National COR® Accreditation Standard
Harmonized Audit Instrument

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Introduction

The Certificate of Recognition program (COR®) is an occupational safety and health accreditation program that verifies a fully implemented safety and health management system which meets national standards. The objectives of COR® are to provide industry employers with effective tools to develop, implement, assess, and promote continual improvement of their safety and health management system to prevent or mitigate incidents and injuries as well as their associated human and financial costs. COR® is now frequently used as a pre-qualification and/or condition of contract by public and private project owners across Canada.

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

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

Disclaimer

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

The NSNY does not guarantee the accuracy of, nor assume liability for, the information presented in this evaluation package. Individual counselling and advice are available from NSNY, contact our COR® Department: cor@yukonsafety.com

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

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Classifications

There are two (2) audit classifications in the NSNY audit process. They are:

- *Small Employer Certificate of Recognition (SECOR®) (9 or less persons)*
- *Certificate of Recognition (COR®) (10+ persons)*

Classification numbers consider all employees, including the owner and any administrative support. All sections of the audit are applicable to each classification

The NSNY COR® Audit Cycle

Year	Cycle - Audit	
1	1-1	**External audit**- all classifications must participate in an External Audit. Audit must be conducted by a NSNY Endorsed External Auditor.
2	1-2	**Internal audit**- all COR® certified companies must complete an Internal Audit and submit to NSNY for review, referred to as a maintenance audit to maintain the Certificate of Recognition.
3	1-3	**Internal audit**- all COR® certified companies must complete an Internal Audit and submit to NSNY for review, referred to as the maintenance audit to maintain the Certificate of Recognition.
4 (New cycle)	2-1	The cycle starts back at Year 1, with an External Audit

COR® Training Requirements

- Principles of Health & Safety Management
- Leadership for Safety Excellence (*at least 50% of full-time Yukon site supervisors must complete this course)
- WHMIS Train-the-Trainer <u>OR</u> Basic Instructional Techniques
- Safety (Internal) Auditor Training
- Return to Work for Small/Large Business & Basics of Workers' Compensation

*NSNY requires the auditor or person primarily responsible for maintenance of your safety and health program obtain the above training courses. All training must be held by a full-time Yukon site employee.

The NSNY SECOR® Audit Cycle

Year	Cycle - Audit	
1	1-1	**External audit**- all classifications must participate in an External Audit. Audit must be conducted by a NSNY Endorsed External Auditor.
2	1-2	**Documentation submission**- all SECOR® companies must submit an annual documentation review to the NSNY for review and approval to maintain the Small Employer Certificate of Recognition.
3	1-3	**Documentation submission**- all SECOR® companies must submit an annual documentation review to the NSNY for review and approval to maintain the Small Employer Certificate of Recognition.
4 (New cycle)	2-1	The cycle starts back at Year 1, with an External Audit

SECOR® Training Requirements

- Principles of Health & Safety Management
- Leadership for Safety Excellence (*at least 50% of full-time Yukon site supervisors must complete this course)
- Return to Work for Small Business & Basics of Workers' Compensation

*NSNY requires the auditor or person primarily responsible for maintenance of your safety and health program obtain the above training courses. All training must be held by a full-time Yukon site employee.

Instructions for Completing the Health and Safety Audit Document

Before you begin the health and safety audit process, please read over these pages carefully.

For further information and more detailed guidelines, please refer to the NSNY Quality Assurance Program for Health and Safety Audits and the Auditor Training Program manual, or contact the NSNY for clarification at (867)-633-6673 or by e-mail to: info@yukonsafety.com.

General Guidelines
The NSNY has prepared this Health and Safety Audit Document to assist Yukon businesses in measuring the effectiveness of their health and safety management systems. This document is designed to be used by company internal auditors, NSNY endorsed external auditors or other individuals trained in its use.

Auditors must always look for and encourage continuous improvement so that Employers can use this information improve their Safety Management Systems.

Audits must be completed within 45 days (start date to last day on-site) and it is the responsibility of the company to ensure that the completed audit document is forwarded electronically to the NSNY within 45 days of the last day of the audit and before the company's audit due date.

Failure to complete the audit document as directed may result in the audit being returned for revisions and/or clarification.

Auditor Standards for Comments
Use of non-applicable (N/A's) are a rare occurrence within the audit document and auditors are to answer the question asked to the best of their abilities. If a N/A score occurs, then the auditor is required to explain why the question is non-applicable to the company in the auditor comment section.

Audits are a management tool used to improve safety management systems. Audits measure system performance and provide a basis for future management strategies. It is important for the auditor to be objective at all times and provide constructive feedback on their findings; otherwise, the audit process is of little use.

Scoring the Audit Questions

There are three verification techniques used when scoring the audit questions- **D**ocument, **O**bservation, and **I**nterview. These verification techniques are listed at the top of the scoring table in each section as ***Verification Method*** in the audit document.

D	**=**	**Documentation**
O	**=**	**Observation**
I	**=**	**Interviews**

Documentation: can be verified through review of company safety manual or support material. Other sources may be files, charts, or logs. Where a scoring block is shaded, the question does not apply.

Observation: is a walk around or tour of the jobsite or work facilities. It is the visualization of compliance with procedures, rules, policies, etc. Determine if all critical work activities are considered in the Critical Task Inventory. Complete the Observation Checklist on pages 13-14.

Interview: The audit interview questions start on page 17 and must be completed for each section of the audit. There are questions for workers *and* management, please complete all interview sections. When conducting interviews, stress that the answers received are strictly confidential. Ultimately, you only want to determine a positive or a negative response.

First, look at the scoring table for each section. Read each audit question validating answers through your business's health and safety manual. All questions rely on a positive or negative response. When answering questions use a **"Y" or "yes"** for a positive response or an **"N" or "no"** for negative response.

There are 2 methods for scoring.

- Questions with "**AND**" require that ALL methods be scored positive to receive full points. ***Do not award partial points***.

- Questions using "**OR**" can be awarded points based on one or both portions being positive. ***Do not award partial points.***

N/A for SECOR® Questions: Questions highlighted in green are not applicable (n/a) for SECOR® companies and do not need to be scored.

NSNY Certificate of Recognition (COR®/SECOR®) Audit Information Sheet

Company Data

Legal Name:	
Operating Name:	
Address:	
Telephone:	
Email:	

Current # of Employees:	Maximum # of Employees (at peak periods):	Classification: *(Check one)*		SECOR ® Small Employer COR® (9 or less employees)
				COR® (10+ employees)

WSCB Account #:	Brief Company Description:	
Industry Code(s):		

Auditor Information

Auditor name:		Company Name:	
Certificate number:		Contact Info:	

	Safety & Health Program Verification Checklist		

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 Job Procedures		
5. Company Safety Rules		
6. Personal Protective Equipment (PPE)		
7. Preventative Maintenance Program		
8. Training and Communication		
9. Inspections		
10. Investigations and Reporting		
11. Emergency Preparedness		
12. Statistics, Records and Document Control		
13. Legislation		
14. Procurement and Contractor Management		
15. Yukon Supplement (Health & Safety Committee/Safety Rep, Return to Work, Workplace Violence & Harassment Prevention)		

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

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.

Yukon Supplement: This is required to achieve COR® / SECOR® Certification in the Yukon.

Pre-Audit Meeting

The audit begins at the pre-audit meeting with the senior manager and/or designated employees. The auditor must complete the following (check off each item as it is discussed):

Pre-Audit Meeting Agenda
- Purpose and scope of audit
- Schedule of events (D.O.I)
- Auditor Code of Ethics
- Minimum scores for the audit
- Identification of the person designated as site escort and key contact
- Schedule/Conduct familiarization tour prior to audit
- Confirmation of location of the active work site(s)
- Confirmation of the site(s) to be toured and the number of managers/supervisors and workers to be interviewed at each site, as determined by the auditor and/or the NSNY
- Request information from company on any Workplace Health & Safety orders and penalties Previous External and Internal Audits documents and action plan
- How to handle non-conformance issues
- Schedule for the Close-out meeting
- Any questions or concerns

Meeting Information - Meeting Date:_____			
Name of Key Contact		In Attendance:	
Anticipated Start Date:		Anticipated End Date (audit close-out meeting date):	
Notes:			

Assessment of Active Worksites

A list of active worksites will provide an up-to-date summary of the company at the time of the audit.

A representative sample of the WSCB industry code(s) applicable to the operations of the organization/ company should be included in the audit. For example, if there are two industry codes, the audit process should include a representative sample of **each** industry code. If one industry is not included, the audit would only be valid for the industry code audited.

Auditors must fill-in the following information in the Assessment of Active Worksites form provided (found on the following page):

- all worksites that are active at the time of audit
- the number of site personnel that were on each site;
- start date and end date of the work activities (if applicable)
- indicate by the means of a checkmark (✓) which worksites were visited by the auditor;
- specify how many interviews were conducted and from which category (workers and managers/supervisors).

Note: at least 1/3 of all active worksites must be audited including the administrative office/shop and the largest grossing revenue worksite.

Assessment of Active Work Site(s)

Site Location(s)	Description of work Activity:	Industry Code/Description	Visited ✓	Number of Site Personnel		Number Interviewed	
				Managers/ Supervisors	Workers	Managers/ Supervisors	Workers
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

*If there are more sites than the page has allowed for, please attached a listing of additional sites.

Total # of Sites:	
Total # of Sites Visited:	
Total # of Site Personnel:	
Total # Site Personnel Interviewed:	

Observational Tour

The purpose of the work site(s) observational tour is to confirm the information gathered during documentation review and obtain additional information to confirm during interviews.

During the observational tour the auditor will: observe that company employees meet or exceed the requirements of the health and safety management system, are abiding by Workplace Health & Safety regulations, and note general site conditions on the observation checklist.

Remember: An observational tour is not a detailed inspection.

Using the Observation (O) Checklist provided on the following page, work through each question to guide the observations on the sites.

Use √ for a positive response, ✗ for a negative response or an N/A to indicate a non-applicable response.

Audit Observation Checklist

*Questions highlighted in GREEN are n/a for SECOR® Companies

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

You will need to manually enter the Observation results into the 'O' column within each element in the document.

Question #	Question	Yes	No	Comments *(required for negatively scored questions. Optional for positive)*
Inspections				
9.8	Are inspection reports posted?			
Emergency Preparedness				
11.1	Are the site emergency plans posted and appropriate to the work activities?			
11.2	Is emergency equipment readily available, marked and visible?			
11.3	Is the emergency equipment in use regularly inspected and maintained?			
11.4	Are the required number of qualified first aid personnel on site?			
11.5	Is there an appropriate communication system available?			
11.6	Is there a means to transport an injured person to a medical facility?			
11.7	Are fire extinguishers readily available?			
Statistics, Records and Documentation				
12.1	Are current versions of applicable documents available at the point of use?			
Legislation				
13.1	Are copies of relevant legislation posted or readily available?			
Procurement and Contractor Management				
14.4	Is safety information shared between the prime/general contractor and contractors?			
Provincial / Territorial Supplement				
15.3	Are committee minutes/safety rep records posted or made readily available for employees to read? **(N/A for SECOR®)**			
15.13	Is the RTW policy posted or made available and signed by current senior management?			
15.14	Are the roles and responsibilities readily available for employees?			

Notes:

Interviews

The auditor must constantly strive to collect data that is representative of actual conditions and it is essential to get a good cross section of **all** company personnel when conducting interviews.

Interviews are to include senior management/owner, management, supervisors, office personnel, workers, and contract personnel, where applicable. Refer to the *NSNY Auditor Training Program* manual for proper interviewing techniques.

For companies that contract out all or some of their labour, subcontractors, temporary workers and volunteers must be included in the interview process in order to achieve a representative sample of those on a work site. The worker interview questions can be used for these personnel.

Verbal group interviews are not an accepted auditing practice.

Use the interview question sheets provided for managers/supervisors and workers to record the participant answers during the interviews. Ensure that it is highlighted prior to each interview that the answers given by the participants will be kept strictly confidential. <u>Careful time management is essential during the interviews</u>. Work through each question where the interview is required to verify or confirm that answer.

The auditor's role is to use their knowledge and expertise in gauging the interviewee's level of understanding of the questions that are asked.

Interview questions can be rephrased so that the interviewee is confirming their knowledge of the health and safety management system. It is essential for Yes/No responses to be elaborated on to ensure interviewees have an understanding.

In order to award √ for a positive response, there must be more positive than negative responses to the questions being asked. If there are an equal number of positive and negative responses, a positive will be automatically awarded.

Refer to the minimum number of interviews required chart on the following page or contact the NSNY COR® Coordinator's office for exact numbers.

Minimum Number of Interviews

No. of Employees			No. of Employees	Number of Interviews
6 or less	all		70	20
7	6		80	21
10	8		90	22
20	12		100	23
30	15		150	25
40	17		300	38
50	19		500	60
60	19			

Exception: It is always better to conduct more interviews, rather than less than the required standard, however, an auditor may choose to conduct less interviews than the minimum number required. If an auditor is choosing to conduct less interviews, that auditor must obtain approval from the NSNY prior to the audit completion. If they receive approval, the auditor must justify the reason(s) for which this decision was based in the executive summary report.

Please note: during the audit review process, if an unapproved deviation from the standard minimum number of interviews conducted is found, the auditor will be instructed to complete the required minimum number of interviews prior to the audit's acceptance.

Audit Interview Questionnaires

Interview Questionnaire – Worker, Management/ Supervisor

107 Total Interview Audit Questions: Worker (52) & Management (54)

*Questions highlighted in GREEN are n/a for SECOR® Companies

*You will need to manually carry over the Interview results into the 'I' column within each element in the document.

Safety and Health Policy				
Worker		✔	X	**Comments** (required for negatively scored questions. Optional for positive)
1.3	What are your safety and health responsibilities? How are you held accountable for them?			
1.5	Where would you find a copy of the safety and health policy?			
1.6	In your own words, what does the safety and health policy say?			
Management		✔	X	**Comments** (required for negatively scored questions. Optional for positive)
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?			

Hazard Assessment, Analysis & Control					
Worker		✔	X	**Comments (required for negatively scored questions. Optional for positive)**
2.1	Describe the process your company uses to conduct formal hazard assessments. What type of tasks are included in the formal hazard assessment process?			
2.2	How are completed formal hazards assessments reviewed with you?			
2.4	How are hazards reassessed as the job progresses or changes occur?			
2.6	How are you involved in the hazard assessment process?			
2.7	How have you been trained to identify and control hazards?			
2.10	Who is responsible for implementation of controls?			
Management		✔	X	**Comments (required for negatively scored questions. Optional for positive)**
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?			

Safe Work Practices

Worker		✔	X	Comments **(required for negatively scored questions. Optional for positive)**
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? **(N/A for SECOR®)**			
Management		✔	X	Comments **(required for negatively scored questions. Optional for positive)**
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? **(N/A for SECOR®)**			

Safe Job Procedures

Worker		✔	X	Comments **(required for negatively scored questions. Optional for positive)**
4.2	Describe the step-by-step process of a safe job procedure for a critical task that is applicable to your work.			
4.3	How do you have access to safe job procedures when on site?			
4.5	Can you give me an example of how a safe job procedure has been reviewed or discussed? **(N/A for SECOR®)**			
Management		✔	X	Comments **(required for negatively scored questions. Optional for positive)**
4.3	How do your employees have access to safe job procedures when on site(s)?			
4.5	What is your formal process to development or review safe job procedures? **(N/A for SECOR®)**			

Company Safety Rules				
Worker		✔	X	**Comments** (required for negatively scored questions. Optional for positive)
5.2	Where can you find both company and project (work location) specific rules?			
5.3	How are company safety rules provided or made available to you?			
5.4	Can you give me an example of few company and/or site-specific rules that you need to follow?			
5.6	How are the company rules enforced?			
Management		✔	X	**Comments** (required for negatively scored questions. Optional for positive)
5.3	How are company safety rules provided to your employees?			
5.6	Explain the disciplinary process that is used when all personnel are not following company rules?			

Personal Protective Equipment (PPE)				
Worker		✔	X	**Comments** (required for negatively scored questions. Optional for positive)
6.1	How do you know what PPE is required to perform a specific task?			
6.3	What type of training did you receive to understand the proper fitting, care and use of your PPE?			
6.4	How do you have access to appropriate PPE when needed?			
Management		✔	X	**Comments** (required for negatively scored questions. Optional for positive)
6.1	What criteria is used to select appropriate PPE for company specific tasks?			
6.3	What type of training is provided to your employees to help them understand the proper fitting, care and use of PPE?			
6.4	How do your employees have access to appropriate PPE when needed?			

Preventative Maintenance Program				
Worker	✔	X	**Comments** (required for negatively scored questions. Optional for positive)	
7.5	What is your company's system to remove defective tools, vehicles, or equipment from service?			
Management	✔	X	**Comments** (required for negatively scored questions. Optional for positive)	
7.4	How are the individuals that perform maintenance on equipment or tools competent to do so?			
7.5	What is your company's system to remove defective tools, vehicles, or equipment from service?			

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

Inspections					
Worker			✔	**X**	**Comments** (required for negatively scored questions. Optional for positive)
9.3	How are identified deficiencies assigned to individuals and corrected as required?				
9.4	What specific method, form or checklist is used for pre-use inspections?				
9.7	What is your role in the formal or informal inspection process?				
9.8	How are the inspection reports posted and/or communicated to you?				
Management			✔	**X**	**Comments** (required for negatively scored questions. Optional for positive)
9.2	What specific method, form or checklist is used for workplace inspections?				
9.3	How are identified deficiencies assigned to individuals and corrected as required?				
9.4	What specific method, form or checklist is used for pre-use inspections?				
9.7	What is your role in the formal or informal inspection process?				
9.8	How are the inspection reports posted and/or communicated to you?				

Incident Investigation and Reporting

Worker		✔	X	Comments (required for negatively scored questions. Optional for positive)
10.1	What is the process for reporting an incident? What are your responsibilities?			
10.4	Once an incident investigation has been completed, how are corrective actions implemented?			
10.5	How are corrective actions communicated to you after an incident occurs?			
10.6	What incidents do you report? Do you report near misses? Please give an example of a near miss?			
Management		✔	X	Comments (required for negatively scored questions. Optional for positive)
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?			

Emergency Preparedness

Worker		✔	X	Comments (required for negatively scored questions. Optional for positive)
11.4	How do you know who is qualified to administer first aid on this site?			
11.5	How do you alert everyone onsite in the event of an emergency? How do you contact appropriate personnel/agencies for emergency assistance?			
11.9	Can you give me an example(s) of an emergency plan for this site? What are your specific roles and responsibilities?			
11.12	How have site specific emergency plans been communicated to you?			
Management		✔	X	Comments (required for negatively scored questions. Optional for positive)
11.4	How do you communicate who is a qualified first aid personnel on this site? How do you verify the number of qualified first aid personnel meets legislative requirements?			
11.5	How do you alert everyone onsite in the event of an emergency? How do you contact appropriate personnel/agencies for emergency assistance?			
11.6	If someone gets injured, how would they be transported to a medical facility?			
11.12	How do you communicate site specific emergency response plans to your employees?			

Statistics, Records, and Documentation

Management		✔	X	Comments (required for negatively scored questions. Optional for positive)
12.7	Can you give me an example of corrective actions or improvements that have been made to your safety & health program from your most recent audit/ statistics review? **(N/A for SECOR®)**			

Legislation				
Worker		✔	X	**Comments** (required for negatively scored questions. Optional for positive)
13.1	Where are copies of relevant legislation on this site?			
13.2	Does your supervisor regularly discuss relevant regulations and legislation when assigning work? Can you give an example? **(N/A for SECOR®)**			
13.3	What are your legislated rights? Do you know how to exercise those rights?			
Management		✔	X	**Comments** (required for negatively scored questions. Optional for positive)
13.1	Where are copies of relevant legislation on this site?			
13.2	Do you regularly refer to relevant legislation and regulations during job planning to ensure compliance? Can you give an example? **(N/A for SECOR®)**			
13.3	What are your legislated rights? Do you know how to exercise those rights?			

Procurement and Contractor Management				
Management		✔	X	**Comments** (required for negatively scored questions. Optional for positive)
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? **(N/A for SECOR®)**			
14.3	How do you ensure your criteria for selection/ evaluation and monitoring contractors is being followed? **(N/A for SECOR®)**			
14.6	How do you ensure your criteria for selection and evaluation of procured products is being followed?			

Yukon Supplement				
Worker		✔	X	**Comments** (required for negatively scored questions. Optional for positive)
15.1	Is there a Health & Safety Committee or a Safety Representative in place for the company?			
15.3	Are committee minutes/safety rep records posted or made available to read? Can you describe where they are kept or how they are made available to you? **(N/A for SECOR®)**			
15.4	Are both management and workers represented on the committee? Can you provide examples of both? **(N/A for SECOR®)**			
15.7	Does the committee or the safety representative review accident/ incident reports and recommend actions for health & safety improvements? Can you provide a past example of an incident report that was reviewed and a recommendation that was made?			
15.8	Are the recommendations by the committee or hazard reported by the safety representative acted upon by management? Can you provide an example where management acted upon the committee's recommendations in the past?			
15.9	Are you aware of your organization's RTW program? If so, please explain in your own words what it means to you.			
15.10	Who is responsible for the company's RTW program?			
15.14	What is your role/responsibility in return to work?			
15.20	Have you received training on violence and harassment prevention in the workplace? Can you give an example of training you have received?			
Management		✔	X	**Comments** (required for negatively scored questions. Optional for positive)
15.4	Are management and workers represented on the committee? **(N/A for SECOR®)**			
15.9	Are you aware of your organization's RTW program? If so, please explain in your own words what it means to you.			

15.10	Who is responsible for the company's RTW program?			
15.14	Explain where you would find information on your roles and responsibilities within the RTW program. How do you make workers aware of RTW?			
15.15	Explain the reporting steps you would follow if an injury occurs and requires a RTW plan.			
15.16	Explain how and when you would contact an injured workers as outlined in your RTW process.			
15.18	Have changes or improvements been made to the RTW program after an evaluation of the process? If so, can you provide an example?			
15.20	Do you provide training on violence and harassment prevention in the workplace?			

1.0   Guidelines – Safety and Health Policy

1.1   The policy must state management's commitment to provide a safe and healthy work environment.

1.2   The policy must include a statement of the employer's commitment to work in a spirit of consultation and cooperation with their workers or clearly express the commitment to work jointly with their workforce in the development and implementation of their safety and health program.

1.3   The policy should include individual safety and health obligations and make reference to documented safety and health responsibilities of workplace parties (management, supervisors, workers, safety and health representatives, subcontractors, etc.). This information could be contained in a document separate from the company safety policy.
- Award points for the written assignment of safety and health responsibilities.
- Award points based on the majority of positive interview responses.

1.4   The policy must be signed by current senior management with a current date (or within a company's annual review period).

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.

When answering questions use a "Y" or "yes" for a positive response or an "N" or "no" for negative response in the DOI columns

	Safety and Health Policy	Score Weighting	Technique Employed			Points Awarded
			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:*					
1.1	Includes management's commitment to provide a safe and healthy work environment?	3				
1.2	Expresses a commitment to work in a spirit of consultation and cooperation with the workers?	3				
1.3	Addresses accountability and responsibility for safety and health for workplace parties?	4		AND		
1.4	Is signed by current senior management and appropriately dated?	2				
1.5	Is visibly posted in the workplace and/or made readily available to all workplace parties.	3		O	R	
1.6	Is communicated to workplace parties?	3				
	COR® total points possible/awarded	18				
	SECOR® total points possible/awarded	18				

2.0 Guidelines – Hazard Assessment, Analysis, and Control

2.1 An employer "means a person who employs one or more employees or the person's agent" 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.

- Award points based on documentation of completed formal hazard assessments as per company policy/directive.
- Award points based on observations that the formal hazard assessments accurately reflect the activities on site and are made readily available.
- Award points based on the majority of positive interview responses.

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 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.

- Award points based on documentation of completed ongoing risk assessments from the same worksite location as applicable.
- Award points based on the majority of positive interview responses.

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 and appropriate prevention control (safe job procedures, tailored work schedules, personal protective equipment, etc.) would be an example for awarding points.

	Hazard Assessment, Analysis, and Control	Score Weighting	Technique Employed			Points Awarded
			D	O	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.		D	O	I	
2.1	Do formal hazard assessments include all aspects of company operations, including routine and non-routine where work is performed?	7				
2.2	During hazard assessments are both existing and potential hazards identified and reported?	3		AND		
2.3	Are risks assessed/evaluated prior to work being performed?	3				
2.4	Are risks reassessed/re-evaluated as when people, equipment, material, environment, or processes are changed?	6		AND		
2.5	Are design and layout of the work area, ergonomics, machinery, and processes considered in the assessments?	3				

2.0 Guidelines – Hazard Assessment, Analysis, and Control

2.6 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 identified in the hazard assessment process.
- Award points based on verification of appropriate signatures on completed hazard assessments.
- Award points based on the majority of positive interview responses.

2.7 Verify training has been completed for individuals involved in the hazard assessment to confirm their competency.

- Award points based on verification of training for individuals identified on completed hazard assessments.
- Award points based on the majority of positive interview responses of those responsible.

2.8 Verify a critical task list has been completed (a list of tasks involving the potential for serious injury or death — for which related safe job procedures should be developed). Points may also be awarded if critical tasks are identified on completed hazard assessments as well as having the applicable safe work procedure included as the control.

2.9 Once hazards are identified, appropriate controls must be put in place. Verify the methods of control follow the hierarchy of controls (elimination, substitution, engineering controls, administrative controls, personal protective equipment). Verify through documentation showing hierarchy of controls was used to determine the appropriate control method. Points may also be awarded by verifying workers are following the controls identified on the hazard assessment for the job/task.

2.10 Verify through documentation and interviews that appropriate individuals/roles are assigned the responsibility to implement the control. Both documentation and interviews must be confirmed to award points.

2.11 When a control involves a time requirement or additional effort to implement, there must be a process or timeline indicating when the control is implemented. Verify through documentation that the control has been implemented (normally through a signature and completion date) or through observation that the identified controls have been implemented.

	Hazard Assessment, Analysis, and Control	Score Weighting	Technique Employed			Points Awarded
	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.		**D**	**O**	**I**	
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	Has a list of critical tasks or activities been created and/or included within the hazard assessments?	4				
2.9	Are controls developed for identified hazards using the hierarchy of controls?	4	OR			
2.10	Are individuals/roles assigned to implement the controls identified?	3		AND		
2.11	Is there a process/timeline for indicating when the control is implemented?	4	OR			
	COR® total points possible/awarded	45				
	SECOR® total points possible/awarded	45				

3.0 Guidelines - Safe Work Practices

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. **(N/A for SECOR®)**

	Safe Work Practices	Score Weighting	Technique Employed			Points Awarded
			D	O	I	
	Safe work practices are generalized dos and don'ts of how to carry out a task or use equipment. Practices inform the worker about the hazards that are present and provide direction on how to safeguard against the hazards. They are general guidelines (safety tips) only and do not need to follow any specific order.					
3.1	Have safe work practices applicable to operations been written?	**2**	AND			
3.2	Are they understood by workers?	**2**				
3.3	Are they readily available?	**2**		AND		
3.4	Are safe work practices followed by employees?	**4**				
3.5	Have both management and workers participated in the development/review of these practices?	**2**		OR		
	COR® total points possible/awarded	**12**				
	SECOR® total points possible/awarded	**10**				

4.0 Guidelines - Safe Job Procedures

4.1 Confirm through documentation and observation that written safe job procedures accurately reflect activities that the company performs. An index of safe job procedures must be submitted.
- Award points based on verification that written safe job procedures accurately reflect activities the company performs.
- Award points based on verification that high risk or critical tasks being performed at the time of a visit have a written safe job procedure.
- Award points based on observations that the written safe job procedures accurately reflect the company's worksite activities.

4.2 Employees must be able to give an example(s) of safe job procedures they are required to follow with respect to critical tasks. Critical tasks are high risk activities in which employees must know and understand they need to follow the step-by-step procedures.

4.3 Ensure copies of the company's safe job procedures are at each worksite and readily available to employees. The majority of employee interview responses must confirm an understanding of where safe job procedures are kept.
NOTE: if electronic documentation is used, verify they are readily accessible in order to award points.

4.4 Confirm that workers are performing tasks in a manner consistent with the safe job procedure(s).

4.5 Review safety meeting minutes to verify safe job procedures have been a relevant topic of discussion and confirm both management and workers have participated.
- Award points based on documentation that verifies both management and worker participation in the development or formal review/revision of safe job procedures.
- Award points based on the majority of positive interview responses confirming workers have received instruction or training in safe job procedures.
  (N/A for SECOR®)

	Safe Job Procedures	Score Weighting	Technique Employed			Points Awarded
			D	**O**	**I**	
	Safe job procedures are written, step-by-step instructions for completing specific tasks safely. Safe job procedures must clearly identify the steps required to complete the task (in proper order), the hazards the worker could be exposed to, the control measures, and what to do in an emergency (i.e.: spill containment, shut down).					
4.1	Do the safe job procedures accurately reflect the employer's current work activities, including high risk or critical tasks?	6	AND			
4.2	Are they understood by workers?	4				
4.3	Are these procedures available and easily accessible to workers?	3		AND		
4.4	Are safe job procedures followed by employees?	4				
4.5	Have both management and workers participated in the development/review of these procedures?	4		AND		
	COR® total points possible/awarded	21				
	SECOR® total points possible/awarded	17				

5.0 Guidelines - Company Safety Rules

5.1 Documentation must clearly state responsibilities for setting, implementing, and complying with company rules.

5.2 Award points based on documentation that confirms both written company rules and project specific rules are available to workers on site.
Award points based on the majority of positive interview responses confirming both company and site-specific rules are made available to workers on site.

5.3 During worksite observations, verify the company rules have been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to workers (in the form of a handbook, safety and health manual, or other accessible electronic format).

5.4 The majority of workers interviewed must be able to give examples of some of the company safety rules or project safety rules.

5.5 Documentation must clearly address non-conformance and progressive disciplinary action.

5.6 Verify through documentation that non-conformance is enforced consistently with all personnel. Points may also be awarded based upon the majority of interview responses confirming that rules are applied and enforced consistently with all personnel.

	Company Safety Rules	Score Weighting	Technique Employed			Points Awarded
			D	**O**	**I**	
	The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for company safety rules.					
5.1	Does the policy, procedure, or guideline include responsibilities for setting, implementing, and complying with company rules.	2				
5.2	Are both company and project (work location) specific rules available?	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				

6.0 Guidelines - Personal Protective Equipment (PPE)

6.1 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.
- Award points based on documentation to verify the company has established criteria for the selection of protective equipment.
- Award points based on the majority of positive interview responses confirming an understanding of the criteria used for selection of protective equipment.

6.2 Verify through documentation that the employer has developed and made written instructions readily available to employees with respect to the proper fitting, care, and use of basic and specialized PPE such as: ear plugs, respiratory devices, fall protection, etc.

6.3 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.
- Award points based on completed worker orientations and/or training records confirming the review of PPE requirements.
- Award points based on the majority of positive interview responses confirming an understanding of the company's requirements for PPE.

6.4 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.
- Award points based on the observation of appropriate PPE for specific activities is available.
- Award points based on the majority of positive interview responses.

6.5 Workers should be observed using basic and specialized PPE at all times as prescribed by company criteria, SDS, CSA, or other legislated standards.\

6.6 Basic PPE inspections and maintenance may be conducted and recorded as part of a safety meeting or be included as an item on the company's inspection checklist. Specialized PPE inspections will require verification of pre-use inspection and compliance with manufacturers' recommendations.
- Award points based on supplied documentation that verifies regular inspection and maintenance of PPE.
- Award points based on the observation of PPE should be well maintained, in serviceable condition, and meet regulatory standards.

	Personal Protective Equipment (PPE)	Score Weighting	Technique Employed			Points Awarded
			D	**O**	**I**	
	The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for personal protective equipment (PPE).					
6.1	Are activities requiring PPE documented and is specific criteria used to select appropriate PPE for those activities?	**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	**22**				

7.0 Guidelines - Preventative Maintenance Program

7.1 Verify there is an inventory list of facilities/equipment/tools/vehicles that require ongoing maintenance.

7.2 Verify through documentation the completion of the established maintenance schedules that include all the items on the inventory as well as a system to enable the recording of pre-operational checklists for equipment such as: forklifts, man lifts, excavators, suspended platforms, vehicles, etc.
- Award points based on documentation to verify completed pre-operational/ checklists and maintenance records are retained on file.
- Award points based on observations confirming completed pre-operational/ checklists are kept with equipment in use.

7.3 Documented records should include a description of corrective actions taken when a deficiency of maintenance requirement has been identified through inspection (i.e., service records, lockout/tagout tags, repair invoicing, etc.)
- Award points based on documentation to verify corrective actions have been completed.
- Award 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.

Preventative Maintenance Program		Score Weighting	Technique Employed			Points Awarded
			D	O	I	
The organization shall establish, implement, monitor, and maintain a preventative maintenance program.						
7.1	Is there an inventory of items to be maintained?	3				
7.2	Are preventative maintenance schedules and checklists used and completed as required, including manufacturers and legislated specifications?	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 of facilities, tools, equipment, and vehicles include a system that effectively removes defective tools, equipment, and vehicles from service?	2		OR		
7.6	Is the system in 7.5 followed?	2				
COR® total points possible/awarded		17				
SECOR® total points possible/awarded		17				

8.0 Guidelines - Training and Communication

8.1   The policy/procedure/guideline includes a method for selecting training of employees. Examples include legislative training requirements; manufacturers' training requirements; job specific and high-risk activities; identifying competencies for each task and/or role; and identifying effectiveness of training.
- Award points based on documentation.
- Award points based on the majority of positive interview responses.

8.2   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.
- Award points based on documentation.
- Award points based on the majority of positive interview responses.

8.3   Review training records to ensure supervisors or other individuals with HSE responsibilities have received training in their legislative requirements. Documentation and interviews must both be verified in order to award points.
Courses could include but are not limited to: Leadership for Safety Excellence, Hazard Identification & Control, Joint Health & Safety Committee.

8.4   Review training records to ensure employees/staff have received job-specific training in high-risk activities or for specific company roles (supervisor, safety rep, etc.).
- Award points based on training records confirming workers have been trained in job-specific requirements (including high-risk activities and/or manufacturer requirements).
- Award points based on training records confirming supervisors have been trained in tasks specific to their role (i.e.: hazard identification, inspections, investigations, communications, etc.).

8.5   Mandatory training as specified by legislation, policy or project requirements must be confirmed and/or provided prior to beginning work.
- Award points based on training records confirming.
- Award points based on the majority of positive interview responses.
  Examples of mandatory training would include WHMIS 2015, TDG, First Aid, etc. Examples of policy or project requirements would include training identified in hazard assessments, fall protection plans, confined space permits, etc. to ensure that only people with proper training are performing the work.

8.6   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.

		Training and Communication	Score Weighting	Technique Employed			Points Awarded
				D	O	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.					
8.1		Is there a method for the selection of safety and health training of employees?	4		AND		
8.2		Is there a method for the evaluation and monitoring of the knowledge, competency, and effectiveness of safety and health training of employees?	4		AND		
8.3		Have appropriate individuals been trained in legislated requirements?	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 qualified/competent person conduct training?	2				

8.0 Guidelines - Training and Communication

8.7 Verify the company has a method to record and maintain training records. Examples could be hard copy, electronic copy, or a training matrix used to record and maintain employee training ensuring job-specific, recertification, and refresher training is taking place.

8.8 The company safety program must have a formal process for providing company and worksite orientations to employees and subcontractors. Verify through documentation and interview that an orientation is provided to all workers. Documentation would include company or site-specific orientations, checklists, quizzes, etc. Verify through interviews that all workers have received an orientation before starting work. Documentation and interviews must both be verified in order to award points.

8.9 Verify that the orientation program addresses new and young workers as well as returning workers**.**

8.10 As per company policy statement, procedure(s), and/or guideline(s), safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings, tailgate meetings, or monthly safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Minutes of safety meetings must indicate senior management's regular attendance. Safety meeting minutes must verify senior management's participation/attendance in safety and health meetings. Documentation and interviews must both be verified in order to award points.

8.11 As per company policy statement, procedure(s), and/or guideline(s), safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings, tailgate meetings, or monthly safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Minutes of safety meetings must indicate workers' regular attendance.

8.12 Are all personnel given the opportunity to present their concerns and discuss corrective actions? Meetings should be a positive place for discussing identified safety concerns where all input is welcomed in order to determine the best course of action. This question is verified through interviews.

8.13 As per company policy statement, procedure(s), and/or guideline(s) safety and health meetings are meant to be a regular outlet for related discussion. This question considers toolbox meetings, tailgate meetings, or monthly safety meetings, but does not include safety and health committee meetings or yearly start-up meetings. Records or minutes must be on file that show regular company, corporate, and/or toolbox are being held.

- Award points based on documentation from multiple locations that meetings are held as per legislation or policy as applicable.
- Award points based on the majority of positive interview responses.

Training and Communication	Score Weighting	Technique Employed			Points Awarded
		D	O	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.					
8.7 Are training records maintained?	4				
8.8 Is there a mandatory orientation program that is completed prior to starting work, if a change of location and/or operational changes occur?	4		AND		
8.9 Is it applicable to new and young workers or returning workers?	2				
8.10 Does senior management attend/participate in safety and health meetings?	4		AND		
8.11 Do workers attend/participate in safety and health meetings?	2				
8.12 Is there a process for worker input and communication of safety and health information?	2				
8.13 Are safety and health meetings held regularly and documented as per legislation, company, or project requirements?	4		AND		
COR® total points possible/awarded	46				
SECOR® total points possible/awarded	46				

9.0 Guidelines – Inspections

9.1 Along with the actual equipment, process, and site-specific areas identified, ensure that other areas such as yards, offices, shop, storage facilities, etc. are not being excluded from the inspection process.

9.2 A standardized method, form, or checklist should be completed for all inspections. The method, form, or checklist should include equipment, processes, and site activities; identification of the area and items inspected; hazard classification; recommended corrective actions; the person responsible for the action; and a date for expected completion/follow-up. This question may also be verified through interviews.

9.3 A review of past inspection methods/forms/checklists will confirm if the corrective action has been completed as assigned. Determine whether corrections have been completed in a timely manner, paying particular attention to unsafe acts and/or conditions with the potential to cause injury or serious property damage.
- Award points based on the receipt of completed documentation verifying that deficiencies noted during an inspection are corrected in a timely manner.
- Award points based on the majority of positive interview responses confirming that identified inspection deficiencies are corrected in a timely manner.

9.4 A standardized method, form, or checklist should be completed for pre-use inspections. The method, form, or checklist should include equipment, tools, and/or vehicles; identification of the items inspected; recommended corrective actions; the person responsible for the action; and a date for expected completion/follow-up. This question may also be verified through interviews.

9.5 A review of past pre-use inspection methods/forms/checklists will confirm if the corrective action has been completed as assigned. Determine whether corrections have been completed in a timely manner, paying particular attention to unsafe conditions with the potential to cause injury or serious property damage.

9.6 Are supervisors and other responsible individuals meeting the required frequency for inspections as outlined in the company policy statement, procedure(s), and/or guideline(s). The frequency must be stated as monthly, weekly, daily, etc. The words, "on a regular basis," are not acceptable.
Consecutive records must be submitted to support the adherence to the identified frequency of inspections for all work locations that apply.

9.7 Check inspection methods, forms, and/or checklists to verify that workers, safety representative, supervisors, and senior management have taken an active role and are involved in the formal (and informal) inspection process.
- Award points based on the supplied documentation that includes names of individuals at all levels within the company
- Award points based on the majority of positive interview responses.

9.8 During worksite observations, verify the inspection reports have been posted. If no suitable means of posting is available, points can be awarded if the majority of interviews confirm it is made readily available to workers, safety representatives, supervisors, and senior management or through other accessible electronic format.

	Inspections	Score Weighting	Technique Employed			Points Awarded
			D	O	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.					
9.1	Are all areas inspected as required?	3				
9.2	Are specific methods, forms, or checklists used to identify deficiencies for workplace inspections?	3		OR		
9.3	Are corrective actions assigned to individuals and implemented as specified (for workplace inspections)?	4		AND		
9.4	Are specific methods, forms, or checklists used to identify deficiencies for pre-use inspections?	3		OR		
9.5	Are corrective actions assigned to individuals and implemented as specified (for pre-use inspections)?	4				
9.6	Is the required frequency of inspections being met by the supervisor and other responsible individuals?	3				
9.7	Does the inspection process include participation of all levels within the company?	6		AND		
9.8	Are inspection reports posted and/or communicated to appropriate personnel?	4	OR			
	COR® total points possible/awarded	30				
	SECOR® total points possible/awarded	30				

10.0 Guidelines - Incident Investigation and Reporting

*NSNY Note: If there have been no incidents to investigate during the auditing period, questions 10. 4 to 10.6 can be classes as "N/A", however 10.1 to 10.3 can be answered by reviewing the policy statement, procedure(s) and/or guideline(s) to ascertain that if followed the correct outcome would be reached.

10.1 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.
- Award points based on documentation.
- Award points based on the majority of positive interview responses.

10.2 Verify investigation reports include that management, workers, and/or worker safety representatives/workplace safety committee are involved in the investigation process. The investigation report/forms should clearly identify the appropriate personnel involved.

10.3 Verify supervisors and other appropriate individuals have taken training specific to incident investigations. The Incident Investigation, Leadership for Safety Excellence course or equivalent would be acceptable for the awarding of points.
- Award points based on documentation confirming supervisor training.
- Award points based on documentation confirming other appropriate individuals have received training.
- Award points based on the majority of positive interview responses.

*Yukon Requirement: All supervisors and other appropriate individuals must have received training specific to incident investigations (in-house training accepted). In addition, at least 50% of supervisors must have LSE. If there are 20+ employees, a worker representative of the Health & Safety Committee must have taken Workplace Investigation Basics (through NSNY).

10.4 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.
Verify through documentation and interviews that this process is in place and that corrective action is implemented within an acceptable time frame.
- Award points based on documentation verifying corrective actions are appropriate to prevent reoccurrence (i.e.: they must be specific and measurable — "be careful," "use caution," or other generic statements would not be acceptable).
- Award points based on documentation verifying corrective actions have been implemented.
- Award points based on the majority of positive interview responses.

10.5 Verify through documentation or interviews that investigation results and corrective actions are communicated to appropriate parties. Examples could include documented lessons learned, toolbox talks, safety committee meetings, etc., that include investigation results and corrective actions. Points may also be awarded if the majority of interview responses confirm investigation results and corrective actions are communicated to appropriate parties.
*Additional Guidance form NSNY: examples of "appropriate parties": RCMP, WSCB, affected employees, etc.

10.6 Verify records of incidents, near misses, and investigation reports are completed according to company policy/procedures as well as legislative requirements and environmental exposures. Both documentation and interviews must be confirmed to award points.

Incident Investigation and Reporting	Score Weighting	Technique Employed			Points Awarded
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.		**D**	**O**	**I**	
10.1 Do workplace parties know their responsibilities and the reporting procedures?	**6**		**AND**		
10.2 Are appropriate personnel involved in investigations?	**4**				
10.3 Have appropriate individuals been trained in legislative and company-specific reporting requirements and investigation procedures?	**6**		**AND**		
10.4 Are recommendations for prevention/remedial action implemented as per legislation and/or company requirements?	**6**		**AND**		
10.5 Are investigation results and corrective/preventative actions communicated to appropriate parties?	**4**		**OR**		
10.6 Are the investigation reports completed according to company policy and procedures?	**4**		**AND**		
COR® total points possible/awarded	**30**				
SECOR® total points possible/awarded	**30**				

*NSNY Note: If there have been no incidents to investigate during the auditing period, questions 10. 4 to 10.6 can be classes as "N/A", however 10.1 to 10.3 can be answered by reviewing the policy statement, procedure(s) and/or guideline(s) to ascertain that if followed the correct outcome would be reached.

11.0 Guidelines - Emergency Preparedness

11.1 The goal of an effective emergency preparedness plan is to return to normal working operations as soon as possible. Appropriate emergency response plans should be developed specific to work activities.

- Award points based on documentation to verify that the company has developed a generalized plan/procedure with respect to legislative requirements for emergency response (i.e.: fire, first aid, transportation, communication).
- Award points based on documentation if evidence of site-specific written plans have been developed to meet the activities being performed (i.e.: chemical spill, rescue, confined space testing and retrieval, muster points, etc.).
- Award points based on observation that site-specific emergency response plans have been posted/made readily available at each worksite and are appropriate to the work activities being performed.

11.2 Verify through observation that emergency equipment is readily available for prompt use, marked, and visible in work areas. Examples include defibrillators, spill kits, first aid supplies, and rescue equipment for confined space or fall arrest.

11.3 Verify through either documentation or observation that emergency equipment is regularly inspected and maintained as per legislated, manufacturer, and/or company requirements. Examples could include inspection tags, invoices, or completed inspections.

11.4 Confirm that the number of qualified first aid personnel meet legislated requirements. Points can be awarded through observation if 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 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. The majority of interview responses must confirm an understanding of the process for transporting injured employees.

	Emergency Preparedness	Score Weighting	Technique Employed			Points Awarded
			D	O	I	
	The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for emergency preparedness and response.					
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		

11.0 Guidelines - Emergency Preparedness

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 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. **(N/A for SECOR®)**

11.12 Verify through interviews that appropriate parties have a clear understanding of the relevant information regarding the emergency response plans.

	Emergency Preparedness	Score Weighting	Technique Employed			Points Awarded
			D	O	I	
	The organization shall establish, implement, monitor, and maintain a documented policy statement, procedure(s), and/or guideline(s) for emergency preparedness and response.					
11.7	Are fire extinguishers readily available, marked, and visible?	2				
11.8	Have employees received training in emergency procedures, roles, and responsibilities?	2				
11.9	Do employees know their roles and responsibilities?	4				
11.10	Have the emergency response plan(s) been tested for deficiencies and corrective action taken?	2				
11.11	Have the emergency procedures and response plans been reviewed, and revised as appropriate, at least annually?	2				
11.12	Is relevant information regarding the emergency response plans communicated to the appropriate parties?	2				
	COR® total points possible/awarded	30				
	SECOR® total points possible/awarded	28				

12.0 Guidelines - Statistics, Records, and Documentation

12.1 Verify the company is following their document control system. Through observation, verify that current versions of documents are readily available and used.

12.2 Documentation should clearly support that safety and health documentation is retained according to legislation.

12.3 Statistics must provide sufficient information to verify the company is following their system for analyzing safety and health performance (at minimum annually). Examples could include reports, meeting minutes, or other records that confirm incidents, first aid records, safety activities, and past performance are being reviewed to identify trends. **(N/A for SECOR®)**

12.4 Award point if leading performance measures are included in the safety and health performance measurement.
Award point if lagging performance measures are included in the safety and health performance measurement.
(N/A for SECOR®)

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 as applicable.

12.7 Documented evidence must show that an action plan was communicated. This question must also be verified through interviews. **(N/A for SECOR®)**
- Award points based on the receipt of documentation to verify implementation of the audit corrective action plan.
- Award points based on the majority of positive interview responses confirming the audit action plan has been communicated.

	Statistics, Records, and Documentation	Score Weighting	Technique Employed			Points Awarded
			D	O	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.					
12.1	Are approved and current versions of applicable documents readily available at the point of use?	4				
12.2	Are relevant safety and health records kept as per legislative requirements?	2				
12.3	Does the company analyze current safety and health performance with past performance to identify trends as per the required frequency?	4				
12.4	Are leading and lagging performance measured?	2				
12.5	Are adequate first aid treatment records kept?	2				
12.6	Are corrective action plans developed to address audit results?	4				
12.7	Are results and analyses communicated to relevant workplace parties as per company policy, procedure(s), or guideline(s)?	4		AND		
	COR® total points possible/awarded	22				
	SECOR® total points possible/awarded	12				

13.0 Guidelines – Legislation

13.1 Verify through observation that relevant/current 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).
PLEASE NOTE: When verifying if your copies of legislation are current, you should refer to end of each document where you will find the consolidated dates.

13.2 Verify through documentation or interviews that legislative review is part of the management/supervisor's regular job planning process. **(N/A for SECOR®)**

13.3 The majority of interview responses must confirm that employees and supervisory/management personnel are aware of their legal duties and responsibilities.

13.4 **(Yukon Supplement Question):** Where employees are exposed to hazardous substances and/or excessive noise, monitoring and reporting requirements must be in place. Exposure to noise above 85 dBA requires hearing conservation monitoring (audiometric testing_. Exposure to silica dust requires monitoring through pulmonary function test procedure. Reports should be on file to indicate the reporting process is in place.

Legislation		Score Weighting	Technique Employed			Points Awarded
			D	**O**	**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.			D	O	I	
13.1	Are copies of relevant legislation posted and/or readily available at each workplace as required?	**2**		O	R	
13.2	Does the management/supervisor regularly refer to relevant legislation and regulations during job planning to ensure compliance?	**4**		OR		
13.3	Are personnel trained and aware of their legislated rights and responsibilities?	**4**				
13.4	*Yukon Supplement Question*: Does medical monitoring meet legislated standards?	**2**				
	COR® total points possible/awarded	**12**				
	SECOR® total points possible/awarded	**8**				

14.0 Guidelines - Procurement and Contractor Management

14.1 When selecting contractors or service providers, a company must include safety and health as an integral part of their activities.
- Award points based on the establishment of a criteria for the evaluation and selection of contractors or service providers (i.e.: COR®, Contractor Compliance Declaration/Agreement, etc.).
- Award points based on the establishment of a system to regularly monitor contractors or service providers (i.e.: review/submission of safety meetings, safety inspection reports, orientations, verification of applicable worker training/certification, etc.).

14.2 Award points if the criteria in 14.1 includes a documented process to verify the competency of contractors and service providers to identify, communicate, and control hazards (i.e., COR® or other safety and health management system, such as a prime or general contractor's process that clearly includes this ability). Points may also be awarded if the majority of interview responses are positive. **(N/A for SECOR®)**

14.3 Verify through documentation that the criteria identified in 14.1 and 14.2 have been followed (as per company policy). The majority of interview responses must also be positive in order to award points. **(N/A for SECOR®)**

14.4 A company acting as the prime/general contractor is required to develop, implement, and monitor a system to manage safety and health compliance at the worksite. A company acting as a contractor (sub) must be aware of their legal obligations to share required information that may affect the safety and health of any other person. Examples of information to be shared could include completed hazard assessments, inspections, site safety orientations, toolbox/safety/start-up meeting minutes, utility clearances/locates, permits, SDSs, incident investigation reports, etc. Documentation of required information shared between the prime and sub-contractors can be either retained on file and produced in support of the audit. Points may also be awarded if this information is shared and clearly posted or made readily available at the worksite (if no suitable means of posting is available, points can also be awarded if other accessible electronic format is readily available).

14.5 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.
*NSNY Guidance: examples of choosing products with less hazards: using low VOC paints, "green" cleaning products, BPA free plastics, etc. and avoiding products containing more harmful solvents such as those classed as sensitizers.

14.6 Award points upon verification that the company is following their process (i.e.: completed hazard assessment, analysis, and control). Points may also be awarded if the majority of interview responses are positive.

	Procurement and Contractor Management	Score Weighting	Technique Employed			Points Awarded
			D	O	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.					
14.1	Does the company have criteria for the selection, evaluation, and monitoring of contractors and service providers?	6				
14.2	Does the evaluation, selection, and monitoring include the ability and competency of the contractor to identify, communicate, and control hazards that may impact their own workers, your workers, as well as any other person?	4		OR		
14.3	Has the criteria for the selection, evaluation, and monitoring of contractors and service providers been followed?	4		AND		
14.4	Is there a system in place to coordinate safety and health requirements, roles, and responsibilities when multiple contractors/employers are working under your control?	4	OR			
14.5	Does the company have criteria for the selection, evaluation, and procurement of products that have the potential to create a hazard?	2				
14.6	Has the criteria for the selection, evaluation, and procurement of products been followed?	2		OR		
	COR® total points possible/awarded	22				
	SECOR® total points possible/awarded	14				

15.0 Guidelines - Yukon Supplement: PART A – Health & Safety Committee/Representatives

Health & Safety Committee/Representative Information: Reference the Workers' Safety & Compensation Act, sections 36-43

15.1   The auditor must confirm that a Health & Safety Committee (HSC) has been established or a Safety Representative is appointed. Refer to sections 36-39 of the Workers' Safety & Compensation Act for the requirements of a Health & Safety Committee / Safety Representative. Points can only be awarded in the absence of a HSC or Health & Safety Representative, where one is not legislatively required.

15.2   HSC co-chairs or the Safety Representative must have received recognized training (as provided by the NSNY, Health & Safety Committee/ Health & Safety Rep Training). Verify if HSC co-chairs/Safety Representative (non-management/not the owner) have taken HSC training with NSNY. Points should not be awarded if only owner/management has completed these courses.
Company owner should not be on the HSC, the role of the HSC would be to provide recommendations to the owner. Auditors must list all co-chair committee members/safety representative(s) names, name of training course held, certificate expiry and certificate number in the auditor comments section. If training has been arranged (but not yet delivered), auditors must list the name of the arranged training course, the date the course is scheduled to be delivered and the participant names in the auditor comment section.

    Additionally, one health & safety committee member must receive recognized training in incident investigations (such as provided by NSNY, Workplace Investigation Basics).

15.3   Records must be kept of all activities including workplace inspections, meetings, investigations etc. Records can be forms or personal notebooks. Verify through interview that the committee minutes or the Safety Representative records are available. **N/A for SECOR**

15.4   There must be representation from management and the workers on the committee; there can be more workers than management but not more management than workers. Management can be appointed or selected, but worker representatives must be selected by the workers they represent. If worker representatives were appointed by management, then do not award points. **N/A for SECOR**

15.5   Review records to ensure the HSC or Safety Representative participate in inspections of the workplace at regular intervals. Points can be awarded for this item through documentation review.

15.6   Check HSC/ Safety meeting minutes to verify frequency, attendance and what was discussed and verify these activities are taking place as per the company policy and/or legislation. Look for items that show up repeatedly. If this occurs you might not award points in 15.8. If the company is only required to have a safety representative (and no HSC is legislatively required), check the company health and safety meeting minutes for attendance and input. **N/A for SECOR**

15.7   Is the HSC and/or Representative reviewing accident/incident reports and making recommendations for workplace health & safety improvements?

15.8   Verify management has acted upon the recommendations/hazardous situations provided by the HSC/ Safety Representative. This item is scored through documentation review and interviews.

Yukon Supplement - PART A: Health & Safety Committee/Representatives	Score Weighting	Technique Employed			Points Awarded
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 Health & Safety Act and Regulations along with safety program directives.		D	O	I	
15.1 Does the H&S Committee or Safety Representative meet WHS Act requirements?	**3**		OR		
15.2 Have committee members or safety representatives received training/orientation in how to carry out their duties and responsibilities?	**1**				
15.3 Are committee minutes/safety representative records posted or made readily available for employees to read?	**2**	OR			
15.4 Are management and workers represented on the safety committee?	**1**		AND		
15.5 Do H&S members and/or Safety Representative(s) participate in inspections of the workplace?	**1**				
15.6 Does the H&S committee meet at least once per month?	**1**				
15.7 Is the H&S and/or Representative reviewing accident/incident reports and making recommendations for workplace health & safety improvements?	**2**		AND		
15.8 Are the H&S recommendations acted upon by management? Or are hazardous situations reported by the safety representative acted upon?	**2**		AND		

15.0   Guidelines - Yukon Supplement: PART B – Return to Work (RTW)

Return to Work: Reference the Workers' Safety & Compensation Act, sections 116-118

15.9   Review the RTW program currently in place by the employer. Smaller (typically SECOR® companies) employers may have a RTW policy that includes a commitment from senior management regarding RTW, roles and responsibilities, process to follow and sample forms.

A larger employer (typically COR® companies) should have a more robust RTW program that includes a policy outlining senior management commitment to returning injured workers back to work, clearly defined RTW procedures to follow, program evaluation, RTW plan implementation, RTW plan forms, and roles and responsibilities listed for workers, supervisors, management, and RTW coordinator. The roles and responsibilities should also be listed for other stakeholders such as HSC, HR department, first aid attendants.

Auditors should comment on what is currently in place by the employer and if there seems to be any missing components of the RTW program. If companies would like their policy/program reviewed for confirmation of adequacy, they can contact the WSCB RTW Coordinator to facilitate.

Ensure that the RTW program contains specific goals and objective. For example: establish a clear process for all employees following an injury or illness, minimize the impact of work-related injury or illness on productivity, ensure fair and consistent treatment of all injured workers.

Ensure that the RTW program contains specific goals and objective. For example: establish a clear process for all employees following an injury or illness, minimize the impact of work-related injury or illness on productivity, ensure fair and consistent treatment of all injured workers

15.10   The RTW program must state clearly who is responsible for the RTW program. Stating either the person by name or the position (such as HR) is acceptable

15.11   Review the training records to determine if an appropriate Management person (Management is considered owner/operator, president, executive director, supervisor, loss control specialist, management representative/RTW Coordinator, etc.) has received formal RTW training (as provided by the NSNY to award points for COR®/SECOR®).

15.12   Review documentation to determine if all employees (supervisors /workers) have received in-house RTW training in regards to the RTW program and their responsibilities (e.g. during orientation, safety meetings, presentations, newsletters, etc.). Auditor must see documentation of in-house RTW training for new employees and annual RTW training for all employees in order to award points.

Yukon Supplement - PART B: Return to Work (RTW)	Score Weighting	Technique Employed			Points Awarded
		D	O	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 Health and Safety Act and Regulations, along with safety program directives.					
15.9 Is there a current RTW program that is appropriate and relevant to the size of the employer?	2		AND		
15.10 Is the assignment of responsibility clearly stated (person or position)?	1		AND		
15.11 Has a management representative or a specific person who is responsible for managing the RTW program received formal RTW training?	2				
15.12 Have employees (supervisors / workers) received in-house training in RTW	2				

15.0   Guidelines - Yukon Supplement: PART B – Return to Work (RTW)

Return to Work Information: Reference the Workers' Safety & Compensation Act, sections 116-118

15.13   Look for a policy that is posted or made available and is signed by current senior management. The policy should include a statement relating to management's commitment to their return-to-work program.
Observation: Is the RTW policy posted or made available and signed by current senior management?

15.14   Look for documentation clearly stating who is responsible for managing the RTW program and a description of what the responsibilities entail. Examples of responsibilities are: updating the program, providing in house training, updating and evaluating the program for effectiveness, participating in discussions. A small company may have one specific person designated to management the RTW program with multiple responsibilities, while larger companies should have roles and responsibilities listed for workers, supervisors, management, and RTW coordinator. Larger companies may also have roles and responsibilities listed for other stakeholders such as the H&S Committee, HR department and first aid attendants.

   Look for how the policy is readily available to the workers (i.e., intranet, newsletters, memos, company safety manuals, etc.).

   Observation: are the responsibilities readily available to employees?

15.15   Review the RTW process to determine if there are specific instructions that outline the supervisor/s responsibilities if an injury occurs. Confirm through interviews.

15.16   Ensure that a written process is in place that outlines the frequency and methods of on-going communication throughout the period of the worker's recovery. Examples include weekly telephone calls, invitation to the injured worker to participate in workplace activities, in person visits, etc. Confirm through interviews.

15.17   Look for evidence that where an injury (work or non-work related) occurred and the employer implemented the RTW plan. In the case where there have been no injuries, points can be awarded only if the RTW process contains steps to be followed as part of the RTW program following an injury.

15.18   Look for documentation that shows corrective action(s) have been made following the evaluation of the RTW program or from the use of the DSMA tool. Documentation could include: company action plans showing implementation of recommendation(s) made from previous audits, documented actions taken from the use of the DMSA tool, meeting minutes, revisions to the written RTW program, company emails/newsletters advising workers of RTW program change. Confirm through interviews. NOTE: Use of the DMSA tool at the startup of the RTW program:

Yukon Supplement - PART B: Return to Work (RTW)	Score Weighting	Technique Employed			Points Awarded
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 Health and Safety Act and Regulations, along with safety program directives.		D	O	I	
15.13 Is the RTW policy posted or made available and signed by current senior management?	**2**			AND	
15.14 Are the roles and responsibilities clearly defined in the company's RTW program/policy and readily available to employees?	**3**		AND		
15.15 Does the RTW process contain steps to be followed as part of the RTW program?	**2**		AND		
15.16 Is there an adequate process for communication with the injured workers?	**2**		AND		
15.17 Have the RTW steps been implemented following an injury?	**2**				
15.18 Has there been changes or improvements made based on the evaluation of the RTW program?	**1**		AND		

15.0 Guidelines - Yukon Supplement: PART C – Workplace Violence & Harassment Prevention

Workplace Violence & Harassment Prevention Information: Reference the Workplace Health & Safety Regulations, Part 19

15.19 There must be a _policy_ statement for the prevention and control of violence and harassment in the workplace that meets or exceeds current WHS legislation (19.01 – 19.02). Policy should be signed by current senior management.

At minimum, the _policy_ will include a statement that:
- Violence is prohibited in the workplace
- Every employee is entitled to a workplace free of violence and harassment
- Employer is committed to eliminating or controlling the risks of violence and harassment
- Employees have the right to bring forward complaints about violence or harassment
- The employer will protect any disclosed information against inappropriate release
- Disclosed information will be the minimum necessary for investigation and control
- The policy is not intended to discourage a worker from exercising their rights under any other law

The auditor must confirm that there are written _procedures_ for the prevention of violence and harassment in the workplace that meet or exceed current WHS legislation (19.03)

At minimum, the _procedures_ must include:
- Measures to eliminate or control workplace violence
- How workers will report to employers about a violent incident
- How workers will report when the employer is the person alleged to have committed the violence or harassment
- What to do if someone reports an incident of violence or harassment
- Following an investigation, how to inform those involved of the results and any corrective action
- How workers can obtain assistance if a violent incident occurs, including treatment or counselling

(Paraphrased from 2020 Amended Regulations)

15.20 Review documentation to determine if all employees (supervisors/workers) have received in-house Violence and Harassment training (e.g. during orientation, safety meetings, presentations, newsletters, NSNY Workplace Harassment & Violence Prevention course, etc.). Confirms through interviews.

Yukon Supplement - PART C: Workplace Violence & Harassment Prevention	Score Weighting	Technique Employed			Points Awarded
		D	O	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 Health and Safety Act and Regulations, along with safety program directives.					
15.19 Is there a written policy and procedures in place for the prevention of Violence and Harassment in the workplace?	**4**				
15.20 Have employees (supervisors / workers) received in-house training on workplace Violence and Harassment prevention?	**2**		AND		
COR® total points possible/awarded	**38**				
SECOR® total points possible/awarded	**34**				

Auditor Executive Summary Report

The auditor's executive summary report is an important part of the audit. This report should address the positives and negatives associated with the audit. The executive summary should contain enough useful information and detailed recommendations so that the company can develop an action plan based on the findings of the audit.

Step 1: Thank the organization for their effort and help during the audit. Identify the individual(s) who assisted you during the audit.

Provide a brief description of the company being audited and describe the scope of the audit (i.e. Start and end dates of the audit, sites visited, number of interviews conducted, and any other relevant information). If variances were made on the number of sites visited or interviews conducted, explain in detail.

Use the following space to complete step 1:

Step 2 - Complete the main body of the report by summarizing the findings of the audit for every Element. For each of the 15 Elements, describe the areas of strength and the recommended areas for improvement. Indicate the % achieved for each Element using the space provided.

ELEMENT	SCORE (%)	
Element 1: **Company Health & Safety Policy** **Score:_____%**	Strength:	
	Recommendations:	
Element 2: **Workplace Hazard Assessment & Control** **Score:_____%**	Strength:	
	Recommendations:	
Element 3: **Safe Work Practices** **Score:_____%**	Strength:	
	Recommendations:	

Element 4: **Safe Job Procedures**	Strength:	
	Recommendations:	
Score:_____%		
Element 5: **Company Rules**	Strength:	
	Recommendations:	
Score:_____%		
Element 6: **Personal Protective Equipment (PPE)**	Strength:	
	Recommendations:	
Score:_____%		

Element 7: Preventative Maintenance **Score:_____%**	Strength:	
	Recommendations:	
Element 8: Training and Communication **Score:_____%**	Strength:	
	Recommendations:	
Element 9: Inspections **Score:_____%**	Strength:	
	Recommendations:	

Element 10: Incident Investigation and Reporting **Score:_____%**	Strength:	
	Recommendations:	
Element 11: Emergency Preparedness **Score:_____%**	Strength:	
	Recommendations:	
Element 12: Records & Statistics **Score:_____%**	Strength:	
	Recommendations:	

Element 13: Legislation Compliance **Score:_____%**	Strength:	
	Recommendations:	
Element 14: Procurement and Contractor Management **Score:_____%**	Strength:	
	Recommendations:	
Element 15: Yukon Supplement _A:_ Health & Safety Committee/Safety Representative _B:_ Return to Work _C:_ Workplace Violence & Harassment Prevention **Score:_____%**	Strength:	
	Recommendations:	

Step 3- Write a concluding paragraph. Remind the company to develop a corrective action plan that addresses areas for improvement identified in the audit findings. Thank the company for allowing you to present the audit and remind them that by focusing on the areas for improvement, their program may be more effective at reducing the impact of workplace injuries.

Use the following space to complete step 3:

COR® Scoring Summary

Company Name:

Auditor Name:

Location Audited:

Audit duration dates:

Section #	Section Name	Possible Score	Actual Score	Minimum Standard	Minimum Standard Achieved YES	Minimum Standard Achieved NO	Auditor Comments (optional)
1	Safety and Health Policy	18		9			
2	Hazard Assessment, Analysis, and Control	45		23			
3	Safe Work Practices	12		6			
4	Safe Job Procedures	21		11			
5	Company Safety Rules	15		8			
6	Personal Protective Equipment (PPE)	22		11			
7	Preventative Maintenance Program	17		9			
8	Training and Communication	46		23			
9	Inspections	30		15			
10	Incident Investigations and Reporting	30		15			
11	Emergency Preparedness	30		15			
12	Statistics, Records, and Document Control	22		11			
13	Legislation	12		6			
14	Procurement and Contractor Management	22		11			
15	Provincial/Territorial Supplement	38		19			
	TOTAL	**380**					

NSNY COR® Certification is based on a Minimum Standard of 80% Overall Score AND 50% or greater in each section.

Actual Score: _____ x 100 = _____%   **Standard Achieved (Yes/No):** _____
Possible Score: 380

SECOR® Scoring Summary

Company Name:					Auditor Name:			
Location Audited:					Audit duration dates:			

Section #	Section Name	Possible Score	Actual Score	Minimum Standard	Minimum Standard Achieved		Auditor Comments (optional)
					YES	NO	
1	Safety and Health Policy	18		9			
2	Hazard Assessment, Analysis, and Control	45		22			
3	Safe Work Practices	10		5			
4	Safe Job Procedures	17		9			
5	Company Safety Rules	15		8			
6	Personal Protective Equipment (PPE)	22		11			
7	Preventative Maintenance Program	17		8			
8	Training and Communication	46		23			
9	Inspections	30		15			
10	Incident Investigations and Reporting	30		15			
11	Emergency Preparedness	28		14			
12	Statistics, Records, and Document Control	12		6			
13	Legislation	8		4			
14	Procurement and Contractor Management	14		7			
15	Provincial/Territorial Supplement	34		17			
	TOTAL	346					

NSNY SECOR® Certification is based on a Minimum Standard of 80% Overall Score AND 50% or greater in each section.

Actual Score: _____ x 100 = _____%   **Standard Achieved (Yes/No):** _____
Possible Score: 346

Post Audit Action Plan

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

The company develops a written action plan after each audit. The company can request that the auditor develops this at the end of the audit. The action plan provides the company with an opportunity to respond to the audit. A complete action plan will:

Prioritize identified deficiencies Determine corrective action(s) Assign responsibility Establish implementation/completion dates Set a date for the next audit

Company Action Plan found on the following page. Please note that this section is a template only.
Dependent on the action plan, the company may choose to develop a more comprehensive action plan in- house.

The Action Plan must be submitted with the audit. The audit will be considered incomplete if the Action Plan has not been filled out.

Action Plan

Created By: Date:

Recommendation	Assigned To	Target Date Completion	Date Completed	Reviewed By

*If there are more recommendations than the page has allowed for, please attach a list of additional action items.

Audit Closeout Meeting

Once the audit is completed, the closeout meeting must take place, usually involving the same personnel that had attended the pre-audit meeting.
At this time the audit is reviewed in its entirety with the company personnel. Credit should be given on where they performed well and recommendations for improvement should be identified for areas that they need to address. The auditor should inform the company of the requirement to develop an action plan based on the results of this audit.

Once the meeting is concluded, allow for questions and have the company's senior representative insert the goal for the next audit and sign off the audit summary sheet on behalf of the company. The auditor will then complete and sign-off the Audit Close-Out Meeting Form.

Audit Close-Out Meeting - Meeting Date: _____		
Attendees:		
Review Executive Summary, recommendations, scoring. Discuss corrective Action Plan requirement.		
Thank you for your time and patience during this audit. All audit information was verified through documentation, observations, and interviewing.		

Audit Submission Checklist

Complete Audit Submission Checklist to ensure that everything has been completed.

Auditor Checklist	Yes	No
Are the company/audit details completed in full? (page 9)		
Is the Scoring Summary Sheet (page 80 / 81) completed in full and scored appropriately?		
Have corrective actions been identified and recorded for each deficiency on the Audit Action Plan? (page 83)		
Have you included a completed List of Active Worksites? (page 13)		
One-word comments do not convey adequate information. Have you ensured that comments provide insight into all verification techniques used to score the questions?		
Auditor Executive Summary includes comments on strengths and lists at least one recommendation for each negatively scored question in the audit document.		
Both the senior company designate and the auditor have signed off on the audit document		
The correct number of interviews have been completed.		
A representative number of worksites were visited. In most cases, this will entail at least 1/3 of the active sites in addition to the office/shop.		
Have you saved/kept a copy of the COR® Audit Instrument for your own records?		
Are all elements of the audit fully completed and supporting information specified (i.e., policy date etc.) or marked as Not Applicable (N/A) with explanations given?		
The company has been provided with the completed audit document and advised of the submission requirement to the NSNY within 45 days and prior to the company's audit due date (whichever comes first).		

Audit Completion

Audit Completion
Company Representative Acknowledgement
I, _____ (company representative print name) by way of affixing my signature on this date the _____ (date), acknowledge that the evaluation of the company health and safety program has been completed and am aware the results of the internal audit review. Signature:
Auditor (Acknowledgement
I _____ (auditor print name) by way of affixing my signature on this date the _____ (date), confirm that I have completed the evaluation of the company's health and safety program and that I have conveyed the results to the above-named company representative. Signature:

*If you are unable to sign this page electronically, please print, sign and submit signed page to NSNY with the audit submission.

Glossary of Terms

Action Plan: A specific written plan of action developed and implemented based on the results of a safety audit, regular safety and health program maintenance or recommendations from within the organization.	**Health and Safety Management System:** means a coordinated system of procedures, processes and other measures that is designed to promote continuous improvement in workplace health & safety.
Auditor: An individual who has the combined qualifications and skill to measure health & safety performance against a given standard.	**Health & Safety Committee (HSC)** A committee of employees and management (not more than 50%) (Equal representation). Required by the WHS Act for employers of 20+ workers.
Audit Process: Refers to the steps in the NSNY COR® program; conducting, submitting, and completing internal/external audits, and any corrective actions.	**Incident**: The event that precedes the loss – the contact that could or did cause the harm or damage to anything in the work or external environment.
Basic PPE: Personal protective equipment usually worn at all times on a worksite. Includes standard items such as hard hat, footwear, safety glasses and hearing protection.	**Internal Audit:** An audit managed and conducted internally by the COR® participating company and submitted to NSNY For review and approval.
CFCSA: Canadian Federation of Construction Safety Associations of Canada.	**Job Hazard Analysis:** A process used to identify, assess, and control the hazards associated with a particular task. Commonly used to develop safe job procedures.
Corrective Action: Actions required by NSNY to improve upon or meet legislative requirements for the purpose of complying with NSNY COR® standard.	**Lock-Out**: means the use of a lock or locks to render machinery or equipment inoperable or use of an energy-isolating device in accordance with written procedures.
Documentation: Information that has been written down (forms, reports, meeting minutes, etc.)	**Management:** Individuals that have overall responsibility for one or more projects, locations, or departments within an organization (manager, superintendent, supervisor, foreman).
Employee: means (a) a person employed at or in a place of employment, or (b) a person at or in a place of employment for any purpose in connection therewith.	**Management review:** A management process for the direct involvement and control of the Safety & Health program.
Employer: "employer" means a person or body who employs one or more workers, whether paid or unpaid, to perform services	**Maintenance Schedule:** Scheduled checks of equipment, vehicles, or tools. Process relies on manufacturer recommendations and legislative standards**.**
Equivalency: Reference to an agreement between the Canadian Federation of Construction Safety Associations within Canada that promotes interprovincial trade while maintaining a defined standard for certification	**Near Miss:** An incident without loss (could have resulted in harm or damage).
External Audit: An audit conducted by the NSNY certified auditor in cooperation with the COR® participating company. The designated NSNY auditor is not to be associated with the participating company.	**Orientation:** A special training session used to familiarize) new, promoted or transferred employees to an organization and /or to a particular work site.
	Policy: Written detailed company protocol. Signed by senior management.
Formal Inspection: An observation of a work site designed primarily to identify record and correct existing unsafe acts and conditions.	**Preventative Maintenance:** Maintaining equipment and facilities in satisfactory operating condition by providing for systematic inspection, detection, and correction to prevent failures and major defects.
Formal vs/ Informal (for training): Formal training means officially recognized through an accredited organization. Informal would be training done in-house (orientations, safety meeting, etc.).	**Prime Contractor:** in respect of a project means a) the person who has entered into a contract with the owner of a project to serve as the prime contractor, or b) if there is no contract referred to in paragraph(a), or if such a contract is not in effect, the owner of the project.
Hazard: means a situation, thing or condition that may expose a person to risk of injury or death.	**Supplier:** A person or body who supplies, sells, leases, installs or provides any of the following to be used at a workplace (a) equipment, (b) any biological, chemical or physical agent, (c) any hazardous substance.

Procurement: is the act of obtaining goods or services, typically for business purposes. Procurement is most commonly associated with businesses because companies need to solicit services or purchase goods, usually on a relatively large scale.	**Task:** A segment of work or job to be undertaken.
Quality Assurance Audit: A follow-up audit (if selected) could be conducted by an NSNY certified Auditor to determine and confirm the selected company is compliant with Yukon WHS Act and Regulations and aligned with NSNY COR® requirements. This will be invoiced at applicable rates.	**Toolbox Meeting:** A short routine meeting designed to address safety issues and training; also called **Tail Gate Meeting**
Readily: Promptly; quickly; easily. *To have documentation readily available for review, accessible for the auditor.* **Reputable:** having a good reputation. "A reputable company"	**Trends:** Patterns of gradual change determined through the analysis of safety statistics to show the rate of increase or decrease of various types of incidents or injuries.
Root Cause (Analysis): To determine the initial cause of the problem and find out why it occurred. **Safe Job Procedure:** A written, specific step-by-step description of how to complete a job safely and efficiently from start to finish.	**Worker:** means (a) a person who performs services for an employer under an express or implied contract of employment or apprenticeship, whether paid or unpaid, (b) a learner, (c) a volunteer, (d) a self-employed person
Safe Work Practice: A set of guidelines, or "Do's and Don'ts", on how to perform a specific task **Senior Management —** Personnel in a company or a department who directly control the overall operation of the company or department, and are in a position to make decisions for the entire company or department.	**Worker's Safety and Compensation Act & Workplace Health & Safety Regulations —** Legislation put in place by the Yukon Government, which sets out obligations and responsibilities for health and safety in a workplace.
Specialized PPE: Personal Protective Equipment that is more specific to particular hazards on a work site. Includes items such as fall protection, respirators, monitors, etc. **Sub-Contractor:** An employer under contract to the Contractor on a multi-employer site. "sub-contractor" means a person who by contract undertakes part of the work at a project site.	**Workers' Safety & Compensation Board (WSCB):** funded by assessment premiums from Yukon employers and investment income. Works with employers and workers to prevent disability. Promotes workplace safety through training, inspection, compliance and investigations, and by providing compensation, service and support to Yukon workers injured on the job.
Supervisor means a person who has charge of a workplace or authority over a worker.	**Workplace:** means a building, site, project site, workshop, structure, vehicle or mobile equipment, or any other location where one or more workers perform or have performed work.