

Auditors sample records from across the whole year, so a missing month can't be fixed after the fact. Set Month 1 as the first month of your 12-month period (usually the 12 months before your COR audit), name an owner for each record type, and tick the box once that month's records are complete and filed. Use the monthly review log on the last page to catch gaps early. Edit the record list to match your certifying partner's audit tool. There's also an Excel version that adds up your progress automatically.

Company	Certifying partner	Month 1 (month and year)	Month 12 (month and year)	Audit date

Record	How often	Owner	MONTH (TICK WHEN COMPLETE)											
			1	2	3	4	5	6	7	8	9	10	11	12
Management leadership and commitment														
Signed health and safety policy communicated to workers	Annually		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Responsibilities written and acknowledged for new or changed roles	As roles change		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Management site visits or inspections	Monthly		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Management meetings with health and safety on the agenda	Monthly		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Enforcement and discipline records	As they occur		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Hazard assessment														
Formal hazard assessments reviewed or updated	As work changes		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Job hazard analyses for higher-risk tasks	As needed		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Field-level hazard assessments completed and reviewed	Daily or each job		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Workers involved in and signed onto hazard assessments	Ongoing		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Hazard control														
Safe work practices and job procedures reviewed	As scheduled		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
PPE issue and inspection records	Monthly		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Preventive maintenance records	As scheduled		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Permits (hot work, confined space, ground disturbance)	As they occur		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Monitoring results (noise, air quality)	As scheduled		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

Record	How often	Owner	MONTH (TICK WHEN COMPLETE)											
			1	2	3	4	5	6	7	8	9	10	11	12
Inspections														
Planned workplace inspections, every site	Monthly		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Pre-use equipment inspections	Daily or before use		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Corrective actions tracked and closed	Monthly		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Qualifications, orientation and training														
Orientation for every new or transferred worker	Each new worker		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Training records and certificates updated	As training occurs		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Competency assessments	As scheduled		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Supervisor training	As scheduled		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Emergency response														
Emergency response plans current for each site	As sites change		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Drills or exercises with lessons learned	As scheduled		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
First aid kit inspections	Monthly		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
First aider certificates current	Ongoing		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Incident reporting and investigation														
Incident and near-miss reports	As they occur		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Investigations with causes and corrective actions	As they occur		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Incident statistics and trend review	Quarterly		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
System administration														
Document control list updated	As documents change		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Health and safety statistics reported	Monthly		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Annual system review or maintenance audit	Annually		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Last audit action plan items closed	Monthly		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

General information, not legal advice. Record expectations differ between certifying partners and audit tools, so match the record list to your certifying partner's current audit tool. CORs and SECORs are issued through the applicable certifying partner.

Record	How often	Owner	MONTH (TICK WHEN COMPLETE)											
			1	2	3	4	5	6	7	8	9	10	11	12
Other affected parties														
Contractor prequalification and orientation	Each contractor		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Contractor monitoring on site	Monthly		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Visitor sign-in and orientation	Ongoing		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Committee or representative														
Committee meetings with minutes	Monthly or as required		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Recommendations and employer responses	As they occur		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Committee or representative inspections	As scheduled		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
Your own records (match your certifying partner's audit tool)														
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
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			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
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			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

Once a month, check the tracker with the people who own each record type. Note any missing or partial records, the reason and what you're doing about it, so the same gap doesn't show up the next month.

Month	Reviewed by	Date	Gaps found	Action taken and owner
Month 1				
Month 2				
Month 3				
Month 4				
Month 5				
Month 6				
Month 7				
Month 8				
Month 9				
Month 10				
Month 11				
Month 12				

Want a second set of eyes? Calgary Safety Consultants runs COR gap reviews and mock audits with real interviews. We help employers prepare; CORs and SECORs are issued through the applicable certifying partner. Read the guide at calgarysafetyconsultants.ca/safety-guides/cor-secor/cor-audit/ or call 1-888-231-0358.