



COR/SECOR Audit Document

National Standards

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Winnipeg, Manitoba

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AUDIT TOOL

Audit Information Sheet

Date of Audit:

Type of Audit	Site Location(s)	# Site Personnel	# Interviewed
Self/Internal Trial (optional) External	1		
	2		
	3		
	4		
	5		
	6		
Total			

COMPANY DATA

Legal Name: _____

Address: _____ City: _____ Prov. _____ Postal Code: _____

Key Contact: _____

No. of Workers at Peak Periods: _____

Phone Number: _____ Fax Number: _____

E-Mail Address: _____

WCB Information

Nature and Type of Work Done: _____

Account Number (s): _____

Industry Code(s): _____

Name of Personel who have taken the following COR courses:

	<u>Name of MGMT/SUPERVISOR</u>	<u>Date</u>	<u>Name of FULL TIME EMPLOYEE</u>	<u>Date</u>
1. COR Principles	_____	_____	_____	_____
2. COR Leadership	_____	_____	_____	_____
3. COR Auditor	_____	_____	_____	_____

AUDITOR DATA

Name(s): _____

Certification#: _____

Certification#: _____

Company: _____

Telephone Number: _____

Fax Number: _____

City/town: _____ Province: _____

E-Mail Address: _____

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

Safety Program Manual Verification		
Does the company's Safety Program contain the following?	YES	NO
1. Safety and Environment Policy Statement* (Corporate)	<input type="checkbox"/>	<input type="checkbox"/>
2. Hazard Assessment	<input type="checkbox"/>	<input type="checkbox"/>
3. Safe Work Practices	<input type="checkbox"/>	<input type="checkbox"/>
4. Safe Job Procedures	<input type="checkbox"/>	<input type="checkbox"/>
5. Company Rules	<input type="checkbox"/>	<input type="checkbox"/>
6. Personal Protective Equipment (PPE) Policy*	<input type="checkbox"/>	<input type="checkbox"/>
7. Preventative Maintenance Policy*	<input type="checkbox"/>	<input type="checkbox"/>
8. Training Policy*	<input type="checkbox"/>	<input type="checkbox"/>
9. Inspection Policy*	<input type="checkbox"/>	<input type="checkbox"/>
10. Investigation Policy*	<input type="checkbox"/>	<input type="checkbox"/>
11. Emergency Preparedness	<input type="checkbox"/>	<input type="checkbox"/>
12. Statistics and Records	<input type="checkbox"/>	<input type="checkbox"/>
13. Legislation	<input type="checkbox"/>	<input type="checkbox"/>
14. Manitoba Heavy Construction Supplemental	<input type="checkbox"/>	<input type="checkbox"/>

Missing Elements:

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

***Policy Statements:**

Some of the above program elements may exist in another form within the Safety and Health manual. Some companies may combine all the above policies into **one corporate policy statement**, which is an acceptable industry practice. The auditor must take this into consideration when reviewing the Safety and Health program. ***Reference to legislative requirements must be visible on all policy statements.**

INTERVIEW QUESTIONS - WORKER

QUESTION NUMBER	ELEMENT 1	AUDIT QUESTION	POSITIVE	NEGATIVE
1	Your company should have a policy outlining safety and health. Do you know where a copy would be?	1.6		
2	How does the policy apply to you?	1.7		
3	Can you explain what the policy means to you?	1.9		
	ELEMENT 2			
4	How are hazards identified before work starts?	2.1		
5	Are they reassessed as the job progresses or as procedures or operations change?	2.2		
6	Are you involved in identifying possible hazards?	2.3		
7	How are you involved in controlling the hazards, or told how the hazards will be controlled?	2.9		
	ELEMENT 3			
	Hazards could be controlled through the use of Safe Work Practices as part of your company's health and safety program.			
8	Are the Safe Work Practices easy to understand?	3.3		
9	Are they available when you need them? Where would you get them?	3.4		
10	Do you follow them?	3.5		
11	Were you involved in the development or review of the existing practices?	3.6		
	ELEMENT 4			
	Hazards could also be controlled through the use of Safe Work Procedures. These are the step-by-step directions on how to perform a task.			
12	Do the Safe Job Procedures reflect the work that you do?	4.1		
13	Are they easy to understand?	4.3		
14	Do you and fellow workers follow them?	4.4		
15	Are they available when you need them? Where would you get them?	4.5		
16	Were you involved in the development or review of these procedures?	4.6		
	ELEMENT 5			
	Company rules should have been developed as part of your safety and health program.			
17	Were you given a copy of these rules, or do you know where they are posted?	5.2		
18	What do the company rules say?	5.3		
19	What happens if somebody breaks the company rules?	5.5		
	Highlighted boxes are required for Small Employer Certification. COR requires all questions.			

INTERVIEW QUESTIONS - WORKER

QUESTION NUMBER	ELEMENT 6	AUDIT QUESTION	POSITIVE	NEGATIVE
	Personal Protective Equipment is another way in which your company may control hazards.			
20	Were you made aware of the PPE that is required for your job?	6.2		
21	How do you obtain basic PPE?	6.3		
22	Is any additional (specialized) PPE that you might need available when required?	6.4		
23	Have you received training on personal protective equipment when required?	6.7		
	ELEMENT 7			
	Preventative maintenance of tools, vehicles and equipment is critical to any company.			
24	How are defective equipment or tools identified?	7.5		
25	Is this system used?	7.6		
26	Who performs the inspection and maintenance of tools and equipment? How are they qualified?	7.7		
	ELEMENT 8			
	Employees need to be informed and kept up to date on the safety and health program.			
27	Were you given an orientation when you started work, or when the program was introduced?	8.2		
28	Did you get training for /on specific jobs?	8.5		
29	Have you been involved in company safety and health program?	8.11		
30	Has senior management ever participated /attended in safety and health meetings?	8.12		
31	Are you encouraged to participate in these meetings?	8.14		
	ELEMENT 9			
	Inspections are how we check to ensure that our safety program is working effectively.			
32	Have you ever been involved in an inspection? Do you know of any other worker who has been involved?	9.6		
33	Are the identified problems corrected promptly?	9.8		
34	How are you informed of the results of these inspections?	9.10		
	ELEMENT 10			
	When something happens, the company needs to identify where there was a breakdown in their safety and health program.			
35	When an incident occurs, is it investigated?	10.2		
36	What is the process for reporting an incident?	10.4		
37	Do you report near misses?	10.7		
38	After an incident/near miss, are changes/improvements done in a timely manner?	10.8		
39	How are you made aware of the results?	10.9		
	Highlighted boxes are required for Small Employer Certification. COR requires all questions.			

INTERVIEW QUESTIONS - WORKER

QUESTION NUMBER	ELEMENT 11	AUDIT QUESTION	POSITIVE	NEGATIVE
	Pre-planning in the event that an emergency occurs is required for all companies and for all sites in which they are working.			
40	What are your responsibilities should something occur?	11.2		
41	If an emergency occurred here, how would you get assistance?	11.7		
42	Who is your first aid provider on site?	11.9		
	ELEMENT 13			
	Legislation applies to all work sites.			
43	Do you know where you could obtain a copy of appropriate legislation if required?	13.1		
44	Do you know what your legislated rights and responsibilities are? Do you understand how they work?	13.3		
	ELEMENT 14			
45	Is there a designated safety rep at your work sites? Do you know who it is?	14.1.1		
46	Do you find your committee rep informative and a helpful source of reference for legislative information?	14.1.2		
47	Are you supplied proper hearing protection? Is there an orientation on the use of the protection provided to all employees?	14.2.2		
48	Do you know the lockout procedure and is it adhered to?	14.3.2		
49	Do you know the procedure for working alone and is it adhered to?	14.4.2		
50	Do you know and understand the basic elements of WHMIS?	14.5.4		
51	Is there a program in place to certify workers as heavy equipment operators?	14.7.1		
	Highlighted boxes are required for Small Employer Certification. COR requires all questions.			

INTERVIEW QUESTIONS - MANAGEMENT & SUPERVISOR

QUESTION NUMBER	ELEMENT 1	AUDIT QUESTION	POSITIVE	NEGATIVE
1	Does the safety and health policy outline your responsibilities in regards to your safety, and the safety of others?	1.7		
2	In your words, what does the policy say?	1.9		
ELEMENT 2				
3	Are hazards identified before work starts?	2.1		
4	Are they reassessed as the job progresses or as procedures or operations change?	2.2		
5	Are you involved in assessing hazards, if not who does?	2.3		
6	Are you involved in controlling the hazards, or told how the hazard will be controlled?	2.9		
7	Do you review, evaluate and enforce recommendations for hazard control?	2.11		
ELEMENT 3				
8	How are you ensuring that workers follow Safe Work Practices?	3.5		
9	Have you been involved in the development and/or review of Safe Work Practices?	3.6		
ELEMENT 4				
10	How are you ensuring that workers follow Safe Work Procedures?	4.5		
11	Have you been involved in the development and/or review of Safe Work Procedures?	4.6		
ELEMENT 5				
12	Were you given a copy of company rules, or do you know where a copy could be obtained?	5.2		
13	Give me an example of how you enforce the rules?	5.5		
ELEMENT 6				
14	Who provides specialty PPE?	6.4		
15	Do you provide training on the use of PPE?	6.7		
16	How is the proper PPE selected for a specific job?	6.8		
ELEMENT 7				
17	Explain how maintenance meets manufacturers/regulatory standards?	7.2		
18	If equipment or tools are defective, what happens to them?	7.5		
19	Who provides maintenance and inspection of tools and equipment? How are they qualified?	7.7		
Highlighted boxes are required for Small Employer Certification. COR requires all questions.				

INTERVIEW QUESTIONS - MANAGEMENT & SUPERVISOR

QUESTION NUMBER	ELEMENT 8	AUDIT QUESTION	POSITIVE	NEGATIVE
20	Is it mandatory for workers to receive a new hire orientation before starting work?	8.2		
21	Are mandatory training requirements verified or training provided before starting work?	8.5		
22	Do workers get training for specific jobs?	8.7		
23	Have you been trained in workplace inspections and safety and health responsibilities?	8.9		
24	Is there a system in place to measure knowledge and competency?	8.10		
25	Do you hold safety and health meetings?	8.11		
26	Do you attend?	8.12		
27	Do you participate in and solicit participation from others in these meetings?	8.14		
ELEMENT 9				
28	Are you performing inspections as required?	9.5		
29	Are the identified deficiencies corrected promptly?	9.8		
30	Does senior management review/participate in the inspection process?	9.9		
31	How are the results of inspections communicated to workers?	9.10		
ELEMENT 10				
32	When an incident occurs, is it investigated?	10.2		
33	Have you been trained in the investigation and reporting process?	10.5		
34	Are you recording near misses?	10.7		
35	Are improvements/changes implemented in a timely manner?	10.8		
36	How are results/findings communicated to workers?	10.9		
Highlighted boxes are required for Small Employer Certification. COR requires all questions.				

INTERVIEW QUESTIONS - MANAGEMENT & SUPERVISOR

QUESTION NUMBER	ELEMENT 11	AUDIT QUESTION	POSITIVE	NEGATIVE
37	Explain your role and responsibilities in relation to the emergency preparedness plan?	11.2		
38	If an emergency occurred, how would you get assistance?	11.7		
39	Are the required number of first aid personnel available on site?	11.9		
40	If something happened and you needed to transport an individual to a medical facility, how would this be done?	11.10		
	ELEMENT 12			
41	After the last audit, was an action plan communicated and implemented? Describe one item?	12.8		
	ELEMENT 13			
42	How does government legislation impact on your job planning?	13.2		
43	Do you know what your legislated rights and responsibilities are? Do you understand how they work?	13.3		
44	What serious incidents get reported, and to whom are they reported?	13.4		
	ELEMENT 14			
45	Is there a designated safety rep at your work sites?	14.1.1		
46	Are the safety committee minutes posted in a main area? Would the workers know where to find them if they needed to be referenced?	14.1.5		
47	Do you supply proper hearing protection to all employees? Is there an orientation on the use of the protection you provide to your employees?	14.2.2		
48	As an owner/senior manager are you fully aware of the Prime Contractors responsibilities at the worksite?	14.6.1		
49	Do you have a program in place to certify your equipment operators?	14.7.1		
	Highlighted boxes are required for Small Employer Certification. COR requires all questions.			

1.0 GUIDELINES - SAFETY and HEALTH POLICY

- 1.1 Auditors must see a written policy statement of safety and health that is signed by current senior management.
- 1.2 The policy must include a statement of the employer's commitment to provide a safe and healthy work environment.
- 1.3 The policy must refer to a provision for a safe and healthy work environment.
- 1.4 The policy and safety and health program must be kept current and dated. (At minimum not more than three years past)
- 1.5 The auditor should look for documents that indicate an annual policy/safety and health program review has taken place. The auditor should also look that there is an internal process in place to ensure the safety and health system is applied consistently at all locations. This can be verified by: having policy documentation dated, through safety meeting minutes, or by the creation of an action plan based on the past year's audit results.
- 1.6 During the worksite tour, check to see if the main safety and health policy has been posted. If no suitable means of posting is available, it may also be provided to workers in the form of a handbook or availability of a copy of the company safety manual on site.
- 1.7 Review the safety and health manual to ensure that the accountability and assignment of responsibilities have been stated for all workplace parties.
 - *Award 3 points for the written assignment of responsibilities
 - *Award 3 points based on verification through the interview responses
- 1.8 The policy must outline the commitment of the company to work with their personnel to promote a healthy and safe work environment.
- 1.9 The majority of interview responses must show that all employees understand the policy objectives.

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

Comments

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

- 2.1 An employer or designate is required to assess all worksite/jobs/tasks (this includes office/shop) and identify emergency risks, existing or potential hazards/risks before work begins. (Pre-job) Hazard/Risk Assessments could also include occupational exposures of: noise levels, asbestos, biological, chemical and environmental issues. The assessment should be based on the work to be performed and result in the identification and implementation of control measures to prevent worker exposure and contamination.
- * Award 4 points based on receipt of completed pre-job assessments
 - * Award 3 points based on a majority of positive responses to the interview question
- 2.2 Periodic hazard/risk assessments must be conducted as the project progresses or when changes occur. The frequency of this type of assessment will depend on how often their process changes. The field level hazard/risk assessment commonly used before each day or each task is a good example of an ongoing hazard/risk assessment process.
- * Award 3 points based on receipt of completed (periodic) hazard/risk assessments
 - * Award 3 points based on a majority of positive responses to the interview question
- 2.3 The names of the individuals involved in the completion and/or review of hazard/risk assessments must be on the documentation. (Examples of appropriate personnel could include: Experienced workers, supervisors, safety committee members/representatives or management).
- * Award 3 points based on verification of documentation
 - * Award 2 points based on a majority of positive interview responses
- 2.4 Documentation must clearly describe identified hazards/risks.
- 2.5 Documentation must show that each noted hazard/risk has been assessed for frequency/severity/probability and prioritized.
- 2.6 The critical task list must be specific to the company and will vary depending upon the type of work performed. These critical tasks are identified through hazard/risk assessments and must include all potentially high hazard/risk activities.
- 2.7 Once identified, hazards/risks must be controlled. Typical methods of control include: elimination, substitution, engineering controls, administrative controls, personal protective equipment or a combination of the above. Additional safety and health training may be needed for personal depending on the control measure identified. e.g. ensure proper signage is appropriate to all work activities.
- 2.8 Through documentation or observation, identify what control measures were required, and whether these controls were available and implemented within a reasonable period of time.
- 2.9 All affected personnel must be informed of the hazard/risk assessment results. This could include hazard/risk assessments being posted or reviewed during safety meetings.
- 2.10 When hiring subcontractors, a company must verify that safety is a consideration in their process. Applicable documentation may include: orientations, performance records, safety and health meeting minutes, qualification for work etc.
- * Award 2 points based on the establishment of a criteria to select and evaluate subcontractors
 - * Award 2 points based on the establishment of a system to monitor subcontractors
- 2.11 Management must be involved in the hazard/risk assessment process. Check the hazard/risk assessment form for the initial or signatures of management to confirm that the hazard/risk assessment process has been reviewed, evaluated, and recommendations for hazard/risk control have been authorized and their use enforced by senior management.

Safety & Health Program Verification		Score	Technique Employed			Points Awarded
			D	O	I	
2	Workplace Hazard/Risk Assessment, Analysis and Control					
2.1	Are written hazard/risk assessments conducted as required?	7		AND		
2.2	Does the employer use an on-going hazard assessment process?	6		AND		
2.3	Are appropriate personnel involved in the hazard assessment process?	5		AND		
2.4	Are the hazards identified?	3				
2.5	Are the hazards prioritized?	2				
2.6	Is there a list of identified critical tasks?	3				
2.7	Are controls developed for identified hazards?	3				
2.8	Are controls implemented in a timely manner?	3	OR			
2.9	Are appropriate personnel involved/informed of the control strategies?	3		AND		
2.10	Does the company have a process for evaluating and monitoring sub-contractors?	4				
2.11	Does management support the ongoing application of the hazard assessment process?	3		AND		
	Total points possible/awarded	42				
Highlighted boxes are required for Small Employer Certification. COR requires all questions.						

Comments

3.0 Guidelines - Safe Work Practices

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

- 3.1 Review safe work practices and observe site work to ensure that they reflect work activities.
- 3.2 Ensure the required safe work practices are completed. If not, identify missing practices in comments and do not award points.
 - * Award 2 points based on a review of the company's written safe work practices
 - * Award 3 points based on observations that the written safe work practices accurately reflect the company's worksite activities.
- 3.3 During the interview process, the majority of employees should be able to demonstrate an understanding of the company's safe work practices by describing some of the key points they contain.
- 3.4 Applicable written practices must be readily available at each worksite and employees should be able to identify their location.
- 3.5 The auditor should be able to observe an employee working in a manner consistent with written safe work practices or confirmation can also be verified through worker interviews.
- 3.6 Verify that a review process is in place. Check orientations, health and safety minutes, and/or safe work practices to confirm a review process is in place. Interviews may also confirm that management, supervisors and workers have participated in the review process.
 - * Award 2 points for management's participation
 - * Award 2 points for employee's participation

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

Comments

4.0 Guidelines - Safe Job Procedures

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

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

Safety & Health Program Verification		Score	Technique Employed			Points Awarded
			D	O	I	
4	Safe Work Procedures					
4.1	Do the safe work procedures accurately reflect the company's activities?	2		AND		
4.2	Have all critical safe work procedures been written?	6	AND			
4.3	Are they understood by workers?	2				
4.4	Are safe job procedures followed on a regular basis?	2		AND		
4.5	Are these procedures available and easily accessible to workers?	1		AND		
4.6	Have both management and workers participated in the development and/or review of safe work procedures?	2		OR		
	Total points possible/awarded	15				
	Highlighted boxes are required for Small Employer Certification. COR requires all questions.					

[illegible]

5.0 Guidelines - Company Rules

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

- 5.1 Verify that company rules are written.
- 5.2 Rules should be prominently posted in high traffic areas such as: lunch rooms, job trailers, offices or in the safety manual in a crew truck. Company rules may also be provided to workers in the form of a handbook or they may also be found in the company safety manual on site.
- 5.3 The majority of employees interviewed should be able to give examples of some of the company safety rules and/or explain the reasons why they exist.
- 5.4 The company must have a written progressive disciplinary action process to address non-conformance issues.
- 5.5 The auditor must see documented evidence that the discipline process is being used consistently (contained in employee warning forms, personnel records, daily logs, etc.) Interviews must also confirm that employees are aware of the company discipline process (infractions of company safety rules, not following safe work practices or safe job procedures, and misuse of PPE).

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

Highlighted boxes are required for Small Employer Certification. COR requires all questions.

Comments[illegible]

6.0 Guidelines - Personal Protective Equipment

- 6.1 Verify there is a written policy that references basic and/or specialized personal protective equipment.
- 6.2 Workers must be made aware of the PPE requirements. This could be included as part of an orientation, job specific training or when reviewing safe work practices/procedures.
- 6.3 Verify through observations or interviews that employees have access to basic PPE.
- 6.4
Verify through observation and interviews that specialized PPE is available to workers when required. Specialized PPE may include: fall protection, respiratory protection, face shields, welding shields/goggles, chemical goggles, fire retardant coveralls, chemical suits, impermeable gloves, etc.
- 6.5 Observation must verify workers using basic and/or specialized PPE as outlined in the company policy, regulations, MSDS, etc.
- 6.6 The auditor must verify through documentation that the employer has developed or made written instructions readily available to employees with respect to the proper fitting, care and use of PPE such as: ear plugs, respiratory devices, fall protection, etc.
- 6.7 Look for documentation/training records to verify that employees have received instruction with respect to the use of PPE. Confirm through interviews.
- 6.8 Criteria used for PPE selection may include: review of hazard/risk assessment forms, material safety data sheets, regulations, safe work practices/procedures and company policy requirements. Confirm through interviews.
- 6.9 Confirm through documentation that systems are in place. For specialized PPE: the auditor should look for logs and service tags on critical devices. For basic PPE, inspections and maintenance may be conducted visually and recorded as part of a safety meeting or be included as an item on the company's inspection checklist.

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

Comment

7.0 Guidelines - Preventative Maintenance Program

- 7.1 All equipment which requires ongoing maintenance must be identified.
- 7.2 Review equipment records, check for operating/service manuals on site and verify through interviews that manufacturer and regulatory standards are being met.
- 7.3 The auditor should look for documentation to verify completion of the established maintenance schedules that include all the items on the inventory as well as a system to enable the recording of pre-operational checklists where required (forklifts, man lifts, excavators, suspended platforms, vehicles, etc.)
- 7.4 Records should include a description of the maintenance that was conducted, including date, signature and corrective action.
- 7.5 Review documentation regarding defective tools or equipment being removed from service (e.g.: lockout/tag out) and verify through interview.
- 7.6 Worksite observations and interviews should verify that the process is being used.
- 7.7 Records should indicate that equipment is being maintained by recognized service facilities, or appropriate documentation/training records should support qualification of in-house maintenance personnel.

Safety & Health Program Verification		Score	Technique Employed			Points Awarded
			D	O	I	
7	Preventative Maintenance					
	Does the preventative maintenance program of facilities, tools, equipment and vehicles include:					
7.1	An inventory of items to be maintained?	1				
7.2	Maintenance meeting manufacturer and regulatory standards?	3		AND		
7.3	The use and completion of schedules and checklists as required?	1				
7.4	Records with a description of corrective actions taken?	2				
7.5	A system to effectively remove defective tools, equipment and vehicles from service?	2		AND		
7.6	Is the system in 7.5 followed?	1		OR		
7.7	Does a qualified/competent person perform the inspection and maintenance?	2		AND		
	Total points possible/awarded	12				
	Highlighted boxes are required for Small Employer Certification. COR requires all questions.					

Comments

8.0 Guidelines - Training & Communication

- 8.1 Look for documentation to support that the employer has a formal orientation program (at minimum, orientations include: workers' rights and responsibilities, emergency response, reporting of incidents/hazards/risks, policies, performance standards, safe job procedures and safe work practices).
- 8.2 Check orientation forms to ensure orientations are conducted before starting work and meet legislated requirements. This includes management, workers, supervisors, contractors, suppliers, visitors, etc
* Award 2 points based on a review
*Award 2 points based on verification of positive responses to the interview question
- 8.3 Check for a standard form.
- 8.4 The person receiving the orientation and the person conducting it must sign the form used.
- 8.5 Mandatory training as specified by regulation or policy must be confirmed and/or provided prior to beginning work (e.g.: WHMIS, fall arrest, H2S, first aid, etc.) Ensure training requirements are defined for every position and task and methods are appropriate to the subject and material. Review training records and verify through interviews.
- 8.6 The company must retain all safety training records for each employee and these records should be readily available for the auditor's review.
- 8.7 As new equipment or work procedures are introduced, or when performance does not meet safety and health requirements, job specific training must be provided and documented. Employee's training may also be required to be updated upon expiry or if the employee is re-assigned. Employee training can be verified through reviewing company training records. This question must also be verified through interviews.
- 8.8 Training records must specify who conducted the training. A "qualified" person can be verified by trade certificate, experience, education, etc.

Safety & Health Program Verification		Score	Technique Employed			Points Awarded
			D	O	I	
8	Training and Communication					
8.1	Does the employer have a formal orientation program?	4				
8.2	Is orientation mandatory for all personnel before starting work?	4		AND		
8.3	Is there a standardized written orientation form?	2				
8.4	Does the form provide for signatures of both workers and the person conducting the orientation?	2				
8.5	Are mandatory training requirements verified or training provided before work starts?	2		AND		
8.6	Are training records maintained?	2				
8.7	Is job specific training provided and documented as required?	2		AND		
8.8	Does a qualified person conduct job specific training?	2				
	Total points possible/awarded	20				
	Highlighted boxes are required for Small Employer Certification. COR requires all questions.					

Comments

8.0 Guidelines - Training & Communication con't

- 8.9 Review training records to ensure supervisors have received training in: inspections, investigations, environment, and general safety and health responsibilities. Does management provide support (time, financial, etc.) to assist in the delivery of health and safety training programs?
*Award 3 points based on documentation
*Award 3 points based on interview responses
- 8.10 Check for a system to periodically review the content and outcomes of all safety training to ensure that it is relevant and effective. Verify through records of tests or exams associated with job specific training and orientations can assist the auditor in awarding points for this question. This question must also be verified through interviews.
- 8.11 Verify through records or minutes kept on file demonstrating regular company/corporate/site safety meetings are being held.
- 8.12 Minutes of safety meetings must indicate senior management's regular attendance.
- 8.13 An agenda should be attached to each meeting record. A pre-set format where the agenda is the same for each meeting is acceptable.
- 8.14 Are employers and workers given the opportunity to present their concerns? This question must be verified through interviews. Documentation must exist.
- 8.15 The auditor must check WSH Legislation to determine whether or not the company is required to hold scheduled toolbox meetings. If they are not required, award points if the company, at minimum, holds monthly meetings.

Safety & Health Program Verification		Score	Technique Employed			Points Awarded
			D	O	I	
8	Training and Communication continued					
8.9	Have supervisors received training in workplace inspections and Safety & Health responsibilities?	6		AND		
8.10	Is a system in place to measure knowledge and competency?	2		AND		
8.11	Does the employer hold scheduled Safety & Health meetings?	3		AND		
8.12	Does senior management attend/participate in Safety & Health meetings?	2		AND		
8.13	Is a prepared agenda followed and are minutes and an attendance of the meetings kept?	3				
8.14	Does two way communication exist during these meetings?	3		AND		
8.15	Are tailgate/toolbox meetings held regularly and documented as per policy?	3				
	Subtotal Points possible /awarded	22				
	Total points from previous page	20				
	Total points possible/awarded	42				
Highlighted boxes are required for Small Employer Certification. COR requires all questions.						

Comments

9.0 Guidelines - Inspections

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

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

Comments

10.0 Guidelines - Investigations and Reporting

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

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

Comments

11.0 Guidelines - Emergency Preparedness

- 11.1 The goal of an effective Emergency Preparedness plan is to return to "normal" working operations as soon as possible. Appropriate emergency risk assessments should be conducted and emergency response plans should be developed specific to work activities.
- * Award 4 points based on documentation to verify that the company has developed a generalized plan/procedure with respect to emergency response (ie. Fire, first aid, transportation, communication)
 - * Award 2 points based on observation that site-specific emergency response plans have been posted/made readily available at each worksite.
- 11.2 The plan must include life safety equipment which are appropriate for the operations and ensure an orientation and training for workers on emergency procedures/equipment and roles/responsibilities. Verify through interviews that site orientations and training have taken place.
- * Award 2 points based on documentation to verify that the company has provided workers with instruction/training in emergency procedures and equipment.
 - * Award 2 points based on conformation through interviews that employees understand their responsibilities in the event of emergency as well as the site specific requirements.
- 11.3 Records must show that the company's emergency plans have been tested as per Manitoba Fire Code including multi-shift and reviewed annually or following an incident. The records must indicate the results of the tests and what corrective actions were taken to correct deficiencies.
- 11.4 When required, the employer must have a written fire response plan which may be included in the emergency response plan, or developed separately.
- 11.5 The correct class and type of extinguisher must be sufficiently marked and visible in all work areas.
- 11.6 Review documentation (on file and on tags) for fire extinguisher recharge, purchases or inspections conducted. Fire extinguishers should be inspected and recorded monthly. Extinguishers should be subjected to maintenance every 12 months.
- 11.7 Look around the worksite, do employees have adequate means to contact emergency personnel? The auditor must verify through interviews that employees are familiar with the site specific instructions necessary to operate the communication system. Through observation, the auditor should also verify that emergency phone numbers have been posted/made readily available at each work location.
- 11.8 The auditor must observe that first aid facilities are adequate for the size/type of operation in accordance with Legislation.
- 11.9 First aid attendants must be identified to all employees on site. This can be accomplished by posting their names, color of hard hat or high visibility insignias. Employee interview responses must indicate an awareness of first aid attendants at each worksite.
- 11.10 Look at the worksite and ensure that if an emergency occurred, the company would have the means to transport the injured employee. In most cases, this may just involve calling in emergency personnel for transport.

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

Comments

12.0 Guidelines - Statistics and Records

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

Safety & Health Program Verification		Score	Technique Employed			Points Awarded
			D	O	I	
12	Records & Statistics					
12.1	Is there a process to organize and manage program documentation?	2				
12.2	Are adequate Safety & Health activity summaries developed and maintained?	2				
12.3	Are Safety & Health statistical reports generated on an on-going /regular basis and readily available?	2				
12.4	Does the company compare Safety & Health performance year to year?	2				
12.5	Are the annual statistics analyzed and needs or trends identified?	2				
12.6	Are adequate first aid treatment records kept?	3				
12.7	Was an action plan developed based on the most recent audit?	2				
12.8	Was that action plan communicated and implemented?	3		AND		
	Total points possible/awarded	18				
	Highlighted boxes are required for Small Employer Certification. COR requires all questions.					

Comments

13.0 Guidelines - Legislation

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

Safety & Health Program Verification		Score	Technique Employed			Points Awarded
			D	O	I	
13	Legislation					
13.1	Are copies of relevant legislation posted and/or available at each workplace?	2		OR		
13.2	Does the management/supervisor regularly refer to relevant legislation and regulations during job planning?	3				
13.3	Are personnel aware of their rights and responsibilities and how to exercise them?	5				
13.4	Does the employer's accident reporting meet the legislated criteria?	2				
	Total points possible/awarded	12				
	Highlighted boxes are required for Small Employer Certification. COR requires all questions.					

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14.0

- 14.1.1 Where there is more than one of the company's employees on a worksite, one worker must be appointed as the Committee representative/ Safety Representative. If the company is in the project management business, there should be a listing of Safety Reps for all trades posted on site. WSH legislation requires when a company has more than 20 workers that a workplace safety and health committee be established.
- 14.1.2 Safety Committee minutes or company training records must verify that legal duties and responsibilities have been reviewed with the Safety Committee members/representatives and the majority of interview responses must indicate that Safety Committee Members/Representatives have a clear understanding of their responsibilities.
- 14.1.3 Through documentation, observation or interviews the auditor must determine if Safety Committee members/representative has been properly constituted and has established a terms of reference, and are involved in the safety program activities, and have provisions for addressing and resolving safety concerns in a timely manner . Signatures on the documentation or interview responses with respect to safety meetings, investigations, inspection, etc. will assist in awarding points for this question.
- 14.1.4 Training for Safety Committee members/representatives should be reviewed annually and consist of but not limited to: legislation, inspections and investigations. The safety and health committee/safety representative must review the effectiveness of safety equipment or personal protective equipment and advise on the content or effectiveness of the safety education and/or training programs.
- 14.1.5 WSH Legislation requires Safety Committee minutes and names to be posted (or, if not possible, made readily available) at each worksite, shop or office. (Note: WSH Legislation requires a safety and health bulletin board at each workplace)
- 14.2.1 A hearing conservation program should be developed for each company based on employee exposure. The program should be written and communicated to employees. It should include elements with respect to: sound monitoring, audiometric testing, hearing protection and training for employees.
- * Award 1 point based on the creation of a hearing conservation policy
 - * Award 2 points based on documentation in support of audiometric testing for employees
 - * Award 2 points based on documentation in support of worksites sound monitoring
- 14.2.2 The employer is required to provide hearing protection to employees in accordance with Legislation. The auditor should ensure that all types of hearing protection in use is being worn correctly and adequately maintained.
- 14.3.1 The company safety manual should contain a policy/directive with respect to lockout/tagout providing detailed and specific instructions to employees who may be required to put the policy to use.
- 14.3.2 During worksite observations, the auditor should ensure that lockout tags are provided to employees and all employees are in adherence with the procedure. During interviews, employees must be able to demonstrate an understanding of the lockout/tagout procedure and describe a situation when they may be required to perform a lockout.
- 14.4.1 The company safety manual should contain a procedure with respect to Working Alone.
- 14.4.2 During the audit, if employees are observed to be working alone, the auditor should ask to see a copy of their written procedure and a communication device. During interviews, the majority of employees must be able to demonstrate an understanding of the company's Working Alone procedure.

Safety Program Verification MB Heavy Construction - Supplement		Score	Technique Employed			Points Awarded
			D	O	I	
14	Safety Committee/Worker Safety Representative					
14.1.1	Is there a designated Worker Safety Representative at each jobsite?	2		AND		
14.1.2	Are committee members or representatives familiar with their legal duties and responsibilities?	3		AND		
14.1.3	Are committee members or representatives actively involved in the continuous improvement of the safety program?	3	OR			
14.1.4	Have committee members or representatives received any training in how to carry out these duties and responsibilities?	2				
14.1.5	Are committee minutes posted (or if not practicable, made readily available) for all employees to read?	2		OR		
Regulatory Compliance & Safety Program Directives						
14.2.1	Does the company have a Hearing Conservation Program?	5				
14.2.2	Is hearing protection made readily available to employees that include instruction regarding the limitations and proper use?	2		OR		
14.3.1	Is there a written directive/procedure in place on the subject of Lockout/Tagout?	2				
14.3.2	Is it adhered to?	2		OR		
14.4.1	Is there a written directive or plan in place on the subject of workers Working Alone?	2				
14.4.2	Is it adhered to?	2		OR		
	Subtotal possible points awarded	27				
	Highlighted boxes are required for Small Employer Certification. COR requires all questions.					

Comments

14.0 Guidelines - Manitoba Supplement, Regulatory Compliance

A formal biological and chemical hazard evaluation should be conducted to identify the exposure potential and control measures required. Procedures for the proper use/handling/storage/disposal must be developed and worker training conducted.

- 14.5.1 During worksite visits, all controlled products found on site must be labeled with a clear and legible WHMIS label.
- 14.5.2 All MSDS/SDS sheets for each controlled product must be readily available on site and dated no later than 3 years.
- 14.5.3 Company training records or employee passports may be used to verify training in WHMIS
- 14.5.4 Employees must be able to demonstrate an understanding of the 3 basic elements of WHMIS: labels, MSDS and employee training.
- 14.6.1 A company acting as the Prime Contractor is required to coordinate, organize and oversee the performance of all work at the construction project site. A company acting as a subcontractor must be aware of their legal obligations to share required safety information with the Prime. (Shared information should include: existing and potential hazards, toolbox meeting minutes, MSDS, inspections, investigations, supervisor's name, WSH orders/reports, etc.)
- 14.6.2 Documentation of required safety information shared between Prime Contractor/Subcontractor can be either retained on file or posted at the worksite.
- 14.7.1 For all critical equipment found on site, the auditor should ensure by requesting documentation that the operators are competent/trained/certified in accordance with WSH Legislation and verification through interviews must indicate that operator competency is verified prior to operation.
- 14.8.1 A Musculoskeletal Injury Prevention program must include: hazard/risk assessment and control measures. Examples of control measures may include: safe work procedures, tailored work schedules, personal protective equipment, etc.
- 14.9.1 The company must have a written policy on the subject of workplace harassment which includes provisions for the following WSH legislated requirements: filing a complaint, complaint investigation and disclosure of information.
- 14.9.2 The policy must be posted at the workplace and made readily available to all employees.
- 14.10.1 The company must have a written policy on the subject of workplace violence which includes provisions for the following WSH legislated requirements: hazard/risk assessment, employee training & procedures to follow for reporting and investigating complaints.
- 14.10.2 The policy must be posted at the workplace and made readily available to all employees.
- 14.11 Where needed the company must have life safety, signage, written safety materials such as safe work procedures, company rules in languages appropriate for all members of the workforce.

Safety Program Verification MB Heavy Construction - Supplement		Score	Technique Employed			Points Awarded
Regulatory Compliance & Safety Program Directives (continued)			D	O	I	
14.5.1	Are controlled products properly labeled?	2	OR			
14.5.2	Are MSDS/SDS Sheets current and made readily available at each worksite?	2				
14.5.3	Have employees who work with, or in the proximity of controlled products received the appropriate training?	2				
14.5.4	Can employees communicate an understanding of the basic elements of WHMIS?	2				
14.6.1	Is the company aware of their duties and responsibilities when a Prime Contractor is required on the construction project?	2				
14.6.2	Are they adhered to?	2				
14.7.1	Is the written directive or plan on the subject of operator training and/or equipment certification adhered to?	1		AND		
14.8.1	Does the employer have a system in place to identify and control the risk of musculoskeletal injuries?	2				
14.9.1	Does the employer have a written policy with respect to the prevention of harassment in the workplace?	2				
14.9.2	Is the policy prominently posted at the workplace?	1				
14.10.1	Does the employer have a written policy with respect to the prevention of violence in the workplace?	2				
14.10.2	Is the policy prominently posted at the workplace?	1				
14.11	Is there a process in place to communicate and provide direction to workers as appropriate because of experience, language or disability? Do emergency plans make allowances for this?	1	OR			
	Subtotal points possible/awarded	22				
	Total points possible/awarded	49				
	Highlighted boxes are required for Small Employer Certification. COR requires all questions.					

Highlighted boxes are required for Small Employer Certification. COR requires all questions.

Comments

COR AUDIT SUMMARY SHEET

Company		Name of Auditor		Audit Date	
Element #	Element Name	Possible Score	Actual Score	Minimum Standard	Standard Achieved
1	Company Safety & Health Policy	27		14	Yes <input type="checkbox"/> No <input type="checkbox"/>
2	Hazard Assessment	42		21	Yes <input type="checkbox"/> No <input type="checkbox"/>
3	Safe Work Practices	17		9	Yes <input type="checkbox"/> No <input type="checkbox"/>
4	Safe Work Procedures	15		8	Yes <input type="checkbox"/> No <input type="checkbox"/>
5	Company Rules	9		5	Yes <input type="checkbox"/> No <input type="checkbox"/>
6	Personal Protective Equipment	21		11	Yes <input type="checkbox"/> No <input type="checkbox"/>
7	Preventative Maintenance	12		6	Yes <input type="checkbox"/> No <input type="checkbox"/>
8	Training and Communication	42		21	Yes <input type="checkbox"/> No <input type="checkbox"/>
9	Inspections	30		15	Yes <input type="checkbox"/> No <input type="checkbox"/>
10	Investigations	30		15	Yes <input type="checkbox"/> No <input type="checkbox"/>
11	Emergency Preparedness	27		14	Yes <input type="checkbox"/> No <input type="checkbox"/>
12	Statistics and Records	18		9	Yes <input type="checkbox"/> No <input type="checkbox"/>
13	Legislation	12		6	Yes <input type="checkbox"/> No <input type="checkbox"/>
14	Manitoba Heavy Supplement	49		25	Yes <input type="checkbox"/> No <input type="checkbox"/>
TOTAL		351			
Minimum Standard = 80% overall score and 50% each element				Reviewed	
Actual score				Senior Organization/ Company Officer	
Possible score				Auditor Signature	
Overall Standard Achieved				Goal for the Next Audit _____ %	
MHCA Reviewed _____				The goal for the next audit must be set by the organization/company representative	

SECOR AUDIT SUMMARY SHEET

Company		Name of Auditor		Audit Date		
Element #	Element Name	Possible Score	Actual Score	Minimum Standard	Standard Achieved	Auditor Comments
1	Company Safety & Health Policy	22		11	Yes <input type="checkbox"/> No <input type="checkbox"/>	
2	Hazard Assessment	32		16	Yes <input type="checkbox"/> No <input type="checkbox"/>	
3	Safe Work Practices	17		9	Yes <input type="checkbox"/> No <input type="checkbox"/>	
4	Safe Work Procedures	15		8	Yes <input type="checkbox"/> No <input type="checkbox"/>	
5	Company Rules	9		5	Yes <input type="checkbox"/> No <input type="checkbox"/>	
6	Personal Protective Equipment	14		7	Yes <input type="checkbox"/> No <input type="checkbox"/>	
7	Preventative Maintenance	5		3	Yes <input type="checkbox"/> No <input type="checkbox"/>	
8	Training and Communication	23		14	Yes <input type="checkbox"/> No <input type="checkbox"/>	
9	Inspections	22		11	Yes <input type="checkbox"/> No <input type="checkbox"/>	
10	Investigations	12		6	Yes <input type="checkbox"/> No <input type="checkbox"/>	
11	Emergency Preparedness	14		7	Yes <input type="checkbox"/> No <input type="checkbox"/>	
12	Statistics and Records	7		4	Yes <input type="checkbox"/> No <input type="checkbox"/>	
13	Legislation	7		4	Yes <input type="checkbox"/> No <input type="checkbox"/>	
14	Manitoba Heavy Supplement	47		24	Yes <input type="checkbox"/> No <input type="checkbox"/>	
	TOTAL	246				
Minimum Standard = 80% overall score and 50% each element				Reviewed		
					Senior Organization/ Company Officer	
Actual score		x 100=				
Possible score		246				
Overall Standard Achieved		Yes <input type="checkbox"/> No <input type="checkbox"/>			Auditor Signature	
					Goal for the Next Audit _____%	
MHCA Reviewed _____					The goal for the next audit must be set by the organization/company representative	

Auditor Executive Summary Report

The auditor executive summary will not be accepted without the following information:

Number of work sites visited

Number of management/supervisors interviews

Number of worker interviews

10/10/2019

Number of subcontractors interviewed (where applicable)

11

[illegible]

Auditor's Signature _____

Date: _____

[illegible][illegible]

AUDIT CORRECTIVE ACTION PLAN

(Must be completed. Audit will not be accepted without it.) Reflect on all deficiencies on element by element basis,

[illegible]

AUDIT SUBMISSION CHECKLIST

- ☐ Ensure audit is submitted with an action plan which reflects all deficiencies throughout the document.
- ☐ Ensure all supporting documentation is included where required. (See checklist to verify).
- ☐ Ensure that all boxes have been completed.
- ☐ Ensure that all active worksites have been listed in the list of active worksites whether they were a part of the audit or not.
- ☐ Submit the original copy for review and ensure that all changes/corrections have been initialed.
- ☐ Ensure that the interview checklist sheets are submitted. WORKSAFELY™ MHCA does not need notes written as a result of the interview.
- ☐ Ensure that the comments have been made where required:
 * Auditors must provide a comment for all deficiencies marked with (X) and N/A (not applicable).
- ☐ Where questions were deemed to be not applicable (n/a), ensure that the possible score for the section is adjusted accordingly and that the change is carried forward to the summary page.
- ☐ One word answers do not convey adequate information. Ensure that comments provide insight into the points awarded.
- ☐ Auditor Executive Summary must include comments on strengths and list a minimum of three recommendations for improvement. The correct criteria for completing the Executive Summary is outlined in the audit document.
- ☐ Ensure that both the senior company designate and auditor have signed off on the audit document.
- ☐ Ensure that the correct number of interviews were completed. There is a chart at the beginning of the Audit Document.
- ☐ Ensure that a representative number of worksites were visited. In most cases, this will entail at least 1/3 of the active sites in addition to the office/shop.

Auditor Signature: _____ Date: _____

This form must be submitted along with your completed audit for review to MHCA WORKSAFELY

AUDIT CLOSE OUT MEETING

Date: _____

Attendees:

_____	_____
_____	_____
_____	_____

Thank you for your time and patience during this audit. All audit information was verified through Documentation, Observation & Interviewing,

Number of employees interviewed (managers/supervisors/workers): _____

Positive areas: _____

Recommendations: _____

Yes ☐ No ☐

All forms and documents signed by all parties:

Auditor
Certification Number # _____

Management