medical facility should an emergency occur. This may also involve calling in emergency personnel for transport. A majority of interview responses must confirm an understanding of the process for transporting injured employees. |
| 11.7 | Fire extinguishers must be readily available, marked, and visible in all work areas. |
| 11.8 | Verify through documentation that employees have received training in emergency procedures, roles, and responsibilities. |
| 11.9 | Award points based on confirmation through interviews that employees understand site-specific requirements and their responsibilities in the event of an emergency. |
| 11.10 | Verify through documentation that emergency plans have been tested as per company policy or legislated requirements. Records must indicate the results of the tests and what corrective actions were taken to correct deficiencies. |
| 11.11 | Records must show that the company's emergency response directives/plans have been reviewed annually. The records must indicate the results of the review and what corrective actions were taken (or reasons for no action being taken) to correct identified deficiencies. |
| 11.12 | Verify through interviews that appropriate parties have a clear understanding of the relevant information regarding the emergency response plans. |

| Emergency Preparedness | | Score Weighting | Technique Employed | | | Points Awarded |
|---|--|-----------------|--------------------|-----|---|----------------|
| <i>The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for emergency preparedness and response.</i> | | | D | O | I | |
| 11.1 | Are the emergency preparedness plans appropriate to work activities and legislative requirements? | 0-6 | AND | | | |
| 11.2 | Is emergency equipment readily available and well-marked? | 2 | | | | |
| 11.3 | Is emergency equipment regularly inspected and maintained? | 2 | OR | | | |
| 11.4 | Are the required number of qualified first aid personnel on site? | 2 | | OR | | |
| 11.5 | Is an appropriate emergency communication system available? | 2 | | AND | | |
| 11.6 | Is there a means to transport an injured employee to a medical facility? | 2 | | AND | | |
| 11.7 | Are fire extinguishers readily available, marked, and visible? | 2 | | | | |
| 11.8 | Have employees received training in emergency procedures, roles, and responsibilities? | 2 | | | | |
| 11.9 | Do employees know their roles and responsibilities? | 4 | | | | |
| 11.10 | Have the emergency response plan(s) been tested for deficiencies and corrective action taken? | 2 | | | | |
| 11.11 | Have the emergency procedures and response plans been reviewed, and revised as appropriate, at least annually? | 2 | | | | |
| 11.12 | Is relevant information regarding the emergency response plans communicated to the appropriate parties? | 2 | | | | |
| COR® total points possible/awarded | | 30 | | | | |

Auditor Comments:

| 12.0 | Guidelines - Statistics, Records, and Documentation |
|--|---|
| Small Business- All questions apply | |
| 12.1 | Verify the company is following their document control system. Through observation, verify that current versions of documents are readily available and used. |
| 12.2 | Documentation should clearly support that safety and health documentation is retained according to legislation. |
| 12.3 | Statistics must provide sufficient information to verify the company is following their system for analyzing safety and health performance (at minimum annually). Examples could include reports, meeting minutes, or other records that confirm incidents, first aid records, safety activities, and past performance are being reviewed to identify trends. |
| 12.4 | <ul style="list-style-type: none"> - Award one (1) point if leading performance measures are included in the safety and health performance measurement. - Award one (1) point if lagging performance measures are included in the safety and health performance measurement. |
| 12.5 | Documentation must confirm that first aid records are being recorded and retained for all injuries. |
| 12.6 | There must be an action plan developed to address deficiencies in the audit. |
| 12.7 | <p>Documented evidence must show that an action plan was communicated. This question must also be verified through interviews.</p> <ul style="list-style-type: none"> - Award two (2) points based on the receipt of documentation to verify implementation of the audit corrective action plan. - Award two (2) points based on the majority of positive interview responses confirming the audit action plan has been communicated. |

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

| | |
|--|---|
| 13.0 | Guidelines - Legislation |
| Small Business- All questions apply | |
| 13.1 | Verify through observation that relevant legislation has been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to workers (via hardcopy or other accessible electronic format). |
| 13.2 | Verify through documentation or interviews that legislative review is part of the management/supervisor's regular job planning process. |
| 13.3 | The majority of interview responses must confirm that employees and supervisory/management personnel are aware of their legal duties and responsibilities. |

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

| 14.0 | Guidelines - Procurement and Contractor Management |
|--|--|
| Small Business- All questions apply | |
| 14.1 | <p>When selecting contractors or service providers, a company must include safety and health as an integral part of their activities.</p> <ul style="list-style-type: none"> - Award three (3) points based on the establishment of a criteria for the evaluation and selection of contractors or service providers (i.e.: COR[®], Contractor Compliance Declaration/Agreement, etc.). - Award three (3) points based on the establishment of a system to regularly monitor contractors or service providers (i.e.: review/submission of safety meetings, safety inspection reports, orientations, verification of applicable worker training/certification, etc.). |
| 14.2 | <p>Award points if the criteria in 14.1 includes a documented process to verify the competency of contractors and service providers to identify, communicate, and control hazards (i.e., COR[®] or other safety and health management system, such as a prime or general contractor's process that clearly includes this ability). Points may also be awarded if the majority of interview responses are positive.</p> |
| 14.3 | <p>Verify through documentation that the criteria identified in 14.1 and 14.2 have been followed. The majority of interview responses must also be positive in order to award points.</p> |
| 14.4 | <p>A company acting as the prime/general contractor is required to develop, implement, and monitor a system to manage safety and health compliance at the worksite. A company acting as a contractor (sub) must be aware of their legal obligations to share required information that may affect the safety and health of any other person. Examples of information to be shared could include completed hazard assessments, inspections, site safety orientations, toolbox/safety/start-up meeting minutes, utility clearances, permits, SDSs, incident investigation reports, etc. Documentation of required information shared between the prime and sub-contractors can be either retained on file and produced in support of the audit. Points may also be awarded if this information is shared and clearly posted or made readily available at the worksite (if no suitable means of posting is available, points can also be awarded if other accessible electronic format is readily available).</p> |
| 14.5 | <p>Award points based on verification that the company has a process that considers the impact to safety and health when selecting products with potential to create a hazard.</p> |
| 14.6 | <p>Award points upon verification that the company is following their process (i.e.: completed hazard assessment, analysis, and control). Points may also be awarded if the majority of interview responses are positive.</p> |

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

Auditor Comments:

| 15.0 Guidelines – Provincial Supplement | |
|--|--|
| Small Businesses - Questions 15.1, 15.2, 15.3, 15.5 and 15.8 do not apply | |
| 15.1 | If there are five or more but less than 20 persons employed in the company, a safety representative is required. A safety officer or safety supervisor is not a safety representative. A safety representative is chosen by the workers. If there are 20 or more persons regularly employed in the workplace, a JOHS committee is required. Both documentation and interviews must be confirmed to award points. -Award three (3) points based on the documentation that a safety representative or JOHSC is in place. -Award two (2) points based on the majority of positive interview responses. |
| 15.2 | “Meaningful participation” means: Have the safety representative/JOHSC members received training in their various functions, such as investigations, inspections, OHS program elements, etc. -Award three (3) points based on the documentation that a safety representative or JOHSC member have received training. -Award two (2) points based on the majority of positive interview responses. |
| 15.3 | Points are awarded for verification that the safety committee/representative is regularly consulted and are their recommendations are considered and documented. -Award two (2) points based on the documentation that the safety committee/representation has been consulted. -Award two (2) points based on the majority of positive interview responses. |
| 15.4 | Verify through documentation and interviews that the safety representative/JOHS Committee is involved in the ongoing review and development of program elements relating to occupational health and safety. Documentation can be found in the minutes from meetings, memos, etc. -Both documentation and interviews must be confirmed to award points. |
| 15.5 | When evaluating JOHSC operation for compliance, consider: rules of procedure/terms of reference which include: committee composition, meeting frequencies, management/employee quorums, election of members, communications, etc. Are meetings being held at the required frequency, minutes kept and posted. Correct JOHSC composition (No more than 50% management/employer members). (Refer to Section 29-33 of the Act.) -Award three (3) for rules of procedure/terms of reference. -Award two (2) for meeting frequency being met and meeting minutes kept. -Award two (2) points for correct composition of the JOHSC. |
| 15.6 | Verify through documentation that an Environmental Policy is in place. |
| 15.7 | Verify through observation that required information is posted in the workplace. Several pieces of documentation and information are required to be posted in the workplace, please refer to the “Occupational Health and Safety and Smoke Free Places Posting Requirements”. |
| 15.8 | Verify through documentation that persons with supervisory duties are evaluated (at least annually) to determine if they are properly fulfilling their OH&S roles and responsibilities. -Award two (2) points based on the documentation of annual evaluation. -Award two (2) points based on the majority of positive interview responses. |

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| 15.9 | <p>Verify through documentation and interviews that a defined Return-to-Work policy that is right for the size, industry, and location of the business, and that contains one or more statements setting out:</p> <ul style="list-style-type: none"> - The employer’s commitment to meeting their obligations as per the Workers’ Compensation Act of Nova Scotia, - The employer’s commitment to cooperating with employees for return-to-work. <p>-Award three (3) points based on the documentation that the policy exists. -Award two (2) points based on the majority of positive interview responses.</p> |
| 15.10 | <p>Verify through documentation that a defined Return-to-Work program that is right for the size, industry, and location of the business, and that contains one or more statements setting out the employer’s commitment to:</p> <ul style="list-style-type: none"> - Their obligations to ensure accurate and timely WCB forms submission - Their obligations to offer accommodation and reemployment - Offering early and appropriate transitional duties to injured workers - Frequent and regular communication with injured employees - Utilizing Direct Access health-care for injured employees - Having personalized Return-to-Work plans for injured employees |
| 15.11 | <p>Verify through documentation that the Return-to-Work policy or program defines the roles and responsibilities that workplace parties have for return-to-work. Defined responsibilities must be in writing for the following roles:</p> <ul style="list-style-type: none"> - Employer/ owner - Senior managers/ middle managers (where in place) - Immediate supervisors - Injured employees - Co-workers - Return-to-work coordinator (where in place.) |
| 15.12 | <p>Verify through documentation that training is delivered at least annually, included in new-employee orientation and records of training are maintained, including dates and names of attendees.</p> <p>Verify through interviews that both management and non-management employees are adequately aware of:</p> <ul style="list-style-type: none"> - Return-to-Work policy - Return-to-Work program - Return-to-Work roles and responsibilities (specific to those being interviewed) <p>-Award one (1) points for documentation of training. -Award two (2) points based on the majority of positive interview responses.</p> |
| 15.13 | <p>Verify through documentation that program evaluations are conducted which include:</p> <ul style="list-style-type: none"> - Objectives to evaluate the return-to-work program - Appropriate statistics and measures are being used to track the objectives - Improvements are made when the objectives are not met - The return-to-work policy and program are reviewed annually |

15.14

Verify through documentation that the company supports mental health through initiatives or programs designed to create awareness and/or support workers. Examples of program and/or initiative implementation can include: policies or frameworks that include management's commitment to supporting the mental health and wellness of employees, providing formal mental health related training to employees, considering and controlling psychosocial hazards through hazard assessments and inspections, availability and promotion of peer support programs and/or EFAP, evidence of working to align with CSA standards, including mental health and addictions crisis lines in emergency contact information raising awareness through toolbox meetings/ annual safety meetings/ JOHSC initiatives, etc.

| Provincial Supplement | | Score Weighting | Technique Employed | | | Points Awarded |
|---|---|-----------------|--------------------|-----|---|----------------|
| <i>The organization shall meet the legislative requirements outlined in the NS Occupational Health and Safety Act and Regulations, and WCB Safety Certified audit program requirements.</i> | | | D | O | I | |
| 15.1 | Does a safety representative(s) or Joint Occupational Health and Safety Committee (JOHSC) exist? | | | AND | | |
| 15.2 | Have the safety representative(s) or JOHSC members received sufficient training for meaningful participation? | | | AND | | |
| 15.3 | Is the safety representative(s) or JOHSC regularly consulted and are their recommendations considered? | | | AND | | |
| 15.4 | Are safety representative(s)/JOHSC members /employees involved in the review, development or change of policies? | 2 | | AND | | |
| 15.5 | Does the JOHSC operate according to regulatory requirements? | | | | | |
| 15.6 | Has an environmental policy been established? | 1 | | | | |
| 15.7 | Have posting requirements been satisfied? | 1 | | | | |
| 15.8 | Are management health and safety performance evaluations carried out? | | | AND | | |
| 15.9 | Does a Return-to-Work policy exist? | 5 | | AND | | |
| 15.10 | Is there a Return-to-Work program in place? | 5 | | | | |
| 15.11 | Are the roles and responsibilities defined in the Return-to-Work program? | 3 | | | | |
| 15.12 | Is company specific Return-to-Work training conducted? | 3 | | AND | | |
| 15.13 | Is the Return-to-Work program evaluated for effectiveness? | 3 | | | | |
| 15.14 | Does the company use initiatives or programs to support or educate workers in mental health and psychosocial hazards? | 2 | | | | |
| COR® total points possible/awarded | | | | | | |

Auditor Comments:

Audit Observation Checklist

| Observation Requirement | | Yes | No |
|--|---|-----|----|
| Safety and Health Policy | | | |
| 1.5 | Is the safety and health policy posted? | | |
| Hazard Assessment, Analysis and Control | | | |
| 2.1 | Are site-specific hazard assessments conducted? | | |
| 2.9 | Are the controls developed using a hierarchy of controls? | | |
| 2.11 | Are controls implemented in a timely manner? | | |
| Safe Work Practices | | | |
| 3.1 | Do safe work practices reflect the company's activities? | | |
| 3.3 | Are written safe work practices readily available? | | |
| 3.4 | Are they followed by employees? | | |
| Safe Job Procedures | | | |
| 4.1 | Do safe job procedures reflect the company's activities – including High Risk and Critical Tasks? | | |
| 4.3 | Are written safe job procedures readily available for the work being performed? | | |
| 4.4 | Are employees following safe job procedures? | | |
| Company Safety Rules | | | |
| 5.3 | Are company rules prominently posted? | | |
| Personal Protective Equipment | | | |
| 6.4 | Do personnel have access to specialized PPE for specific activities? | | |
| 6.5 | Is the correct PPE used by personnel when required? | | |
| 6.6 | Is PPE well maintained, in good condition and meets regulatory requirements? | | |
| Preventative Maintenance Program | | | |
| 7.2 | Are completed pre-operational / checklists kept with the equipment in use? | | |
| 7.3 | Have the documented corrective action(s) been completed? | | |
| 7.6 | Does the company follow its system to remove defective tools, equipment, and vehicles from service? | | |
| Inspections | | | |
| 9.8 | Are inspection reports posted? | | |

| Emergency Preparedness | | |
|--|--|--|
| 11.1 | Are the site emergency plans posted and appropriate to the work activities? | |
| 11.2 | Is emergency equipment readily available, marked and visible? | |
| 11.3 | Is the emergency equipment in use regularly inspected and maintained? | |
| 11.4 | Are the required number of qualified first aid personnel on site? | |
| 11.5 | Is there an appropriate communication system available? | |
| 11.6 | Is there a means to transport an injured person to a medical facility? | |
| 11.7 | Are fire extinguishers readily available? | |
| Statistics, Records and Documentation | | |
| 12.1 | Are current versions of applicable documents available at the point of use? | |
| Legislation | | |
| 13.1 | Are copies of relevant legislation posted or readily available? | |
| Procurement and Contractor Management | | |
| 14.4 | Is safety information shared between the prime/general contractor and contractors? | |
| Provincial / Territorial Supplement | | |
| 15.7 | Refer to "Occupational Health and Safety and Smoke Free Places Posting Requirements" to ensure posting requirements have been met? | |

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Audit Interview Questionnaires

Interview Questionnaire – Employee & Management

| Safety and Health Policy | | | | |
|--------------------------|---|----------|----------|----------------|
| Employee | | Positive | Negative | Overall Result |
| 1.3 | What are your safety and health responsibilities? How are you held accountable for them? | | | |
| 1.5 | Where would you find a copy of the safety and health policy? | | | |
| 1.6 | In your own words, what does the safety and health policy say? | | | |
| Management | | Positive | Negative | Overall Result |
| 1.3 | What are your safety and health responsibilities? How are you held accountable for them? | | | |
| 1.6 | In your own words, what does the safety and health policy say? | | | |

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Hazard Assessment, Analysis & Control

| Employee | | Positive | Negative | Overall Result |
|------------|---|----------|----------|----------------|
| 2.1 | Describe the process your company uses to conduct formal hazard assessments. What type of tasks are included in the formal hazard assessment process? | | | |
| 2.2 | How are completed formal hazards assessments reviewed with you? | | | |
| 2.4 | How are hazards reassessed as the job progresses or changes occur? | | | |
| 2.6 | How are you involved in the hazard assessment process? | | | |
| 2.7 | How have you been trained to identify and control hazards? | | | |
| 2.10 | Who is responsible for implementation of controls? | | | |
| Management | | Positive | Negative | Overall Result |
| 2.1 | Describe the process your company uses to conduct formal hazard assessments. What type of tasks are included in the formal hazard assessment process? | | | |
| 2.4 | How are hazards reassessed as the job progresses or changes occur? | | | |
| 2.6 | How are you involved in the hazard assessment process? | | | |
| 2.7 | How do you verify employees are competent to participate in hazard assessments? | | | |
| 2.10 | Who is responsible for implementation of controls? | | | |

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Safe Work Practices

| Employee | | Positive | Negative | Overall Result |
|------------|--|----------|----------|----------------|
| 3.2 | Describe some of the key points of a safe work practice applicable to your work. | | | |
| 3.3 | How do you have access to safe work practices when on site? | | | |
| 3.5 | Can you give me an example of how a safe work practice has been reviewed or discussed? | | | |
| Management | | Positive | Negative | Overall Result |
| 3.3 | How do your employees have access to safe work practices when on site(s)? | | | |
| 3.5 | What is your formal process to develop or review safe work practices? | | | |

Safe Job Procedures

| Employee | | Positive | Negative | Overall Result |
|------------|--|----------|----------|----------------|
| 4.2 | Describe the step-by-step process of a safe job procedure for a critical task that is applicable to your work. | | | |
| 4.3 | How do you have access to safe job procedures when on site? | | | |
| 4.5 | Can you give me an example of how a safe job procedure has been reviewed or discussed? | | | |
| Management | | Positive | Negative | Overall Result |
| 4.3 | How do your employees have access to safe job procedures when on site(s)? | | | |
| 4.5 | What is your formal process to development or review safe job procedures? | | | |

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Company Safety Rules

| Employee | | Positive | Negative | Overall Result |
|------------|---|----------|----------|----------------|
| 5.2 | Where can you find both company and project (work location) specific rules? | | | |
| 5.3 | How are company safety rules provided or made available to you? | | | |
| 5.4 | Can you give me an example of some of the company and/or site-specific rules that you need to follow? | | | |
| 5.6 | How are the company rules enforced? | | | |
| Management | | Positive | Negative | Overall Result |
| 5.3 | How are company safety rules provided to your employees? | | | |
| 5.6 | Explain the disciplinary process that is used when all personnel are not following company rules? | | | |

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| Personal Protective Equipment (PPE) | | | | |
|-------------------------------------|--|----------|----------|----------------|
| Employee | | Positive | Negative | Overall Result |
| 6.1 | How do you know what PPE is required to perform a specific task? | | | |
| 6.3 | What type of training did you receive to understand the proper fitting, care and use of your PPE? | | | |
| 6.4 | How do you have access to appropriate PPE when needed? | | | |
| Management | | Positive | Negative | Overall Result |
| 6.1 | What criteria is used to select appropriate PPE for company specific tasks? | | | |
| 6.3 | What type of training is provided to your employees to help them understand the proper fitting, care and use of PPE? | | | |
| 6.4 | How do your employees have access to appropriate PPE when needed? | | | |

| Preventative Maintenance Program | | | | |
|----------------------------------|---|----------|----------|----------------|
| Employee | | Positive | Negative | Overall Result |
| 7.5 | What is your company's system to remove defective tools, vehicles, or equipment from service? | | | |
| Management | | Positive | Negative | Overall Result |
| 7.4 | How are the individuals that perform maintenance on equipment or tools competent to do so? | | | |
| 7.5 | What is your company's system to remove defective tools, vehicles, or equipment from service? | | | |

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| Training and Communication | | | | | |
|----------------------------|---|----------|----------|----------------|--|
| Employee | | Positive | Negative | Overall Result | |
| 8.2 | After training, how are you evaluated for your retention of information regarding the company safety and health program? | | | | |
| 8.5 | How was your mandatory training verified or provided to you prior to starting work? | | | | |
| 8.8 | When was your orientation provided? Have you received a re-orientation? | | | | |
| 8.12 | How are you given the opportunity to give input and communicate safety and health concerns? | | | | |
| 8.13 | How often does your company hold scheduled safety meetings? | | | | |
| Management | | Positive | Negative | Overall Result | |
| 8.1 | What is your company's method for the selection of safety & health training of employees? | | | | |
| 8.2 | What is your company's method for evaluating and monitoring the knowledge, competency and effectiveness regarding the safety & health training provided to employees? | | | | |
| 8.3 | What training have you received in your legislated requirements? | | | | |
| 8.5 | How do you verify mandatory training requirements for employees are completed prior to starting work? | | | | |
| 8.6 | How do you verify the training provided is conducted by a qualified/competent person? | | | | |
| 8.8 | What types of orientations are provided and when? | | | | |
| 8.10 | When did you last attend a safety and health meeting? How often do you actively participate in them? | | | | |
| 8.13 | How does your company ensure safety and health meetings are scheduled to meet legislation, company or project requirements? | | | | |

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| Inspections | | | | |
|-------------|--|----------|----------|----------------|
| Employee | | Positive | Negative | Overall Result |
| 9.3 | How are identified deficiencies assigned to individuals and corrected as required? | | | |
| 9.4 | What specific method, form or checklist is used for pre-use inspections? | | | |
| 9.7 | What is your role in the formal or informal inspection process? | | | |
| 9.8 | How are the inspection reports posted and/or communicated to you? | | | |
| Management | | Positive | Negative | Overall Result |
| 9.2 | What specific method, form or checklist is used for workplace inspections? | | | |
| 9.3 | How are identified deficiencies assigned to individuals and corrected as required? | | | |
| 9.4 | What specific method, form or checklist is used for pre-use inspections? | | | |
| 9.7 | What is your role in the formal or informal inspection process? | | | |
| 9.8 | How are the inspection reports posted and/or communicated to you? | | | |

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| Incident Investigation and Reporting | | | | |
|--------------------------------------|--|----------|----------|----------------|
| Employee | | Positive | Negative | Overall Result |
| 10.1 | What is the process for reporting an incident? What are your responsibilities? | | | |
| 10.4 | Once an incident investigation has been completed, how are corrective actions implemented? | | | |
| 10.5 | How are corrective actions communicated to you after an incident occurs? | | | |
| 10.6 | What incidents do you report? Do you report near misses? Please give an example of a near miss? | | | |
| Management | | Positive | Negative | Overall Result |
| 10.1 | What is the process for reporting an incident? What are your responsibilities? | | | |
| 10.3 | What training have you received to conduct investigations? Did that training include both legislative and company-specific reporting and investigation procedures? | | | |
| 10.4 | Once an incident investigation has been completed, how are corrective actions implemented and followed up for effectiveness? | | | |
| 10.6 | Following an incident, are the investigation reports completed as per company policy/ procedure that includes incidents, near misses and investigation reports? Can you give an example? | | | |

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| Emergency Preparedness | | | | |
|------------------------|---|----------|----------|----------------|
| Employee | | Positive | Negative | Overall Result |
| 11.4 | How do you know who is qualified to administer first aid on this site? | | | |
| 11.5 | How do you alert everyone onsite in the event of an emergency? How do you contact appropriate personnel/agencies for emergency assistance? | | | |
| 11.9 | Can you give me an example(s) of an emergency plan for this site? What are your specific roles and responsibilities? | | | |
| 11.12 | How have site specific emergency plans been communicated to you? | | | |
| Management | | Positive | Negative | Overall Result |
| 11.4 | How do you communicate who is a qualified first aid personnel on this site? How do you verify the number of qualified first aid personnel meets legislative requirements? | | | |
| 11.5 | How do you alert everyone onsite in the event of an emergency? How do you contact appropriate personnel/agencies for emergency assistance? | | | |
| 11.6 | If someone gets injured, how would they be transported to a medical facility? | | | |
| 11.12 | How do you communicate site specific emergency response plans to your employees? | | | |

| Statistics, Records, and Documentation | | | | |
|--|--|----------|----------|----------------|
| Management | | Positive | Negative | Overall Result |
| 12.7 | Can you give me an example of corrective actions or improvements that have been made to your safety & health program from your most recent audit/ statistics review? | | | |

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| Legislation | | | | | |
|-------------|---|----------|----------|----------------|--|
| Employee | | Positive | Negative | Overall Result | |
| 13.1 | Where are copies of relevant legislation on this site? | | | | |
| 13.2 | Does your supervisor regularly discuss relevant regulations and legislation when assigning work? Can you give an example? | | | | |
| 13.3 | What are your legislated rights? Do you know how to exercise those rights? | | | | |
| Management | | Positive | Negative | Overall Result | |
| 13.1 | Where are copies of relevant legislation on this site? | | | | |
| 13.2 | Do you regularly refer to relevant legislation and regulations during job planning to ensure compliance? Can you give an example? | | | | |
| 13.3 | What are your legislated rights? Do you know how to exercise those rights? | | | | |

| Procurement and Contractor Management | | | | | |
|---------------------------------------|---|----------|----------|----------------|--|
| Management | | Positive | Negative | Overall Result | |
| 14.2 | How does the evaluation, selection and monitoring of contractors take into consideration their ability and competency to identify, communicate and control hazards that may impact all workers on site? | | | | |
| 14.3 | How do you ensure your criteria for selection/ evaluation and monitoring contractors is being followed? | | | | |
| 14.6 | How do you ensure your criteria for selection and evaluation of procured products is being followed? | | | | |

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Provincial Supplement

| Employee | | Positive | Negative | Overall Result |
|------------|---|----------|----------|----------------|
| 15.1 | Is there a safety representative or a JOHSC in place? | | | |
| 15.2 | Have the safety representative(s) or a JOHSC members received training for their role? | | | |
| 15.3 | What happens when the safety representative(s) or JOHSC makes recommendations? | | | |
| 15.4 | Have you been involved in the review/ development or change of policies? | | | |
| 15.9 | Does the company have a return-to-work policy? | | | |
| 15.12 | Have you received training on your company's Return-To-Work Program? What topics were included? | | | |
| Management | | Positive | Negative | Overall Result |
| 15.1 | Is there a safety representative or a JOHSC in place? | | | |
| 15.2 | Have the safety representative(s) or JOHSC members received training for their role? | | | |
| 15.3 | What happens when the safety representative(s) or JOHSC members make recommendations? | | | |
| 15.4 | Are the safety representative(s)/JOHSC members/employees involved in the review/ development or change of policies? | | | |
| 15.8 | Do you have annual performance reviews which include a component of health and safety? | | | |
| 15.9 | Does the company have a return-to-work policy? | | | |
| 15.12 | Have you received training on your company's Return-To-Work Program? What topics were included? | | | |

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Please list existing Safe Work Practices: A copy of an existing index may be attached.

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Please list existing Safe Job Procedures: A copy of an existing index may be attached.

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| Personal Protective Equipment Checklist | | |
|--|--|---------------|
| Please select all that apply. Any PPE not listed may be noted under <i>Other</i> . | | |
| Head protection | | <i>Other:</i> |
| CSA approved footwear | | |
| Gloves | | |
| Eye protection | | |
| Ear protection | | |
| Dust mask | | |
| High visibility vest | | |
| Coveralls | | |
| Confined space harness | | |
| Fall protection harness | | |
| Welding specific PPE | | |
| Respirator | | |
| Face shield | | |
| Chainsaw specific PPE | | |

| Auditor Checklist | | |
|--|-----|----|
| | Yes | No |
| Are the company/audit details completed in full? | | |
| Is the Scoring Summary Sheet completed in full and scored appropriately? | | |
| Have you included a completed List of Active and Inactive Worksites and a COR® Audit Site | | |
| If applicable, are all errors/changes in the audit crossed out neatly and initialed by the auditor? | | |
| Have you saved/kept a copy of the COR® Audit Instrument for your own records? | | |
| Is the audit completed electronically, or handwritten in pen, neatly and legibly? | | |
| Are all elements of the audit fully completed and supporting information specified (i.e., policy date etc.) or marked as Not Applicable (N/A) with explanations given? | | |
| Where required, have you provided COPIES (not originals) of applicable documentation? | | |

| Scoring Summary | | | | | | | |
|-----------------|---|----------------|--------------|------------------|---------------------------|--|------------------|
| | Company Name: | | | Auditor Name: | | | |
| | Location(s) Audited: | | | Audit Date: | | | |
| | Section Name | Possible Score | Actual Score | Minimum Standard | Minimum Standard Achieved | | Auditor Comments |
| YES | | | | | NO | | |
| 1 | Safety and Health Policy | 18 | | 9 | | | |
| 2 | Hazard Assessment, Analysis, and Control | 45 | | 23 | | | |
| 3 | Safe Work Practices | 12 | | 6 | | | |
| 4 | Safe Job Procedures | 21 | | 11 | | | |
| 5 | Company Safety Rules | 15 | | 8 | | | |
| 6 | Personal Protective Equipment (PPE) | 22 | | 11 | | | |
| 7 | Preventative Maintenance Program | 17 | | 9 | | | |
| 8 | Training and Communication | | | 23 | | | |
| 9 | Inspections | | | 15 | | | |
| 10 | Incident Investigations and Reporting | 30 | | 15 | | | |
| 11 | Emergency Preparedness | 30 | | 15 | | | |
| 12 | Statistics, Records, and Document Control | | | 11 | | | |
| 13 | Legislation | 10 | | 5 | | | |
| 14 | Procurement and Contractor Management | | | 11 | | | |
| 15 | Provincial/Territorial Supplement | | | 25 | | | |
| TOTAL | | | | 312 | | | |

CSNS COR® Certification is based on a Minimum Standard of 80% Overall Score AND 50% or greater in each section. (80% overall= 320 total points score)

| Internal Action Plan | | | | |
|----------------------|-------------|------------------------|----------------|-------------|
| Created By: | | | Date: | |
| Recommendation | Assigned To | Target Date Completion | Date Completed | Reviewed By |
| | | | | |
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| Audit Completion |
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| Company Representative Acknowledgement |
| I, _____ (company representative print and sign) by way of affixing my signature on this date the _____ (date), acknowledge that the evaluation of the company health and safety program has been completed and I am aware the results of the internal audit review. |
| Auditor (if different from Company Representative) Acknowledgement |
| I _____ (auditor print and sign), by way of affixing my signature on this date the _____ (date), confirm that I have completed the evaluation of the company's health and safety program and that I have conveyed the results to the above-named company representative. |

| Glossary of Terms | |
|---|--|
| Action Plan: A specific written plan of action developed and implemented based on the results of a safety audit, regular safety and health program maintenance or recommendations from within the organization. | External Audit: An audit conducted by the CSNS auditor in cooperation with the COR® participating company. The designated CSNS auditor is not to be associated with the participating company. |
| Audit Process: Refers to the steps in the CSNS COR® program; conducting, submitting, and completing internal/external audits, and any corrective actions. | Formal Inspection: An observation of a work site designed primarily to identify record and correct existing unsafe acts and conditions. |
| Basic PPE: Personal protective equipment is usually worn at all times on a worksite. Includes standard items such as hard hat, footwear, safety glasses and hearing protection. | Contractor: “contracting employer” means a person who through a contract, agreement, or ownership, directs the activities of one or more employers. “contractor” means (a) a person who by contract undertakes all the work at a project site, (b) an owner who undertakes all or part of the work at a project site, or (c) an owner who by contract engages more than one person to undertake all or part of the work at a project site. |
| CFCSA: Canadian Federation of Construction Safety Associations of Canada. | Hazard controls / Recommendations / Follow up / Remedial Action: Various terms used to refer to the action that has or will be taken to control hazards identified and assessed during hazard assessments, meetings, inspections, investigations, job hazard analysis and other processes defined in safety policy. |
| Competent: means (a) qualified, because of such factors as knowledge, training, and experience, to do assigned work in a manner that will ensure the health and safety of persons, (b) knowledgeable about the provisions of the Act and the regulations that apply to the assigned work, and (c) knowledgeable about potential or actual danger to health or safety connected with the assigned work. | |
| Compliance Training: Training that is determined by specific NS OH&S Act and Regulations (i.e.: WHMIS 2015, Fall Protection, First Aid etc...). | Internal Audit: An audit managed and conducted internally by the COR® participating company and submitted to CSNS for review and approval. |
| Comprehensive Hazard Assessment (CHA): An annual assessment of all work activities performed by an organization. A CHA should include critical task, hazards, rank in priority, controls, person responsible, date implemented. | Job Hazard Analysis: A process used to identify, assess, and control the hazards associated with a particular task. Commonly used to develop safe job procedures. |
| COR® Prime: Individual trained with CSNS COR® courses responsible for the audit submission, to be contact if additional information is needed. | Safe Job Procedure: Written step by step instructions on how to perform a specific task. |
| Corrective Action: Actions required by CSNS to improve upon or meet legislative requirements for the purpose of complying with CSNS COR® standard. | Joint Health & Safety Committee (JOHSC) A committee of employees and management (not more than 50% management- equal representation). Required by the NS OH&S Act for employers with 20 or more workers. |
| Design Professional: Refers to those supplying an intellectual service, such as architects; civil, structural, mechanical, electrical, plumbing, and heating, ventilating, and air conditioning engineers. | Lock-Out: means to render a machine or electrical equipment inoperative and prevent it from being activated by using a locking device to isolate the energy source from the machine or equipment. A written procedure to ensure that a machine or process shut down for maintenance is secured against accidental start-up or movement. |
| Documentation: Information that has been written down (forms, reports, meeting minutes, etc.) | Management: Individuals that have overall responsibility for one or more projects, locations, or departments within an organization (manager, superintendent, supervisor, foreman). |
| Employee: means (a) a person employed at or in a place of employment, or (b) a person at or in a place of employment for any purpose in connection therewith. | Management review: A management process for the direct involvement and control of the Safety & Health program. |
| Employer: “employer” means a person who employs one or more employees or the person’s agent. | Maintenance Schedule: Scheduled checks of equipment, vehicles, or tools. Process relies on manufacturer recommendations and legislative standards. |
| Equivalency: Reference to an agreement between the Canadian Federation of Construction Safety Associations within Canada that promotes interprovincial trade while maintaining a defined standard for certification. | |

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| Near Miss: An incident which did not but had the potential to result in serious property damage or injury (also close-call or no-loss incident). | Safe Work Practice: Written guideline of safety precautions for a specific task, tool, equipment, or handling of chemical product. |
| Orientation: A special training session used to familiarize new, promoted or transferred employees to an organization and /or to a particular work site. | Senior Management: Individuals that have responsibility for an entire Operation of a company within Nova Scotia or beyond (General Manager, President, CEO, COO, etc.) |
| Place of Employment means any building, structure, premises, water, or land where work is carried on by one or more employees, and includes a project site, a mine, a ferry, a train and any vehicle used or likely to be used by an employee. | Specialized PPE: Personal Protective Equipment that is more specific to particular hazards on a work site. Includes items such as hearing protection, fall protection, respirators, monitors, etc. |
| Policy: Written detailed company protocol. Signed by senior management. | Sub-Contractor: An employer under contract to the Contractor on a multi-employer site. "sub-contractor" means a person who by contract undertakes part of the work at a project site. |
| Preventative Maintenance: Maintaining equipment and facilities in satisfactory operating condition by providing for systematic inspection, detection, and correction to prevent failures and major defects. | Supervisor: means a person who is authorized by an employer to supervise or direct the work of the employer's employees. |
| Procurement: is the act of obtaining goods or services, typically for business purposes. Procurement is most commonly associated with businesses because companies need to solicit services or purchase goods, usually on a relatively large scale. | Supplier: Any person who manufacturers, supplies, sells, leases, distributes, or installs any tool, equipment, machine, device or any biological, chemical, or physical agent to be used by an employee. |
| Project Manager: Has no direct employees, responsible for the planning and execution of a project. This includes managing hired sub-contractors. | Task: A segment of work or job to be undertaken. |
| Project Site means any building, structure, premises, water, or land where construction is carried on. | Trends: Patterns of gradual change determined through the analysis of safety statistics to show the rate of increase or decrease of various types of incidents or injuries. |
| Quality Assurance Audit: A follow-up audit (if selected) could be conducted by a CSNS Auditor to determine and confirm the selected company is compliant with NS OH&S Act and Regulations and aligned with CSNS COR [®] requirements. This will be invoiced at applicable rates. | Toolbox Meeting: A short routine meeting designed to address safety issues and training; also called Tail Gate Meeting. |
| Readily: Promptly; quickly; easily. To have documentation readily available for review, accessible for the auditor. | WCB Nova Scotia: A Crown corporation charged with overseeing the implementation and application of Nova Scotia's <i>Occupational Health and Safety Act</i> . |
| Root Cause (Analysis): To determine the initial cause of the problem and find out why it occurred. | |