



A COR audit checks whether your health and safety management system is written down, actually in use and understood by your people. Use this checklist with our guide, **How to Prepare for a COR Audit**, whether you're working toward your first COR or preparing for a maintenance or recertification audit. Click a box to tick it, or print it and work through it with your team.

Company

Certifying partner

Audit date

Where are you in the COR cycle?

- ☐ Working toward first COR ☐ Maintenance audit, year 2 ☐ Maintenance audit, year 3 ☐ Recertification

Know your requirements

- ☐ We have our certifying partner's **current** audit tool or protocol, and we know which version our auditor will use.
- ☐ The courses our partner requires are complete and current, such as a leadership course for a senior leader and auditor training.
- ☐ We know how many months of records our partner expects for this audit, the pass marks and the submission deadlines.
- ☐ Every audit and submission deadline for this COR cycle is in the calendar, with a named person responsible.
- ☐ If we work in another province or hold ISO 45001, we've checked reciprocity or equivalency rules with the certifying partner.

If you're working toward your first COR

- ☐ We've registered with the certifying partner for our industry and province.
- ☐ We've compared our system with every element and question in the audit tool, and listed the gaps.
- ☐ Gaps are being closed with the supervisors and workers who do the work, on every site and crew.
- ☐ The system has been running long enough to produce the records our partner expects, typically about 12 months for a three-year COR.
- ☐ A pre-audit, including one-on-one interviews, has been done and its findings fixed.
- ☐ An approved auditor is booked, with site and employee lists ready for sampling.

If you already hold a COR

- ☐ Every recommendation from our last audit report has an owner and has been closed and verified.
- ☐ Inspections, meetings and drills have happened on schedule all year, not just before the audit.
- ☐ New supervisors, crews and sites have orientation, hazard assessments and records from their first day.
- ☐ Our last maintenance audit was used as a real review, and its findings were acted on.
- ☐ For recertification, we've compared our system with the partner's current audit tool, early.



Most certifying partners expect a three-year certification or recertification audit to be supported by about 12 months of records. Tick each record type you can show for the past year. Auditors sample across the whole year, so look for missing months, not just missing forms.

Management leadership and commitment

- ☐ Current, signed health and safety policy, and proof it was communicated
- ☐ Written responsibilities for each role, with signed acknowledgements
- ☐ Evidence of managers taking part: site visits, inspections and meeting attendance
- ☐ Health and safety objectives and the resources set aside for them
- ☐ Records of enforcing the rules fairly and consistently

Hazard assessment

- ☐ Formal hazard assessments covering all work and sites, with review dates
- ☐ Reviews done when work, equipment or sites changed
- ☐ Job hazard analyses for higher-risk tasks
- ☐ Completed field-level hazard assessments from across the year, signed by the workers involved

Hazard control

- ☐ Current safe work practices and safe job procedures
- ☐ PPE requirements, issue and inspection records
- ☐ Preventive maintenance records and equipment certifications
- ☐ Permits such as hot work, confined space or ground disturbance, and any monitoring results

Inspections

- ☐ The inspection schedule, and completed planned inspections for every site and month
- ☐ Pre-use equipment inspections
- ☐ Corrective actions assigned, tracked, closed and verified

Qualifications, orientation and training

- ☐ Orientation records for every new or transferred worker
- ☐ A training matrix, with certificates and tickets on file
- ☐ Competency assessments and supervisor training records

Emergency response

- ☐ Emergency response plans for each site
- ☐ Drill and exercise records, with lessons learned
- ☐ First aid assessments, kit inspections and first aider certificates

Incident reporting and investigation

- ☐ Incident and near-miss reports
- ☐ Investigation reports showing causes and corrective actions
- ☐ Required notifications to the regulator and WCB, and incident statistics and trend reviews

System administration

- ☐ A document control list showing current versions
- ☐ Health and safety statistics and the annual system review
- ☐ The last audit report and action plan, and maintenance audit submissions

Other affected parties

- ☐ Contractor prequalification, orientation and monitoring records
- ☐ Visitor sign-in and orientation records

Committee or representative

- ☐ Member or representative names and training records
- ☐ Meeting minutes, recommendations and the employer's responses, and committee inspections

Before the auditor arrives

- ☐ Documents and records are organized by element and easy to find
- ☐ Current site and employee lists, including part-time and casual workers, are ready for sampling
- ☐ Workers and supervisors know the audit is happening and that interviews are one-on-one

Want a second set of eyes? Calgary Safety Consultants runs COR gap reviews and mock audits with real interviews. We help employers prepare, but we don't issue certificates; CORs and SECORs are issued through the applicable certifying partner. Read the full guide at calgarysafetyconsultants.ca/safety-guides/cor-secor/cor-audit/ or call 1-888-231-0358.