



## COR<sup>®</sup> & SECOR<sup>®</sup> AUDIT INSTRUMENT

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

Created to align with the CFCSA endorsed harmonized audit instrument in verification of the National COR<sup>®</sup> Accreditation Standard





**Manitoba Heavy Construction Association (MHCA® WORKSAFELY®)  
“COR®/SECOR® Audit Document”  
A “Continuous Improvement” Verification Exercise**

Manitoba Heavy Construction Association (MHCA®) & the MHCA® WORKSAFELY®

The **Manitoba Heavy Construction Association (MHCA®)** is an organization fully funded by its member companies in the heavy construction industry. Its focus is on promoting sustained investment in infrastructure, supporting and initiating policies which help grow Manitoba’s economy and providing vocational and safety education and training to and for the heavy construction industry.

The **MHCA® WORKSAFELY®** is managed and delivered by the MHCA® to the entire heavy construction industry in Manitoba under a long-term funding agreement between the MHCA® and the Workers Compensation Board (WCB) of Manitoba.

The MHCA® WORKSAFELY® is supported by two revenue streams. The first is a surcharge on premiums paid by companies classified by the WCB as heavy construction and listed as such in the WCB 407/408 and other rate codes. The second is program “user fees,” an expectation by the WCB with which the MHCA® is obliged to comply.

The program is designed and mandated to assist the heavy construction industry in Manitoba to meet its obligations related to workplace safety procedures, policies and training as required by provincial legislation. **COR®/SECOR® (Certificate of Recognition / Small Employer Certificate of Recognition) is earned not given.**

**The objective of safety programs is to eliminate workplace incidents and mitigate the severity of those that do occur.**

The **MHCA® WORKSAFELY® COR®/SECOR® Program** and the within **MHCA® WORKSAFELY® COR®/SECOR® Audit Document** assists in meeting Manitoba Laws, Manitoba Regulations, the Canada Labour Code and established industry standards and practices some of which nominally exceed legislated requirements.

It also *meets national auditing standards* as adopted by the Canadian Federation of Construction Safety Associations (CFCSA) allowing for reciprocal “COR® Certified” status achieved in Manitoba to be recognized across Canada.

**COR®/SECOR® – It’s Application**

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.

Although COR® is the national standard, COR® Certification must be granted by the Authority Having Jurisdiction in each of the provinces or territories you work.

COR® Certification is reciprocally recognized in all provinces and territories. There is no minimum or maximum to the number of workers a company must have to become COR® Certified or maintain COR® certified.

SECOR® may apply to companies of 19 or less persons in total. **SECOR® may not have reciprocal recognition between provinces and territories in Canada and therefore may not provide extra-provincial or territorial portability advantages.**

## **COR®/SECOR® Audit Document**

The Audit document is used to assess both COR® and SECOR® companies. The difference between the two is simple: COR® companies are assessed against ALL questions listed in the audit document; SECOR® companies are assessed against only those questions which are highlighted.

## **Safety and the Law**

Workplace safety is the joint responsibility of management and worker(s). *Education, training and the implementation of individual safety and health policies, practices and procedures are not an option – it is a requirement of provincial legislation, namely the Workplace Safety & Health (WS&H) Act and Regulation.*

The MHCA® WORKSAFELY® COR®/SECOR® Program and Audit are designed to assist companies by providing a framework for a safety and health management systems which will help meet its legal responsibilities. However only by fully adhering to the Workplace Safety and Health Act and Regulation and other applicable legislation are companies in compliance.

The MHCA® WORKSAFELY® COR®/SECOR® Audit Document references some of the applicable sections of the WS&H Act and Regulation.

## **MHCA® WORKSAFELY® Quality Assurance Program (QAP)**

The MHCA® WORKSAFELY® Quality Assurance Program (QAP) provides the comprehensive guidelines for MHCA® WORKSAFELY® policies and procedures. It lays out the conduct (including ethical), program and implementation expectations of all participants in a safety and health program. If you do not have a copy, feel free to contact the MHCA® WORKSAFELY® and one will be provided.

## **MHCA® WORKSAFELY® COR®/SECOR® Program – Benefits**

The benefits of COR® Certification are many and include:

- Improve your and your employee due diligence and/or reasonable care by ensuring that you have current and effective safety programs, practices and procedures in place for your work sites;
- Avoid or reduce workplace or occupational injuries and illnesses which translates into lowered worker's compensation insurance premiums;
- Audits allow you to track your own safety performance and proactively implement corrective measures;
- As a measuring instrument, audits ultimately provide the ability to effect continuous improvement which benefits the company and its employees; and
- Subject to WCB qualifying rules, achieving and maintaining COR®/SECOR® Status entitles companies to a 15% rate reduction in WCB insurance premiums.

A MHCA® WORKSAFELY® objective is to assist heavy construction industry employers attain and thereafter maintain Certificate of Recognition (COR®/SECOR®) status.

***Please be reminded however, that COR®/SECOR® Certification requires achieving identified benchmarks.*** Failure to do so may result in the COR®/SECOR® Certified status being suspended or revoked. A complete *“Review and Appeal”* of any such decision is found in Section 10 of the QAP. Let the MHCA® WORKSAFELY® help you to ensure that does not happen.

## **MHCA® WORKSAFELY® Safety Program COR®/SECOR® Audit Document – A Guide**

The within MHCA® WORKSAFELY® COR®/SECOR® Audit Document is intended to provide a guide for Auditors in conducting and completing the required External Audits of COR®/SECOR® Certified company safety and health programs.

It is also used for the purposes of conducting Internal and Trial Audits of company safety and health programs. It also helps companies understand what is involved in an External Audit of its safety and health program (and therefore assists in preparation) and post audit what corrective measures may be required.

## **Audit Purpose, Objectives & Experience**

The purpose, objectives and approach in the conduct of an External Audit is to assess the existence, validity, effectiveness and implementation of the company safety and health program. It tests for consistency with the required 15 COR®/SECOR® Program Elements and helps the company and its employees in continuously improving its entire safety and health program at all workplaces.

An audit should not be viewed nor its results received in the strictest sense, as a rigid *“pass / fail”* process. Audits should *“flag, red circle or caution”* weaknesses for attention and corrective steps to be incorporated into the required Corrective Action Plan which follows each audit.

***Save and except during employee interviews which are confidential in nature, a company is entitled to designate an employee (for example, its Safety Program Manager) to accompany the Auditor during the audit process*** to act as a resource, answer questions and provide any required explanation.

### The Audit Approach

Auditors are charged with the responsibility of objectively, consistently and fairly testing for the existence and implementation of the company's safety and health program and for consistency with the 15 COR®/SECOR® Program Elements. In addition, the Auditor's role is to promote continuous improvement by demonstrating cooperation, willingness to point out, correct, advise and assist in improving upon what the Auditor finds.

If at any time during the audit process questions or concerns arise, companies are encouraged to contact the MHCA® WORKSAFELY® Director or any one of the MHCA® WORKSAFELY® Safety Advisors for assistance.

### **Marking: Substance vs. Form - Benefit of Doubt**

In all instances *where there is an evident body of objective evidence* demonstrating a company safety and health program, practices, procedures and attitude/culture, Auditors shall award full points.

Auditors should mark for *substance vs. form* when awarding points. A deficiency in form (provided in substance the program element is substantially in place) should result in full points being awarded. In such circumstances a caution, recommendation or directive for attention in a Corrective Action Plan should be noted in the audit report.

In all instances "*benefit of doubt*" shall be extended in favour of the audited company or its interviewed employees in marking, assessing or scoring a company's safety and health program. In such circumstances, Auditors shall flag appropriate observations for inclusion in the company Corrective Action Plan.

### Conflict of Interest

Auditors shall not under any circumstances offer to provide remedial training or education, nor refer the audited company to any entity providing such assistance in which the Auditor has a direct or indirect interest. They shall refer the audited company to the MHCA® WORKSAFELY® for any such required advice.

### **Safety Consultant Referral**

If the MHCA® WORKSAFELY® cannot help, it can provide referrals to Safety Consultants. Companies can contact any one of the MHCA® WORKSAFELY® Safety Advisors at 204-947-1379 or visit [www.mhcaworksafely.ca](http://www.mhcaworksafely.ca) for the appropriate referral.

### **COR®/SECOR® Certificate ("COR®/SECOR® Certified" status) – the "Required Audit Mark"**

**In all cases, COR®/SECOR® certified status is earned, not given.**

A company undertaking its first External Audit **is required** to achieve an overall score of 80% with a minimum of 50% in each of the 15 COR®/SECOR® Program Elements (hereinafter referred to as the "required audit mark") to be issued a COR®/SECOR® Certificate thereby achieving "COR®/SECOR® Certified" status.

### **Maintaining "COR®/SECOR® Certified" Status & Expiry**

Assuming a company is otherwise in compliance with its obligations, a COR®/SECOR® Certificate remains "in good standing" until the expiry date disclosed in the Certificate.

Unless otherwise stipulated, maintenance of "COR®/SECOR® Certified" status "in good standing" requires the submission to the MHCA® WORKSAFELY® on or before the anniversary date of its External Audit, of an Annual Internal Audit in each of the first two years following COR®/SECOR® Certification and an External Audit in the third year, each audit demonstrating that the company has achieved the required audit mark.

(Note: see also section 6.8 Quality Assurance Program, COR®/SECOR® Certificate ("COR®/SECOR® Certified" status) – the "Required Audit Mark," and "COR®/SECOR® Audit Results, Follow up & Automatic Review".)

### **COR®/SECOR® Audit Results, Follow-up & Automatic Review**

This section *applies only* to companies with a pre-existing COR® Certified status.

The **AUDIT RESULTS** of an External Audit fall into three broad categories, each with varying conditions and time stipulations **which by agreement with the MHCA® WORKSAFELY® may be shortened or extended**. Each is designed to assist continuous safety and health program improvement and to achieve the required audit mark. The categories are as follows:

- **AUDIT RESULT 1:** A score of 80% or more overall and 50% or more in each of the 15 Program Elements (the “required audit mark”): An “**Audit Result 1**” company will be issued a COR®/SECOR® Certificate upon it submitting a Corrective Action Plan satisfactory to the MHCA® WORKSAFELY®, within 14 calendar days following the date of the External Audit and its approval by the MHCA® WORKSAFELY®.

To thereafter maintain its COR®/SECOR® Certified status “in good standing” the company must submit to the satisfaction of the MHCA® WORKSAFELY®, Internal Audits on the anniversary date of its External Audit in each of the next two years, followed by an External Audit by the anniversary date in the third year.

- **AUDIT RESULT 2:** Less than 80% and/or less than 50% in no more than 2 Program Elements: An “**Audit Result 2**” company will not be issued a new COR®/SECOR® Certificate *until it complies with the following conditions:*

- That it develops and submit a Corrective Action Plan satisfactory to the MHCA® WORKSAFELY® within 14 calendar days following the date of the External Audit and its approval by the MHCA® WORKSAFELY®;
- That within the next 90 calendar days it implements the Corrective Action Plan, and;
- That within the next 30 calendar days it submits to a follow-up limited scope External Audit, focusing on implementation of the Corrective Action Plan and the deficiencies in the two or less Program Elements. (The MHCA® WORKSAFELY® will make the arrangements)

To be issued a new COR®/SECOR® Certificate, the company must achieve the required audit mark in its follow up limited scope External Audit and submit a Corrective Action Plan to the satisfaction of the MHCA® WORKSAFELY® within 14 calendar days of the said limited scope External Audit.

To thereafter maintain its COR®/SECOR® Certified status “in good standing” the company must submit to the satisfaction of the MHCA® WORKSAFELY®, Internal Audits on the anniversary date of its External Audit in each of the next two years, followed by an External Audit by the anniversary date in the third year.

- **AUDIT RESULT 3:** Less than 80% and/or less than 50% in 3 or more Program Elements: An “**Audit Result 3**” company will not be issued a new COR®/SECOR® Certificate *until it complies with the following conditions:*

- That it develops and submit a Corrective Action Plan satisfactory to the MHCA® WORKSAFELY® within 14 calendar days following the date of the External Audit and its approval by the MHCA® WORKSAFELY®;
- That within the next 90 calendar days it implements the Corrective Action Plan, and;
- That within the next 30 calendar days it submits to a full follow-up External Audit. (The MHCA® WORKSAFELY® will make the arrangements)

To be issued a new COR®/SECOR® Certificate, the company must achieve the required audit mark in its full follow up External Audit and submit a Corrective Action Plan to the satisfaction of the MHCA® WORKSAFELY® within 14 calendar days of the said External Audit.

To thereafter maintain its COR®/SECOR® Certified status “in good standing” the company must submit to the MHCA® WORKSAFELY® an External Audit by the anniversary date of its External Audit. If it achieves the required audit mark, it shall be treated as an “Audit Result 1” company.

**Note: Failure to comply with the conditions explicitly and specifically, MAY result in suspension or revocation of COR®/SECOR® status.**

Notwithstanding the above, the MHCA® WORKSAFELY® Director shall automatically review and assess the External Audit for companies falling within either Audit Result 2 or 3 company. The Director’s re-assessment shall be limited to a review of the External Audit document. If upon re-assessment the Director determines a higher score, that result shall be deemed final.

In every case, the results of the External Audit and the Corrective Action Plan which follow become the record of examination for External Audits on a “go forward” basis. They provide a benchmark for the company, its employees and Auditors as to where the company was and how far it and its employees have progressed. It is *the tool* which assists in continuous best practice improvement.

In every case the MHCA® WORKSAFELY® will offer to provide follow up assistance, guidance direction and where asked, training to help the company and its workers improve.

**In every case, companies are reminded that to receive and/or maintain COR®/SECOR® Certified status they must meet the “Required Audit Mark” {see COR®/SECOR® Certificate (“COR®/SECOR® Certified” status) – Required Audit Mark above} failing which COR® Certified status may be suspended or revoked.**

If the COR®/SECOR® Certification is suspended or revoked a complete “Review and Appeal” of any such decision is found in Section 10 of the MHCA® WORKSAFELY® Quality Assurance Program (QAP).

*If a company falls outside any of the above-described circumstances, it is encouraged to contact the MHCA® WORKSAFELY® Director for further assistance and/or clarification.*

#### **Conflict in content**

***In the event any conflict in content as between the COR®/SECOR® Audit Document and the MHCA® WORKSAFELY® Quality Assurance Program (QAP) or any other resource material is determined, the within COR®/SECOR® Audit Document provisions shall govern the COR® Audit process.***

#### **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 provincial legislation and does not relieve persons using this publication from their responsibilities under applicable legislation. The Manitoba Heavy Construction Association (MHCA®) does not guarantee the accuracy of, nor assume liability for, the information presented. Individual assistance and advice is available from Manitoba Heavy Construction Safety Program (MHCA® WORKSAFELY®). Interpretation of the law is best left to legal counsel.

#### **Acknowledgements**

The Manitoba Heavy Construction Association (MHCA®) extends its sincere appreciation to the Canadian Federation of Construction Safety Association (CFCSA) and its members which provided materials in support of the preparation of this MHCA® WORKSAFELY® COR®/SECOR® Audit Document.

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## DEFINITIONS FOR AUDITORS

<b>AHJ:</b>	Authority Having Jurisdiction; an organization, office or individual responsible for enforcing the requirements of a code or standard or for approving equipment, materials, an installation or a procedure.
<b>Auditor:</b>	An individual who has the qualification and skill to measure Safety, Health and Environmental performance against a given standard. Competency is based on training through a recognized agency, certification and experience.
<b>Competent:</b>	Means possessing knowledge, experience and training to perform a specific duty.
<b>Contractor:</b>	Means a person who, pursuant to one or more contracts, directs the activities of one or more employers or self-employed persons involved in work at a work place.
<b>Critical:</b>	Means events, activities, operations, etc., that have the potential to cause serious injury.
<b>Current:</b>	Means within the year of completing the audit.
<b>Element:</b>	One of the 15 sections within the COR® audit that deals with a specific component of the management system. For example; the hazard assessment element is for the identification and control of occupational hazards.
<b>Employee:</b>	An individual employed by an organization/company (full time, part time or on a contractual basis.) This could include owners, management, contractors and workers.
<b>Incident:</b>	An undesired event that could have resulted or had the potential to result in personal harm, property damage, environmental damage, near miss, impact or loss.
<b>Industry Practice:</b>	Refers to practices normally approved or accepted by an industry group.
<b>Job:</b>	A segment of work, a specific work assignment, a set of actions required to complete a specific work objective. An accumulation of all tasks involved at the work site.
<b>Lagging indicators:</b>	Indicators that measure the occurrence and frequency of events that occurred in the past, such as the number or rate of injuries, illnesses and fatalities.
<b>Leading indicators:</b>	Proactive and preventative measures that demonstrate the effectiveness of safety and health activities and reveal potential problems in a safety and health program.

## DEFINITIONS FOR AUDITORS

<b>Management:</b>	Person engaged in the administration of business concerns.
<b>Manager:</b>	An individual appointed to administrate the company business. In construction this would be a Superintendent level or higher.
<b>MHCA®:</b>	Manitoba Heavy Construction Association.
<b>MHCA® WORKSAFELY®:</b>	Manitoba Heavy Construction Association Safety Program.
<b>Musculoskeletal Injury:</b>	An injury or disorder of the muscles, tendons, ligaments, joints, nerves, blood vessels or related soft tissue, including a sprain, strain or inflammation that may occur to a worker in a workplace and that is caused or aggravated by any of the following: a repetitive motion, a forceful exertion, vibration, mechanical compression, a sustained or awkward posture, a limitation on motion or action, any other factor that creates a risk of musculoskeletal injury.
<b>Near Miss:</b>	An undesired event that under slightly different circumstances had the potential to cause personal harm, property damage, environmental damage, impact or loss. Commonly referred to as an incident.
<b>Prime Contractor:</b>	The contractor, employer or other person who enters into an agreement with the owner of the work site to be the prime contractor.
<b>Procurement:</b>	The activities involved in obtaining the goods and services a company needs to support its daily operations.
<b>Safe Work Procedure:</b>	The step-by-step process of how to perform a task from start to finish safely.
<b>Senior Management:</b>	The person or persons with the authority to establish policies for the company/organization. Those responsible for the decision making, financial planning, policy making, etc.
<b>Service Provider:</b>	A provider of basic services or value-added services for operation of a network. This generally refers to public carriers and other commercial enterprises.
<b>Supervisor:</b>	An individual appointed by the company to direct work site activities. This person would be included in management interview questions.
<b>Task:</b>	A segment or work which requires a set of specific and distinct actions for its completion. Critical task is a task, which has the potential to produce major loss to people, equipment, processes and/or environment.
<b>Worker:</b>	An individual who does not have management or supervisor responsibilities.



## GENERAL GUIDELINES

### Auditors

*External Audits* of COR® Certified Safety Programs may only be submitted by auditors certified by the MHCA® WORKSAFELY®. Auditors wishing MHCA® WORKSAFELY® Certification must apply to the MHCA® WORKSAFELY®.

### Completing the MHCA® WORKSAFELY® COR® Audit Document

All **External Audits** must be completed consistent with the within Guidelines and Procedures (which follow) failing which the Audit may be sent back or rejected by the MHCA® WORKSAFELY®. The requirements are straight forward but must be followed to ensure consistency. Except where otherwise noted, Internal and Trial Audits are also required to follow the MHCA® WORKSAFELY® Audit Document Guidelines and Procedures.

- All audits must be completed in ink
- The MHCA® WORKSAFELY® Audit Document for Internal and External Audits must be completed and submitted on original forms
- Trial Audits may be submitted on photocopied forms
- All spaces under the verification technique must be completed using an (X) when no credit is given and a check mark (✓) when credit is given
- Each of the 15 elements must receive at least 50% to proceed
- Awarding partial points is acceptable. Where a question is worth four (4) or more points, consult the guidelines on how points should be allocated. Where no specific instructions are given, positive response (✓) equals full points, negative response (x) equals zero (0) points
- When an **“AND”** is used under the verification technique column, this indicates the need to confirm the answer using both techniques. Before awarding points, refer to the element guidelines as partial points may be allowable
- To verify a question using **“OR”** both responses in the verification technique must be filled. A positive response (check mark) is needed in only one of the verification techniques for points to be awarded
- Not – Applicable: The use of non-applicable (N/A) may be justified in all instances. Its use must be supported in written detail in the comment section at the bottom of the applicable page and/or in the Auditor Executive Summary Report
- The auditor must initial any changes to the audit in ink
- To verify a question where **D** (documentation), **O** (observation) and **I** (interview) are required, all must receive a check mark (✓) for points to be awarded
- Indicate the individuals who have completed all REQUIRED COR® courses. The requirement is for at least one owner/senior management and one full time person on staff.

**Please note that failure to complete this document as required may result in the audit being rejected by MHCA® WORKSAFELY®.**

## **Procedures for Completing the Manitoba Heavy Construction Safety Program (MHCA® WORKSAFELY®) COR® Audit Document**

### **Introduction**

The MHCA® WORKSAFELY® Safety Program COR® Audit Document was designed and prepared ultimately to assist the heavy construction industry in assessing and measuring implementation of individual safety management systems into all aspects of a company's operation.

It provides management audit-based information based upon which improvements and corrective action plans can be developed. The document is a useful tool for company staff, management and safety professionals. It is the tool required to be used by MHCA® WORKSAFELY® Certified Auditors in completing External Audits and by the individual company for Internal or Trial Audits.

Before you begin the Safety Program Audit, read over the following pages carefully. They will explain the rationale for and steps required to complete an audit.

### **Steps in the MHCA® WORKSAFELY® COR® Audit Process**

There are three major steps in the audit process each with their own sub-activities:

#### **1. Audit Preparation**

- Inform participants of pending audit
- Post interview questions in an area visible to company or site staff
- Locate background material and required documentation
- Gather tools and Personal Protective Equipment (PPE)
- Request and complete a Familiarization Tour
- Conduct a pre-audit meeting to explain the process and identify expectations

#### **2. Performing the MHCA® WORKSAFELY® COR® Audit**

- Safety program review (Safety Program Manual Verification)
- Detailed audit (Observation and Interviews)
- Document and summarize results

#### **3. Reporting the Results**

- Conduct a Close Out Meeting – assemble the same people if you had a pre-audit meeting
- Present the Executive Summary and Audit Report
- Discuss with management and ensure it understands the obligation to develop and document a Corrective Action Plan

## **STEP ONE – Audit Preparation**

Planning in advance saves time and energy. You and/or your audit team should complete the following before the audit begins:

### **i. Inform Participants**

Tell the organization or site to be audited that an audit is about to take place. This may be done by letter or in person. Make sure people understand:

- The date or dates of the audit
- The purpose of the audit
- Who will be involved
- The types of activities that will occur
- The proposed schedule of activities
- The type of information and documentation that will be required before or during the audit
- That the audit report will be available to management once the audit is completed

### **ii. Locate Background Information**

Get as much background information as possible about the area or organization that will be audited. Look for things like:

- An organizational chart
- A written description of the organization or area
- Any previous audit/inspection reports that may be available, including the previous Audit Corrective Action Plan (applicable for subsequent audits).

### **iii. Gather Tools**

Gather together the tools you will need:

- Note pad and pens (All audits must be completed in ink)
- Appropriate Personal Protective Equipment (PPE)
- Any existing company policies, practices, procedures, etc.
- Copies of the Workplace Safety and Health Act & Regulation and other appropriate legislation
- The MHCA® WORKSAFELY® COR® Audit document
- Interview questionnaires

### **iv. Familiarization Tour**

Before conducting an audit, arrange for a site tour with a knowledgeable staff person to acquaint you with the operations.

## **STEP TWO – Performing the Audit**

In the course of conducting the audit, it is good practice to identify problems or concerns which may require corrective action in a separate note pad. Once conclusions have been finalized and are clear, note the appropriate ones in the “Comments” portion of the audit document itself. The audit process itself consists of the following:

- A review of the company safety program (Safety Program Manual Verification)
- Conducting the audit itself
- Documenting and summarizing the results

### **i. Safety Program Manual Verification (SPMV)**

Initially the Safety Program Manual Verification (SPMV) is a review of the company’s safety program. Its purpose is only to determine whether there exists a company safety program which reflects all 15 required elements of the COR® Program.

If any of the 15 elements are absent the company will fail its audit. Accordingly, speak to the company’s senior management and seek clarification. The missing elements may not be contained in a corporate policy manual or more than one element may be contained in a single topic area. Following this discussion, place the onus on the company to determine the merits of proceeding with the audit or to develop the missing element before proceeding with the audit. If all 15 elements are present, proceed to the next audit steps.

All the company objectives or policies may be included in one corporate policy statement. The audit must ensure that is complete and award points accordingly. Any questions regarding there or other formats should be addressed to the MHCA® WORKSAFELY®.

In an internal Audit year, auditors must provide a sampling of the documentation in each element.

### **ii. Conducting the MHCA® WORKSAFELY® COR® Audit (Elements 1-15)**

The detailed audit reviews all 15 elements of the safety program. Note that Manitoba based companies and those from out of province requesting COR® equivalency must complete element 15 “Manitoba Heavy Construction Supplement”.

#### **Site Locations**

The company must disclose all active worksites and must have at least one active worksite for the External Audit to proceed. In addition to the office and shop areas, the auditor must visit at least one active worksite at which the audit is conducted. Save for the aforementioned, the number of site locations to be audited remains within the auditor’s scope of discretion.

#### **Working with the Forms**

Each element lists a series of questions. After each question is a “Score Weighting.” This is an indication of the value or importance of each question. Questions that have a higher weighting are more critical than those with a lower weighting.

Under “Technique Employed” are three columns headed **D** (documentation), **O** (observation) and **I** (interview). Some of the boxes in these columns are shaded. This means that the particular technique is inappropriate for that question.

Some questions may require more than one technique to fully answer the question.

As you work through the documentation, observe activities on site and interview people you should be able to answer “yes” or “no” to each question. In some cases, you may have to back track to make sure your answer is correct. When you answer “yes” to a question, put a check mark (✓) in the appropriate box. When you answer “no” put an (X). If the question does not apply, put an “N/A” in the box and provide an explanation in the comments section (adjust the total score accordingly on that sheet and on the back Audit Summary Sheet).

**Note:** You may be able to put a check mark in a box right away; however, don’t assume a “no” answer. Leave the box blank until you have a chance to check with Management.

**The following examples show how it works:**

**Question 1.4** under the Company Safety Policy element asks, “Is signed by the current senior management and appropriately dated?” Since the space under “O” and “I” are shaded, documentation is the only method necessary to determine the answer to this question. If you review the documentation and can answer “yes” to the question, you would put a check mark (✓) in the box under the “D” column.

On the same form **Question 1.5**, “Is visibly posted in the workplace and/or made readily available to all workplace parties?” requires observation or interviews on the site to find whether or not the corporate safety policy really is posted around the site. If you did a tour and found that the policy was not posted, you would put an (X) in the box under the “O” column or award points based on the majority of positive interview responses.

**Question 1.6** also in Element One, “Is it communicated to workplace parties?” requires an interview. In this case, if your interviews showed that the majority of company personnel knew the content of the policy, you would put a check mark (✓) in the box under the “I” column.

**Question 9.6** in Element 9, “Is the required frequency of inspections being met by the supervisor and other responsible individuals?” This may be answered primarily by a review of the documentation. However, it is possible that someone other than the Supervisor could have completed a formal workplace inspection form. Therefore, it is important to verify the accuracy of the documentation by interviewing Site Supervisors to see if they can confirm their involvement in worksite inspections. If a workplace inspection form was completed, you would put a check mark (✓) in the box under the “D” column. However, if the majority of your interviews showed that Supervisors were not involved in conducting inspections, you would put an (X) in the box under the “I” column.

The final column on each form records the points awarded for the questions. In each question with a check mark (✓) (a “yes” answer) move the number Score Weighting to the Points Awarded box for the question. If the question has an X (a “no” answer) put zero in the Points Awarded box. Finally, add up the points awarded for each section and put the number in the box with the heavy BLACK outline marked Total Points Awarded.

**Note:** You will find specific guidelines on the page facing each form. Read them over before you start your audit.

### **Recommended Approach**

Use the following approach to complete the detailed audit. It will help you do the audit quickly and easily.

- i. **Review the documentation** – check in manuals or in company files to answer the questions. Often office personnel or management can help you find appropriate documentation. Work with the company to review the documentation for each question where documentation is required. If you have the appropriate documentation to answer “yes” to a question, place a check mark in the box under the “D” column for that question. If you cannot find the documentation necessary, do not put an (X). Simply leave the box blank for now BUT at the end of the audit all boxes must be filled in.
- ii. **Observe the operation** – tour the site or facility to determine whether the safety and health program complies with current legislation and company standards. The Auditor should note general site conditions and attempt to correlate this to what safety and health program element(s) is working or not at the field level.

Use a combination of the Audit Document and a note pad to record “Auditor’s Safety Notes” during your tour. Make sure you look for evidence relating to any question in the Audit Document for which observation is required.

If you can answer “yes” to a question (or verification), place a check mark under the “O” column for that question. If the answer is “no,” leave the box blank for now.

Use a note pad to record Safety Notes to make specific comments about problems you see (equipment in poor condition, notices covered over by other paper on bulletin boards, other hazards identified, etc.).

- iii. **Interview people** – interview a random selection of people on site. You don’t have to interview everyone, although on small sites with only a few employees, this may be necessary.

Group interviews are not an accepted practice. A good rule of thumb is to interview at least 3-15 people on sites with 50 or less employees – see chart below. On sites with more than 100 employees, normally, you shouldn’t have to do more than 20-25 interviews. Interviews could take approximately 15-30 minutes per person, depending upon the number of conducted interviews.

It is essential to interview a good cross section of all company personnel. Generally, this will include a random selection of jobsite, office and shop personnel. The interview purpose is to assess whether policies, best practices/procedures are demonstrated as part of individual knowledge.

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**Interview Chart – Suggested Number of Interviews for size of Company (minimum)**

<i>Company size</i>	<i># Worker Interviews</i>	<i># Mgmt. / Supervisor Interviews</i>	<i>Total # Interviews (minimum)</i>
5	2	1	<b>3</b>
10	3	2	<b>5</b>
25	7	3	<b>10</b>
50	10	5	<b>15</b>
100	15	5	<b>20</b>
100+	15+	5+	<b>20+</b>

**The above is a suggested number of interviews supplied as a guide. These numbers are necessary to ensure that a representative sample of the organization's/company's work force is interviewed.**

**NOTE:** If the company hires contractors, you may also wish to interview one or two (using the "contractor interview questionnaire") to assist in determining if hazards are identified, communicate and controlled.

When conducting interviews, do not allow anyone to pre-select people. Use the questionnaire forms provided for: Workers; Management/Supervisor and Safety Committee Member/ Worker Safety Representative. Make sufficient copies of these forms to have one for each person to be interviewed. These questions can be posted prior to the audit in a highly visible workplace or site area. You should also stress that the answers given are strictly confidential.

Work through each question where an interview is required to verify/confirm the answer. Use a (v) for a positive response or an (X) for a negative response under the I (interview) technique column.

Note: Under this technique, the responses for worker, management and supervisor are added for each question.

In order to award a check mark (v) for a positive response, there must be more positive than negative responses to the questions being asked. If the responses are equal positive and negative, place an (v) in the I (interview) column. To avoid tie situation, try to conduct an odd number of interviews if possible.

**iv. Check for Accuracy**

If you followed the procedure, you have now been through the audit one time and at this point, you will probably have a few empty boxes where responses are required under **D** (documentation), **O** (observation) or **I** (interview).

For these questions, check with management to request specific documentation, or that you be shown where the answer can be found. Don't just accept management's word, but be flexible. If documentation is poor, but you are shown the evidence on site, you can accept the evidence. You should point out the poor records in your report but there is no need to penalize the safety program because of sloppy documentation (in most cases). You may also get inconsistent or inconclusive information from your interviews. In these cases, you will have to probe for the reasons around the confusion to determine what the correct answer should be.

After you have completed the accuracy check, you may be able to answer "yes" in a few more places. The answers to the remaining questions will then be "no". Now you can go back over the forms and put **X**'s in the remaining blank boxes to indicate confirmed "no" answers.

**v. Award Points**

Points on the Safety Program Audit are awarded as follows:

- Award full points for each check mark (v)
- For questions containing an **X**, refer to the element guidelines as some questions with a score weighting of 4 or greater may allow partial points
- In the elements with N/A in a box, be sure to minus those points from the Total Points Awarded and the Executive Summary Sheet to ensure accurate results
- When an "AND" is used under the verification technique column, this indicated the need to confirm the answer using **both** techniques. Refer to the element guidelines as some question with a score weighting of 4 or greater may allow partial points.

When an "OR" is used under the verification column, a positive response in **either** technique can be used to award points. Note: **Both** techniques must be filled in.

Shaded areas indicate that a particular technique does not apply to that question.

When each section has been completed, add up the points and write the total in the Points Awarded boxes. Transfer the Total Points Awarded in each element to the appropriate Executive Summary Sheet.



## STEP THREE – Summarizing and Reporting Results

Presenting results involves the following:

- Executive Summary Sheet
- Close-out Meeting
- Auditor Executive Summary Report
- Corrective Action Plan

### i. **Executive Summary Sheet**

The audit results must be presented to management. A summary of the critical information is presented on the Executive Summary Sheet. Complete the sheet as follows:

- Fill in the name of the company, auditor and date(s) of the audit
- For each of the 15 Elements, fill in the actual score awarded
- The minimum standard column lists the minimum score required for each element. Compare the Actual Score to the Minimum Standard for each element. If the Actual Score is equal or greater than the Minimum Standard, put a check mark (✓) in the “yes” box in the Standard Achieved column. If the Actual Score is less than the Minimum Standard, put a check mark (✓) in the “no” box in the Standard Achieved column. This will show management very clearly where standards are achieved and where the safety program must be improved to meet the standard
- After you have identified which elements meet the standard and which do not, you may wish to make some additional comments. These can be accommodated as follows: the last column on the Audit Summary Sheet and the Audit Executive Summary Report.

Remember when making your comments to mention the positive as well as the negatives. If the audit shows some excellent safety programming - say so. If the audit shows some critical problems – identify those as well.

### ii. **Close-out Meeting**

Immediately after the audit is completed, conduct an audit close out meeting. For many larger organizations, a pre-audit opening meeting is also held and the close-out meeting should have the same people in attendance.

At the close-out meeting, the audit results are presented and reviewed in their entirety, element by element. Credit should be given where due and areas of improvement should be identified for corrective action.

The agenda topics should include the following:

- An overview of the audit (no score shown yet)
- Identification of any immediate concerns that require corrective action(s)
- Emphasize successful elements of the program
- Allow for discussion of any concerns or observations
- Present the score
- Remind management of the obligation to develop/document a Corrective Action Plan based on the audit results. **Note: the audit is not considered complete if a Corrective Action Plan is not submitted with the audit.**
- Allow for questions and have the company’s senior representative insert the goals for the next audit and sign the Audit Summary Sheet on behalf of the company
- Advise that a written summary report will be prepared and provided

**iii. Auditor Executive Summary Report**

A written report is the last step in the audit process. It should contain only audit relevant information. It must not breach confidentiality, express personal biases or unsubstantiated opinions or provide individual names of workers or managers interviewed.

The Auditor's Report is the single most important part of the audit. This report should address the positives and negatives associated with the audit. The auditor's report should contain enough information to be useful to the company so it can develop a Corrective Action Plan based on the findings of the audit.

The following information should always be contained in the final audit report:

- An executive summary
- A comprehensive evaluation including what was found, what was positive, what was negative, what should be changed and what should be continued in each of the 15 elements
- Any critical program suggestions
- A summary scoring sheet (such as the Executive Summary Sheet discussed above)
- A graphic profile of the results. This is particularly valuable in second and subsequent audits to show the progress of the organization
- A copy of the scoring sheets
- Sample documentation, particularly for documentation which needs improvement
- Any other relevant documents that would help management understand the nature of a problem.

For example, the auditor's report should be written in paragraphs and include the following information:

- **In the first section**, state the purpose of conducting the audit in preparation for a MHCA® WORKSAFELY® External Audit for COR® Certification.
- **In the second section**, report the company's background information; include the type of activities being performed, number of field employees and whether or not the company was acting as a prime contractor or a contractor.
- **In the third section**, summarize the audit results, including the company's final score/percentage. You should comment on sections that scored "dangerously close" to the minimum standard in a particular section.
- **In the fourth section**, provide generalized information such as the areas where the company performed well. For example, "documentation indicated that it was completing project hazard assessments on all jobs identifying and controlling the hazards in an effective manner..."
- **In the fifth section**, identify the specific areas where improvement is needed and offer specific recommendations in sufficient detail to permit preparation of the Corrective Action Plan. For example, "interviews indicate that inspections do take place, but only the safety person is involved. It is recommended that inspections are conducted on a regular basis and include the site supervisor."
- In the last paragraph, thank the company for its time and effort and remind of the obligation to develop the Corrective Action Plan based upon the report and its recommendations.

**iv. Corrective Action Plan**

Documented corrective action plans demonstrate a level of "due diligence" provided the plan has been effectively implemented

**The employer is required to develop a written Corrective Action Plan after each audit.** The plan provides the employer with an opportunity to respond to the audit. A complete Corrective Action Plan will:

- Prioritize identified deficiencies and recommendations from the audit by assigning target completion dates
- Identify corrective action(s) required
- Assign responsibility
- Document senior management acceptance by the required “sign-off”
- Provide for follow up to ensure completion

Typically, the auditor will, in a timely manner following the close out meeting, provide the employer with the written Auditor’s Report.

It is based upon this report and its recommendations that the employer can then prepare the required Corrective Action Plan.

The Corrective Action Plan must be submitted by the employer in writing to the MHCA® WORKSAFELY®.

Submission by the employer to the MHCA® WORKSAFELY® of a written Corrective Action Plan is the final document required to complete a valid audit.

**Note: Audit Document Submission Checklist**

Prior to submitting the audit document to the MHCA® WORKSAFELY® for review, ensure the following have been included:

- A complete copy of the company’s Internal audit
- Supply photocopies of all required supporting sample documentation for each section on internal audit years (will be kept on file by MHCA® WORKSAFELY®)
- A copy of the company safety manual (upon request)
- An active jobsite list stating: the name and phone number of the contact person, type of work activity, type of specialized PPE required and the number of company personnel on site

**STEP FOUR - Summary and Conclusion**

The MHCA® WORKSAFELY® Safety Program Audit and the resulting Corrective Action Plan provide tangible benefits to the company and its employees including:

- A more accurate measurement of the safety and health management system
- Ability to make more informed decisions regarding future improvements to the safety program
- Prevent injuries and lower incident rates
- Ability to better manage WCB costs
- Stable workforce and higher productivity because of reduced loss time due to injuries
- Higher morale in the workforce
- Reducing operating costs
- Reduce property and production losses
- Reduce or eliminate the potential for legal penalties and shutdowns
- Ability to evaluate the cost/benefit of the safety program
- Due diligence benefits

The MHCA® WORKSAFELY® through its COR® Program is committed to assisting the heavy construction industry in achieving and exceeding the work safe responsibilities which not only oblige all of us legally, but morally as well.

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# AUDIT TOOL

## AUDIT INFORMATION SHEET

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

### COMPANY DATA

Legal name: \_\_\_\_\_ Province: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ Postal code: \_\_\_\_\_

Company contact: \_\_\_\_\_ # of workers: \_\_\_\_\_

### WCB INFORMATION

Phone: \_\_\_\_\_ E-mail address: \_\_\_\_\_

WCB Account number(s): \_\_\_\_\_ Industry rate code(s): \_\_\_\_\_

Nature/type of work done: \_\_\_\_\_

### AUDITOR(S) DATA

Name: \_\_\_\_\_ Registered auditor number: \_\_\_\_\_

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

Name: \_\_\_\_\_ Registered auditor number: \_\_\_\_\_

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

### WORKER SAFETY

REPRESENTATIVE/SAFETY Name: \_\_\_\_\_ Email: \_\_\_\_\_

### COMMITTEE MEMBER

Note: All sections of the above sheet must be completed

### MISSING SECTIONS

If any of the listed sections are missing from the safety and health program, both parties (organization/company and auditor) may want to consider postponing the audit at this stage until corrective action can be completed.

### POLICY STATEMENTS

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

### MANITOBA SUPPLEMENT

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

## SAFETY AND HEALTH PROGRAM VERIFICATION

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

Verification of Compulsory COR® Training	Participant and Completion Date	Verification of Compulsory SECOR® Training	Participant and Completion Date
COR® Leadership for Safety Excellence (LSE)		COR® Leadership for Safety Excellence (LSE)	
COR® Principles of Health & Safety Management (PHSM)		COR® Principles of Health & Safety Management (PHSM)	
COR® Auditor		COR® Auditor	

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<b>1.0</b>	<b>Guidelines - Safety and Health Policy</b>
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, worker safety representative/safety committee member, contractors, 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 PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
<b>1</b>	<b>Safety and Health Policy</b>		D	O	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:					
<b>1.1</b>	Includes management's commitment to provide a safe and healthy work environment?	<b>3</b>				
<b>1.2</b>	Expresses a commitment to work in a spirit of consultation and cooperation with the workers?	<b>3</b>				
<b>1.3</b>	Addresses accountability and responsibility for safety and health for workplace parties?	<b>4</b>		AND		
<b>1.4</b>	Is signed by current senior management and appropriately dated?	<b>2</b>				
<b>1.5</b>	Is prominently posted in the workplace and/or made readily available to all workplace parties?	<b>3</b>		OR		
<b>1.6</b>	Is communicated to workplace parties?	<b>3</b>				
COR® total points possible/awarded		<b>18</b>				
SECOR® total points possible/awarded		<b>15</b>				
<i>Highlighted questions are required for SECOR®. COR® requires <b>all</b> questions. The minimum standard is <b>50 per cent</b> of total possible points.</i>						

Comments:

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<b>2.0</b>	<b>Guidelines - Hazard Assessment, Analysis, and Control</b>
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"> <li>- Award two (2) points based on documentation of completed formal hazard assessments as per company policy/directive.</li> <li>- Award three (3) points based on observations that the formal hazard assessments accurately reflect the activities on site and are made readily available.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
2.2	Completed hazard assessments must clearly report/describe existing and potential hazards and the majority of interview responses must confirm workers review of the information on hazard assessments. Both documentation and interviews must be confirmed to award points.
2.3	Completed hazard assessments must show that risks are assessed/evaluated prior to work being performed. An example of an assessment/evaluation could include hazard ranking using frequency, severity or probability ranking.
2.4	<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"> <li>- Award three (3) points based on documentation of completed ongoing risk assessments from the same worksite location as applicable.</li> <li>- Award three (3) points based on the majority of positive interview responses.</li> </ul>
2.5	Documented hazard assessments must include consideration of design and layout of the work area, ergonomics, machinery or processes to award points for this section. The risk of musculoskeletal injury (MSI) and appropriate prevention control (safe work procedures, tailored work schedules, personal protective equipment, etc.) would be an example for awarding points.
2.6	<p>The names of the individuals involved in hazard assessments must be identified on the documentation. On-site workers, supervisors and any other individual involved must be involved in the hazard assessment process.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on verification of appropriate signatures on completed hazard assessments.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
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"> <li>- Award two (2) points based on verification of training for individuals identified on completed hazard assessments.</li> <li>- Award two (2) points based on the majority of positive interview responses of those responsible.</li> </ul>
2.8	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.
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 or personal protective equipment).</p> <p>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	Verify a critical task list has been completed (a list of tasks involving the potential for serious injury or death — for which related safe work 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.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
2	Hazard Assessment, Analysis and Control		D	O	I	
	<i>The organization shall establish, implement, monitor and maintain a documented policy statement, procedure(s) and/or guideline(s) for assessing, analyzing and controlling hazards that is appropriate to the nature of the hazards and level of risk.</i>					
2.1	Do written hazard assessments include all aspects of work being performed?	7				
2.2	Are hazard assessments conducted and written as required?	3		AND		
2.3	Are risks assessed/evaluated prior to work being performed?	3				
2.4	Are risks reassessed as processes change?	6		AND		
2.5	Is the design and layout of the work area, machinery and processes considered in the assessment of musculoskeletal injury (MSI) risk?	3		AND		
2.6	Are appropriate personnel involved in the hazard assessment process?	4		AND		
2.7	Are the personnel competent to participate in the hazard assessment process?	4		AND		
2.8	Are controls developed for identified hazards using the Hierarchy of Controls?	4				
2.9	Are individuals/roles assigned to implement the controls identified?	4	OR			
2.10	Is there a process/timeline for indicating when the control is implemented?	3				
2.11	Has a list of critical tasks or activities been created and/or included within the hazard assessments?	4	OR			
COR® total points possible/awarded		45				
SECOR® total points possible/awarded		41				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						

Comments:

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

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
3	Safe Work Practices		D	O	I	
	<i>Safe work practices are generalized do's and don'ts of how to carry out a task or use equipment. Practices inform the worker about the hazards that are present and provide direction on how to safeguard against the hazards. They are general guidelines (safety tips) only and do not need to follow any specific order.</i>					
3.1	Do the written safe work practices accurately reflect the employer's current work activities?	2	AND			
3.2	Are they understood by workers?	2				
3.3	Are they readily available?	2		AND		
3.4	Are safe work practices followed by employees?	4				
3.5	Have both management and workers participated in the development/review of these practices?	2		OR		
COR® total points possible/awarded		12				
SECOR® total points possible/awarded		10				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						

Comments:

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<b>4.0</b>	<b>Guidelines - Safe Work Procedures</b>
4.1	<p>Confirm through documentation and observation that written safe work procedures accurately reflect activities that the company performs. An index of safe work procedures must be submitted.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on verification that written safe work procedures accurately reflect activities the company performs.</li> <li>- 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 work procedure.</li> <li>- Award two (2) points based on observations that the written safe work procedures accurately reflect the company's worksite activities.</li> </ul>
4.2	<p>Employees must be able to give an example(s) of safe work 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 work procedures are at each worksite and readily available to employees. The majority of employee interview responses must confirm an understanding of where safe work 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 work procedure(s).</p>
4.5	<p>Review safety meeting minutes to verify safe work procedures have been a relevant topic of discussion and confirm both management and workers have participated.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on documentation that verifies both management and worker participation in the development or formal review/revision of safe work procedures.</li> <li>- Award two (2) points based on the majority of positive interview responses confirming workers have received instruction or training in safe work procedures.</li> </ul>

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
<b>4</b>	<b>Safe Work Procedures</b>		D	O	I	
	<i>Safe work procedures are written, step-by-step instructions for completing specific tasks 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 (spill containment, shut down, etc.).</i>					
<b>4.1</b>	Do the safe work procedures accurately reflect the employer's current work activities, including high risk or critical tasks?	<b>6</b>	AND			
<b>4.2</b>	Are they understood by workers?	<b>4</b>				
<b>4.3</b>	Are these procedures available and easily accessible to workers?	<b>3</b>		AND		
<b>4.4</b>	Are safe work procedures followed by employees?	<b>4</b>				
<b>4.5</b>	Have both management and workers participated in the development/review of these procedures?	<b>4</b>		AND		
COR® total points possible/awarded		<b>21</b>				
SECOR® total points possible/awarded		<b>17</b>				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						

Comments:

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<b>5.0</b>	<b>Guidelines - Company Safety Rules</b>
5.1	Documentation (policy, procedure, guidelines, etc.) must clearly outline responsibilities for setting, implementing, and complying with company rules.
5.2	<ul style="list-style-type: none"> <li>- Award two (2) points based on documentation that confirms both written company rules and project specific rules are available to workers on site.</li> <li>- 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.</li> </ul>
5.3	During worksite observations, verify the company rules have been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to workers, in the form of a handbook, safety and health manual or other accessible electronic format.
5.4	The majority of workers interviewed must be able to give examples of some of the company safety rules or project safety rules.
5.5	Documentation must clearly address non-conformance and progressive disciplinary action.
5.6	Verify through documentation that non-conformance is enforced consistently with all personnel. Points may also be awarded based upon the majority of interview responses confirming that rules are applied and enforced consistently with all personnel.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
5	<b>Company Safety Rules</b>		D	O	I	
	<i>The organization shall establish, implement, monitor and maintain a documented policy statement, procedure(s) and/or guideline(s) for company safety rules.</i>					
5.1	Does documentation clearly state responsibilities for setting, implementing and complying with company rules?	2				
5.2	Are both company and project specific rules available?	4		AND		
5.3	Are the rules written and prominently posted or provided to each employee?	2		OR		
5.4	Are company and project specific rules clearly explained and understood?	2				
5.5	Does the program address non-conformance and progressive disciplinary actions?	2				
5.6	Are all rules applied/enforced consistently with all personnel?	3		OR		
COR® total points possible/awarded		15				
SECOR® total points possible/awarded		15				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						

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6.0	<b>Guidelines - Personal Protective Equipment (PPE)</b>
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"> <li>- Award two (2) points based on documentation to verify the company has established criteria for the selection of protective equipment.</li> <li>- Award two (2) points based on the majority of positive interview responses confirming an understanding of the criteria used for selection of protective equipment.</li> </ul>
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 (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"> <li>- Award two (2) points based on completed worker orientations and/or training records confirming the review of PPE requirements.</li> <li>- Award two (2) points based on the majority of positive interview responses confirming an understanding of the company's requirements for PPE.</li> </ul>
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"> <li>- Award two (2) points based on the observation of appropriate PPE for specific activities is available.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
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 toolbox meeting, tailgate meeting, monthly safety meeting, etc., 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 manufacturer's specifications.</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on supplied documentation that verifies regular inspection and maintenance of PPE.</li> <li>- Award two (2) points based on the observation of PPE should be well maintained, in serviceable condition and meet regulatory standards.</li> </ul>

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
6	Personal Protective Equipment (PPE)		D	O	I	
	<i>The organization shall establish, implement, monitor and maintain a documented policy statement, procedure(s) and/or guideline(s) for personal protective equipment (PPE).</i>					
6.1	Are requirements for PPE documented and is there a system in place to select appropriate PPE?	4		AND		
6.2	Are there written rules and/or guidelines for the proper fitting, care and use of PPE?	2				
6.3	Are workers made aware of PPE requirements and provided instruction/training for the proper fitting, care and use of PPE?	4		AND		
6.4	Is appropriate PPE provided and/or made available to workers for specific activities when required?	4		AND		
6.5	Is appropriate PPE used by workers as required?	4				
6.6	Is there a system in place to regularly inspect and maintain PPE?	4	AND			
COR® total points possible/awarded		22				
SECOR® total points possible/awarded		16				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						

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<b>7.0</b>	<b>Guidelines - Preventative Maintenance Program</b>
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, manufacturer's specifications and/or legislated specifications that include all the items on the inventory as well as a system to enable the recording of pre-operational checklists for equipment (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 (service records, lockout/tagout tags, repair invoicing, etc.) - Award two (2) points based on documentation to verify corrective actions have been completed. - Award two (2) points based on observations confirming that documented corrective actions have been completed.
7.4	Documented records should indicate that equipment is being maintained by recognized service facilities. Training records or other documentation should support qualifications and prove competency of in-house maintenance personnel. Verify through interviews how the individuals that perform maintenance are competent to do that type of work.
7.5	The company must develop a written system to prevent defective tools and equipment from being used and provide instruction to employees with respect to the course of action to be followed. A lockout/tagout system is the most common. This question could also be verified through interviews.
7.6	Verify through observation that the company follows its system to prevent defective tools and equipment from being used.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
7	<b>Preventative Maintenance Program</b>		D	O	I	
	<i>The organization shall establish, implement, monitor and maintain a preventative maintenance program.</i>					
7.1	Is there an inventory of items to be maintained?	3				
7.2	Are preventative maintenance schedules and checklists used and completed as required?	4	AND			
7.3	Are records maintained that include a description of corrective actions taken?	4	AND			
7.4	Does a qualified/competent person perform the inspection and maintenance?	2		OR		
7.5	Does the preventative maintenance program include a system that effectively removes defective tools, equipment and vehicles from service?	2		OR		
7.6	Is the system in 7.5 followed?	2				
COR® total points possible/awarded		17				
SECOR® total points possible/awarded		9				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						

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8.0	Guidelines - Training and Communication
8.1	<p>The policy/procedure/guideline includes a method for selecting training of employees (legislative training requirements, manufacturers' training requirements, job specific and high-risk activities, identifying competencies for each task and/or role, identifying effectiveness of training, etc.).</p> <ul style="list-style-type: none"> <li>- Award two (2) points based on documentation.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
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"> <li>- Award two (2) points based on documentation.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
8.3	<p>Review training records to ensure supervisors or other individuals with safety and health responsibilities have received training in their legislative requirements. Documentation and interviews must both be verified in order to award points.</p> <p><i>NOTE for AHJs – typically required course names or legislation requirements would be listed in the guideline.</i></p>
8.4	<p>Review training records to ensure employees 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"> <li>- 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.</li> <li>- Award three (3) points based on training records confirming supervisors have been trained in tasks specific to their role (hazard identification, inspections, investigations, communications, etc.).</li> </ul> <p><i>NOTE for AHJs – typically required course names or legislation requirements would be listed in the guideline.</i></p>
8.5	<p>Mandatory training as specified by legislation, policy or project requirements (training identified in hazard assessments, fall protection plans, confined space permits, etc.) must be confirmed and/or provided prior to beginning work (WHMIS, TDG, first aid, H2S, etc.). This ensures that only people with proper training are performing the work.</p> <ul style="list-style-type: none"> <li>- Award three (3) points based on training records confirming.</li> <li>- Award three (3) points based on the majority of positive interview responses.</li> </ul>
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>

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
8	Training and Communication		D	O	I	
	<i>The organization shall establish, implement, monitor and maintain a documented policy statement, procedure(s) and/or guideline(s) for training and communication of safety and health information.</i>					
8.1	Is there a process for identifying appropriate safety and health training requirements?	4		AND		
8.2	Is there a process for the evaluation and monitoring of the competency and effectiveness of safety and health training of employees?	4		AND		
8.3	Have appropriate individuals been trained in legislated requirements?	2		AND		
8.4	Have appropriate individuals been trained in job specific and/or manufacturer requirements?	6				
8.5	Are mandatory training requirements verified or training provided before starting the task?	6		AND		
8.6	Does a competent/qualified person conduct training?	2				
COR® subtotal points possible/awarded		24				
SECOR® subtotal points possible/awarded		22				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						

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8.0	<b>Guidelines – Training and Communication (<i>continued</i>)</b>
8.7	Verify the company has a method to record and maintain training records. For example, hard copy, electronic copy or a training matrix used to record and maintain employee training ensuring job-specific, recertification and refresher training is taking place.
8.8	The company safety program must have a formal process for providing company and worksite orientations to employees and contractors. Verify through documentation (company or site-specific orientations, checklists, quizzes, etc.) and interview(s) that an orientation is provided to all workers. 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 (16-24 years old) as well as returning workers.
8.10	Minutes of safety and health committee meetings must indicate senior management’s regular attendance. Safety and health committee/worker safety representative meeting minutes must verify senior management’s participation/attendance in safety and health committee/worker safety representative meetings. Documentation and interviews must both be verified in order to award points. 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 does not consider toolbox meetings, tailgate meetings, monthly safety meetings, etc., but does include safety and health committee/worker safety representative meetings or yearly start-up meetings.
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, etc., but does not include safety and health committee/worker safety representative 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, etc., but does not include safety and health committee/worker safety representative meetings or yearly start-up meetings. Records or minutes must be on file that show regular company, toolbox meetings, tailgate meetings or monthly safety meetings, etc., are being held. - Award two (2) points based on documentation from multiple locations that meetings are held as per legislation or policy as applicable. - Award two (2) points based on the majority of positive interview responses.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
<b>8</b>	<b>Training and Communication (continued)</b>		<b>D</b>	<b>O</b>	<b>I</b>	
8.7	Are training records maintained?	4				
8.8	Is there a mandatory orientation program that is completed prior to starting work, if there is a change of location and/or operation?	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 committee/worker safety representative meetings?	4		AND		
8.11	Do workers attend/participate in safety and health meetings?	2				
8.12	Is there a process for worker input and communication of safety and health information?	2				
8.13	Are safety and health meetings held regularly and documented as per legislation, company or project requirements?	4		AND		
COR® total points possible/awarded from current page		22				
COR® total points possible/awarded from previous page		24				
COR® total points possible/awarded		46				
SECOR® total points possible/awarded from current page		6				
SECOR® total points possible/awarded from previous page		22				
SECOR® subtotal points possible/awarded		28				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						

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9.0	Guidelines - Inspections
9.1	Along with the actual equipment, process and site-specific areas identified, ensure that other areas (yards, offices, shop, storage facilities, etc.) are not being excluded from the inspection process.
9.2	A standardized form or checklist should be completed for all inspections. The 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 (forms, checklists, etc.) 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"> <li>- Award two (2) points based on the receipt of completed documentation verifying that deficiencies noted during an inspection are corrected in a timely manner.</li> <li>- Award two (2) points based on the majority of positive interview responses confirming that identified inspection deficiencies are corrected in a timely manner.</li> </ul>
9.4	A standardized form or checklist should be completed for pre-use inspections. The 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 inspection form or checklist will confirm if the corrective action has been completed as assigned. Determine whether corrections have been completed in a timely manner, paying particular attention to unsafe conditions with the potential to cause injury or serious property damage.
9.6	Are supervisors and other responsible individuals meeting the required frequency for inspections as outlined in the company policy statement, procedure(s) and/or guideline(s)? The frequency must be stated as monthly, weekly, daily, etc. The words, " <i>on a regular basis</i> ", are not acceptable. Consecutive records must be submitted to support the adherence to the identified frequency of inspections for all work locations that apply.
9.7	<p>Check inspection forms and/or checklists to verify that workers, worker 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"> <li>- Award three (3) points based on the supplied documentation that includes names of individuals at all levels within the company.</li> <li>- Award three (3) points based on the majority of positive interview responses.</li> </ul>
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, worker safety representatives, supervisors and senior management or through other accessible electronic format.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
9	Inspections		D	O	I	
	<i>The organization shall establish, implement, monitor and maintain a documented policy statement, procedure(s) and/or guideline(s) for workplace and pre-use inspections.</i>					
9.1	Are all areas inspected as required?	3				
9.2	Are specific forms or checklists used to identify deficiencies for workplace inspections?	3		OR		
9.3	Are corrective actions assigned to individuals and implemented as specified?	4		AND		
9.4	Are specific 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 designated individuals?	3				
9.7	Does the inspection process include participation of all levels within the company?	6		AND		
9.8	Are inspection reports posted and/or communicated to appropriate personnel?	4			OR	
COR® total points possible/awarded		30				
SECOR® total points possible/awarded		19				
<i>Highlighted questions are required for SECOR®. COR® requires <b>all</b> questions. The minimum standard is <b>50 per cent</b> of total possible points.</i>						

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<b>10.0</b>	<b>Guidelines - Incident Investigation and Reporting</b>
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"> <li>- Award three (3) points based on documentation.</li> <li>- Award three (3) points based on the majority of positive interview responses.</li> </ul>
10.2	<p>Verify investigation reports include that management, workers and workplace safety committee member/worker safety representative(s) 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"> <li>- Award two (2) points based on documentation confirming supervisor training.</li> <li>- Award two (2) points based on documentation confirming other appropriate individuals have received training.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
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"> <li>- Award two (2) points based on documentation verifying corrective actions are appropriate to prevent reoccurrence. They must be specific and measurable — “be careful,” “use caution” or other generic statements would not be acceptable.</li> <li>- Award two (2) points based on documentation verifying corrective actions have been implemented.</li> <li>- Award two (2) points based on the majority of positive interview responses.</li> </ul>
10.5	<p>Verify through documentation or interviews that investigation results and corrective actions are communicated to appropriate parties (toolbox talks, tailgate meetings, safety committee/worker safety representative 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.</p> <p>Both documentation and interviews must be confirmed to award points.</p>

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
<b>10</b>	<b>Investigations and Reporting</b>		D	O	I	
	<i>The organization shall establish, implement, monitor and maintain a documented policy statement, procedure(s) and/or guideline(s) for reporting and investigating incidents, including near misses.</i>					
<b>10.1</b>	Do all relevant workplace parties know their responsibilities and the reporting procedures?	6		AND		
<b>10.2</b>	Are appropriate personnel involved in investigations?	4				
<b>10.3</b>	Have appropriate individuals been trained in legislative and company-specific reporting requirements and investigation procedures?	6		AND		
<b>10.4</b>	Are recommendations for prevention/remedial action implemented as per legislation and/or company requirements?	6		AND		
<b>10.5</b>	Are investigation results and corrective/preventative actions communicated to appropriate parties?	4		OR		
<b>10.6</b>	Are the investigation reports completed according to company policy and procedures?	4		AND		
COR® total points possible/awarded		30				
SECOR® total points possible/awarded		20				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						

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

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
11	Emergency Preparedness		D	O	I	
	<i>The organization shall establish, implement, monitor and maintain a documented policy statement, procedure(s) and/or guideline(s) for emergency preparedness and response.</i>					
11.1	Are the emergency preparedness plans appropriate to work activities and legislative requirements?	6	AND			
11.2	Is emergency equipment readily available and well-marked?	2				
11.3	Is emergency equipment regularly inspected and maintained?	2	OR			
11.4	Are the required number of qualified first aid personnel on site?	2		OR		
11.5	Is an appropriate emergency communication system available?	2		AND		
11.6	Is there a means to transport an injured employee to a medical facility?	2		AND		
11.7	Are fire extinguishers readily available, marked and visible?	2				
11.8	Have employees received training in emergency procedures, roles and responsibilities?	2				
11.9	Do employees know their roles and responsibilities?	4				
11.10	Has the emergency response plan(s) been tested for deficiencies and corrective action taken?	2				
11.11	Has the emergency procedures and response plans been reviewed and revised as appropriate, at least annually?	2				
11.12	Is relevant information regarding the emergency response plans communicated to the appropriate parties?	2				
COR® total points possible/awarded		30				
SECOR® total points possible/awarded		20				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						

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<b>12.0</b>	<b>Guidelines - Statistics, Records, and Documentation</b>
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. <i>NOTE for AHJs – required legislation requirements would be listed in the guideline.</i>
12.3	Statistics must provide sufficient information to verify the company is following their system for analyzing safety and health performance, at minimum annually. They could include reports, meeting minutes or other records that confirm incidents, first aid records, safety activities and past performance are being reviewed to identify trends.
12.4	- Award one (1) point if leading performance measures are included in the safety and health performance measurement. - Award one (1) point if lagging performance measures are included in the safety and health performance measurement.
12.5	Documentation must confirm that first aid records are being recorded and retained for all injuries.
12.6	There must be an action plan developed to address deficiencies in the audit.
12.7	Documented evidence must show that an action plan was communicated. This question must also be verified through interviews. - Award two (2) points based on the receipt of documentation to verify implementation of the audit corrective action plan. - Award two (2) points based on the majority of positive interview responses confirming the audit action plan has been communicated.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
12	Statistics, Records and Documentation		D	O	I	
	<i>The organization shall establish implement, monitor and maintain a documented policy statement, procedure(s) and/or guideline(s) to effectively control documents and records, including regular measurement of safety and health performance.</i>					
12.1	Are approved and current versions of applicable documents made readily available?	4				
12.2	Are relevant safety and health records kept as per legislative requirements?	2				
12.3	Does the company analyze current safety and health performance with past performance to identify trends as per the required frequency?	4				
12.4	Are leading and lagging performance measured?	2				
12.5	Are adequate first aid treatment records kept?	2				
12.6	Was an action plan developed based on the most recent COR® audit?	4				
12.7	Are results and analyses communicated to relevant workplace parties?	4		AND		
COR® total points possible/awarded		22				
SECOR® total points possible/awarded		14				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						

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<b>13.0</b>	<b>Guidelines - Legislation</b>
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. Examples include the Highway Traffic Act, Transportation of Dangerous Goods Act, The Environment Act, etc.
13.3	The majority of interview responses must confirm that workers and management/supervisor personnel are aware of their legal rights and responsibilities.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
13	Legislation		D	O	I	
	<i>The organization shall establish, implement, monitor and maintain a documented policy statement, procedure(s) and/or guideline(s) to identify, comply and ensure all personnel have access to relevant legislation.</i>					
13.1	Are copies of relevant legislation posted and/or readily available at each workplace as required?	2		OR		
13.2	Does the management/supervisor regularly refer to relevant legislation during job planning?	4		OR		
13.3	All personnel trained and aware of their legislated rights and responsibilities?	4				
COR® total points possible/awarded		10				
SECOR® total points possible/awarded		10				
Highlighted questions are required for SECOR®. COR® requires <b>all</b> questions. The minimum standard is <b>50 per cent</b> of total possible points.						

Comments:

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14.0	Guidelines - Procurement and Contractor Management
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"> <li>- Award three (3) points based on the establishment of a criteria for the evaluation and selection of contractors or service providers (COR®, Contractor Compliance Declaration/Agreement, etc.).</li> <li>- Award three (3) points based on the establishment of a system to regularly monitor contractors or service providers (review/submission of safety meetings, safety inspection reports, orientations, verification of applicable worker training/certification, etc.).</li> </ul>
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 (COR® or other safety and health management system, such as a prime contractor’s process that clearly includes this ability, etc.). 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 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 must be aware of their legal obligations to share required information that may affect the safety and health of any other person. Information to be shared could include completed hazard assessments, inspections, site safety orientations, toolbox/safety/start-up meeting minutes, utility clearances, permits, SDS’, incident investigation reports, etc. Documentation of required information shared between the prime contractor and contractors can be either retained on file or 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 (completed hazard assessments, analysis and control). Points may also be awarded if the majority of interview responses are positive.</p>

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
<b>14</b>	<b>Procurement and Contractor Management</b>		<b>D</b>	<b>O</b>	<b>I</b>	
	<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>					
<b>14.1</b>	Does the company have criteria for the evaluation, selection and monitoring of contractors and service providers?	<b>6</b>				
<b>14.2</b>	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?	<b>4</b>		<b>OR</b>		
<b>14.3</b>	Has the criteria for the evaluation, selection and monitoring of contractors and service providers been followed?	<b>4</b>		<b>AND</b>		
<b>14.4</b>	Is there a system in place to coordinate safety and health requirements, roles and responsibilities when multiple contractors/employers are working under your control?	<b>4</b>	<b>OR</b>			
<b>14.5</b>	Does the company have criteria for the evaluation, selection and procurement of products that have the potential to create a hazard?	<b>2</b>				
<b>14.6</b>	Has the criteria for the selection, evaluation and procurement of products been followed?	<b>2</b>		<b>OR</b>		
COR® total points possible/awarded		<b>22</b>				
SECOR® total points possible/awarded		<b>8</b>				
<i>Highlighted questions are required for SECOR®. COR® requires <b>all</b> questions. The minimum standard is <b>50 per cent</b> of total possible points.</i>						

Comments:

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<b>15.0</b>	<b>Guidelines – Manitoba Supplement, Safety Committee/Worker Safety Representative</b>
15.1	Where there is more than one (1) of the company’s employees on a construction project site, one (1) worker must be appointed as the worker safety representative. Legislation requires the name(s) of the safety representative to be conspicuously posted. Interviews must confirm that workers are informed of the person who has been appointed.
15.2	Verify through documentation, if safety committee members/worker safety representative(s) are involved in hazard identification as identified in the committee rules of procedure, as applicable. Signatures on corrective action plans, right to refuse investigations, hazard assessments, inspection and investigation reports will assist in awarding points for this question. This question must be confirmed by a majority of safety committee members/worker safety representative(s) description of their involvement in safety program activities.
15.3	Safety committee members/worker safety representative(s) are required to receive training specific to their duties as outlined in the Workplace Safety and Health (WSH) Act & Regulation, as well as training on how to effectively carry out their duties. Safety committee members/worker safety representative(s) must be able to communicate an understanding of their legal duties and responsibilities. - Award two (2) points based on documentation that verifies safety committee members and/or worker safety representatives have received adequate training. - Award two (2) points based on a majority of positive interview response.
15.4	Previous safety committee or worker safety representative meeting minutes can be reviewed to verify safety committee members/worker safety representative(s) have been involved in reviewing and making recommendations for worker concerns, PPE, safety equipment, training programs, policies, etc., for the purpose of verifying effectiveness and improvement.
15.5	Verify through observation that safety and health committee/worker safety representative meeting minutes are posted or made readily available to workers on site.
<b>Guidelines - Manitoba Supplement, Regulatory Compliance and Safety Program Directives</b>	
15.6	WSH legislation includes a duty to share required information and to have safety and health committee/worker safety representative minutes posted. To meet legislative requirements, safety program directives and to award points, each project must have a bulletin board that functions as a key means of communication with all workers.
15.7	The prime contractor or employer, must ensure that a construction project site sign is located in a prominent location with the required information as outlined in WSH Regulation Part 2.18 and the current physical jobsite address.
15.8	A hearing conservation program should be developed for each company based on employee exposure. The program should be written and communicated to employees. It should include elements with respect to site sound monitoring, audiometric testing, hearing protection and training for employees. - Award one (1) point based on the creation of a hearing conservation company directive/policy. - Award two (2) points based on documentation in support of biennial audiometric testing for employees. - Award two (2) points based on documentation in support of worksite sound monitoring.
15.9	The employer is required to provide hearing protection to employees in accordance with legislation. The auditor should ensure that all types of hearing protection in use is being worn correctly and is adequately maintained.
15.10	The company safety program should contain a policy/directive and procedure with respect to working alone or in isolation.
15.11	If employees are observed to be working alone, ask to see a copy of their written procedure and a communication device. During interviews, a majority of positive responses could also be used to demonstrate an understanding of the company’s working alone or in isolation procedure.

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
15	<b>Manitoba Supplement, Safety Committee/Worker Safety Representative</b>		D	O	I	
	<i>The organization shall establish, implement, monitor and maintain a documented policy statement, procedure(s) and/or guideline(s) for meeting the legislative requirements outlined in the Workplace Safety and Health (WSH) Act and Regulation.</i>					
15.1	Is there a designated worker safety representative at each jobsite?	4		AND		
15.2	Are safety committee members/worker safety representative(s) actively involved in the identification, communication and control of safety concerns?	3		AND		
15.3	Have safety committee members/worker safety representative(s) received any training in how to carryout their duties and responsibilities?	4		AND		
15.4	Are safety committee members/worker safety representative(s) involved in the continuous improvement of the safety program?	2		OR		
15.5	Are meeting minutes posted or made readily available for all employees to read?	2		OR		
	<b>Manitoba Supplement, Regulatory Compliance and Safety Program Directives</b>		D	O	I	
15.6	Does the company have a bulletin board in a prominent place, which is readily accessible to workers?	3				
15.7	Does the company have a project sign prominently posted?	3				
15.8	Does the company have a hearing conservation program?	5				
15.9	Is hearing protection, including instructions on proper use and limitations, made readily available to employees?	2		OR		
15.10	Is there a written policy/directive and procedure for workers working alone and/or in isolation?	2				
15.11	Is it adhered to?	3		OR		
COR® subtotal points possible/awarded		33				
SECOR® subtotal points possible/awarded		31				
<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>						



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

SAFETY AND HEALTH PROGRAM VERIFICATION		Score Weighting	Technique Employed			Points Awarded
15	<b>Manitoba Supplement, Regulatory Compliance and Safety Program Directives (continued)</b>		D	O	I	
15.12	Have employees who work directly with, or in the proximity of, controlled products received training in WHMIS?	2				
15.13	Can employees communicate an understanding of WHMIS?	2				
15.14	Are controlled products properly labelled?	2				
15.15	Are SDSs current and made readily available at each worksite?	2				
15.16	Are workers competent to operate equipment?	4		AND		
15.17	Are workers provided instruction and training to identify and control the risk of musculoskeletal injuries (MSI)?	2				
15.18	Does the employer have a written policy with respect to the prevention of harassment in the workplace?	2				
15.19	Is the policy prominently posted at the workplace?	2				
15.20	Does the employer have a written policy with respect to the prevention of violence in the workplace?	2				
15.21	Is the policy prominently posted at the workplace?	2				
15.22	Has a review and revision been made to the safety and health program?	2				
15.23	Is jobsite and work area housekeeping adequate?	3				
	COR® total points possible/awarded from current page	27				
	COR® total points possible/awarded from previous page	33				
	COR® total points possible/awarded	60				
	SECOR® total points possible/awarded from current page	27				
	SECOR® total points possible/awarded from previous page	31				
	SECOR® subtotal points possible/awarded	58				
	<i>Highlighted questions are required for SECOR®. COR® requires all questions. The minimum standard is 50 per cent of total possible points.</i>					

# AUDIT INTERVIEW QUESTIONS

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## Management/Supervisor Interview Questionnaire

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

**Page 2 - Management/Supervisor Interview Questionnaire**

Reference #	Questions	Positive	Negative
8.2	What is your company's method for evaluating and monitoring the competency and effectiveness regarding the safety and health training provided to employees?		
8.3	What training have you received in your legislated requirements?		
8.5	How do you verify mandatory training requirements for employees are completed prior to starting work?		
8.6	How do you verify the training provided is conducted by a qualified/competent person?		
8.8	What types of orientation are provided and when?		
8.10	When did you last attend a safety and health meeting? How often do you actively participate in them?		
8.13	How does your company ensure safety and health meetings are scheduled to meet legislation, company or project requirements?		
9.2	What specific 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 form or checklist is used for pre-use inspections?		
9.7	What is your role in the formal or informal inspection process?		
9.8	How are the inspection reports posted and/or communicated to you?		
10.1	What is the process for reporting an incident? What are your responsibilities?		
10.3	What training have you received to conduct investigations? Did that training include both legislative and company-specific reporting and investigation procedures?		
10.4	Once an incident investigation has been completed, how are corrective actions implemented and followed up for effectiveness?		
10.6	Following an incident, are the investigation reports completed as per company policy/ procedure that includes incidents, near misses and investigation reports? Can you give an example?		

Page 3 – Management/Supervisor Interview Questionnaire

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

## Worker Interview Questionnaire

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



**Page 2 - Worker Interview Questionnaire**

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

**Page 3 - Worker Interview Questionnaire**

Reference #	Questions	Positive	Negative
13.3	What are your legislated rights? Do you know how to exercise those rights?		
15.1	Who is your worker safety representative on this site?		
15.2	Who is involved in hazard identification, communication and control on your worksite(s)?		
15.5	How are you made aware of safety meeting minutes for this site? Where can you find a copy of the minutes?		
15.9	Have you received hearing protection training?		
15.11	What is the procedure for working alone or in isolation? Is it followed?		
15.13	Give an example of a controlled product used on this site and the procedures required for safe use.		

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## Worker Safety Representative/Safety Committee Member Interview Questionnaire

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

**Page 2 - Worker Safety Representative/Safety Committee Member Interview Questionnaire**

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

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### Contractor Interview Questionnaire

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

# **AUDIT OBSERVATION CHECKLIST**

# Observation Checklist

Company: \_\_\_\_\_ Worksite Location: \_\_\_\_\_

Date: \_\_\_\_\_ # of employees on site: \_\_\_\_\_ # of contractors on site: \_\_\_\_\_

Reference #	Observation Requirement		Comments
<b>Safety and Health Policy</b>			
1.5	Is the safety and health policy posted?		
<b>Hazard Assessment, Analysis and Control</b>			
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?		
<b>Safe Work Practices</b>			
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?		
<b>Safe Work Procedures</b>			
4.1	Do safe work procedures reflect the company's activities, including high risk and critical tasks?		
4.3	Are written safe work procedures readily available for the work being performed?		
4.4	Are employees following safe work procedures?		
<b>Company Safety Rules</b>			
5.3	Are company rules prominently posted?		
<b>Personal Protective Equipment</b>			
6.4	Do personnel have access to specialized PPE for specific activities?		
6.5	Is the correct PPE used by personnel when required?		
6.6	Is PPE well maintained and in good condition and does it meet regulatory requirements?		
<b>Preventative Maintenance Program</b>			
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?		

Reference #	Observation Requirement		Comments
<b>Inspections</b>			
9.8	Are inspection reports posted?		
<b>Emergency Preparedness</b>			
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?		
<b>Statistics, Records and Documentation</b>			
12.1	Are current versions of applicable documents available at the point of use?		
<b>Legislation</b>			
13.1	Are copies of relevant legislation posted or readily available?		
<b>Procurement and Contractor Management</b>			
14.4	Is safety information shared between the prime contractor and contractors?		
<b>Manitoba Supplement</b>			
15.1	Is the name of the worker safety representative for the company posted?		
15.5	Are safety meeting minutes posted?		
15.6	Is there bulletin board in a prominent place, which is readily accessible to workers?		
15.7	Is there a site sign that displays required information?		
15.9	Is appropriate hearing protection made readily available?		
15.14	Are controlled products properly labelled?		
15.15	Are SDS' current and readily available?		
15.19	Is the harassment policy prominently posted?		
15.21	Is the violence policy prominently posted?		
15.23	Are housekeeping techniques appropriate?		



# COR<sup>®</sup> Audit Executive Summary Sheet

Company: \_\_\_\_\_ Audit completion date: \_\_\_\_\_

Name of auditor: \_\_\_\_\_ Previous score: \_\_\_\_\_ %

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

The minimum standard is **80 percent overall and 50 percent in each section.**

$$\frac{\text{Actual Score}}{\text{Potential Score}} = \frac{\quad}{400} \times 100 = \quad \%$$

Standard Achieved: Yes  No

Goal for next audit: \_\_\_\_\_

Reviewed: \_\_\_\_\_  
Senior Management/Company Officer Signature

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

Reviewed: \_\_\_\_\_  
Auditor Signature

# SECOR® Audit Executive Summary Sheet

Company: \_\_\_\_\_ Audit completion date: \_\_\_\_\_

Name of auditor: \_\_\_\_\_ Previous score: \_\_\_\_\_ %

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

The minimum standard is **80 percent overall** and **50 percent in each section**.

$$\frac{\text{Actual Score}}{\text{Potential Score}} = \frac{\quad}{300} \times 100 = \quad \%$$

Standard Achieved: Yes  No

Goal for next audit: \_\_\_\_\_

Reviewed: \_\_\_\_\_

Senior Management/Company Officer Signature

Reviewed: \_\_\_\_\_

Worker Safety Rep./Safety Committee Co-Chair Signature

Reviewed: \_\_\_\_\_

Auditor Signature

# Auditor Executive Summary Report

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

Number of worksites visited: \_\_\_\_\_

Number of management/supervisor interviews: \_\_\_\_\_

Number of employee interviews: \_\_\_\_\_

Number of worker safety representative/safety committee member interviews: \_\_\_\_\_

Number of sub-contractors interviewed (where applicable): \_\_\_\_\_

Other notes/comments:

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Auditor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_

# 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. MHCA® WORKSAFELY® 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) or not applicable (N/A).
- Where questions were deemed to be not applicable (N/A), ensure that the possible audit score for the section is adjusted accordingly and that change is carried forward to the summary page.
- One-word answers do not convey adequate information. Ensure comments provide insight into points awarded.
- Auditor Executive Summary must include comments on strengths and list at least a minimum of three recommendations for improvement. The correct criteria for the Executive Summary is outlined in the audit document.
- Ensure that the senior company designate, a worker safety rep./safety committee co-chair and auditor have signed off on the audit document.
- Ensure the correct number of interviews were completed. There is a chart at the beginning of the Audit Document.
- Ensure that the safety culture assessment is completed.
- Ensure that a representative number of worksites were visited. In most cases, this will entail at least one third of the active worksites in addition to the office/shop yard.

Auditor Signature: \_\_\_\_\_

Date: \_\_\_\_\_

# Audit Close-Out Meeting

Date: \_\_\_\_\_

Attendance:

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Thank you for your time and patience during this audit. All audit information was verified through D (documentation), O (observation) & I (interviewing).

Number of employees interviewed (managers/supervisors/workers): \_\_\_\_\_

Positive areas:

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Recommendations:

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\_\_\_\_\_  
Senior Management/Company Officer Signature

\_\_\_\_\_  
Auditor Signature

\_\_\_\_\_  
Worker Safety Rep./Safety Committee Co-Chair Signature

# Audit Corrective Action Plan

Date reviewed: \_\_\_\_\_

Audit Reference #	Recommendation	Assigned to	Target Completion Date	Date Completed

Senior Management/Company Officer Signature

Auditor Signature

Worker Safety Rep./Safety Committee Co-Chair Signature

# **SAFETY CULTURE ASSESSMENT**

MHCAWorksafely.ca

## Guidelines – Safety Culture Assessment

MHCA® WORKSAFELY® has included the safety culture assessment as part of the COR®/SECOR® Certification program in order to be in compliance with the requirements set by SAFE Work Manitoba. The safety culture assessment is not a determining factor in Certification — its purpose is to assist companies in tracking safety culture, to use the results to identify contributing factors for safety performance.

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



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

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

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

*The safety culture assessment continues on the following page*

## Guidelines – Safety Culture Assessment (Continued)

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

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

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

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

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

DRAFT