

# Policies and Procedures Manual

Revised  
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Certificate of Recognition  
(COR) Program

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## I. ACKNOWLEDGMENTS

go2hr would like to thank the members of our Technical Advisory Committees and Industry Health and Safety Steering Committee for their contribution and advice during the development of our program. We would also like to extend our sincere appreciation to the members of the Certifying Partners Committee that offered input and provided existing resources, in particular, the BC Maritime Employers Association, BC Construction Safety Alliance, FIOSA/MIOSA, and the BC Forest Safety Council. Their support has assisted us with the development our program and helped us provide the hospitality and tourism sectors with resources to improve their health and safety programs.

## II. go2hr AS A CERTIFYING PARTNER

go2hr was created by the BC tourism industry in 2003, on the recommendation of an 18-month task force involving more than 100 industry representatives and stakeholders around the province, to deal with looming labour shortages and other HR issues. Through its programs and services, go2hr, an independent, non-profit industry association, assists BC's tourism industry to recruit, retain and train employees to support industry growth.

In 2006, WorkSafeBC approached go2hr to take on the role of "safety association and certifying partner" for the tourism, hospitality and foodservices industries. After considerable consultation, five major industry associations (BC Hotel Association, Canadian Restaurant and Foodservices Association, BC Restaurant and Foodservices Association, Canada West Ski Areas Association, Alliance of Beverage Licensees of British Columbia) endorsed this concept and signed letters of support for go2hr to take on this role on behalf of the industry.

A contract with WorkSafeBC was signed in January 2009 and go2hr formed a health and safety team to develop and execute a plan to deliver these services. The overarching goal of this program is to reduce injuries and improve workplace safety for the industry. Health and Safety and Injury Management/Return to Work audit tools for large employers were developed, and in 2010, the first companies became COR certified.

go2hr is recognized by WorkSafeBC as having in-depth industry knowledge and existing networks that allow the organization to effectively promote and develop workplace health and safety to tourism employers.

## III. DISCLAIMER

The information presented in this document is intended for general use and may not apply to all circumstances. It does not cover all aspects of existing legislation and regulation and does not relieve individuals using this document from their responsibilities as prescribed under applicable legislation and regulation. go2hr does not guarantee the accuracy or assume liability for the information presented here.

# CONTENTS

- i. Acknowledgments.....2
- ii. go2hr as a Certifying Partner .....2
- iii. Disclaimer .....2
- 1. Introduction .....6
- 2. Overview of the COR Program.....7
  - 2.1 Natural Alignment Process
- 3. Overall COR Audit Process Flow .....8
  - Table 1. COR Certification Process Flow Chart .....9
- 4. Responsibilities with Respect to COR Audits .....10
- 5. Auditor Quality Assurance.....11
  - 5.1. Preamble.....11
  - 5.2. Application.....11
  - 5.3. External Auditor Selection .....11
    - Table 2. External Auditor Candidate Competency Chart .....12
  - 5.4. External Auditor Training and Certification .....13
    - 5.4.1. Online/self-study .....13
    - 5.4.2. Classroom Session.....13
    - 5.4.3. Student External Audit .....13
    - 5.4.4. Auditor Certification .....14
    - 5.4.5. Auditor Per Diem Charges .....14
    - 5.4.6. Certification Maintenance .....15
  - 5.5. Internal Auditor Selection .....15
  - 5.6. Internal Auditor Training and Certification.....15
    - 5.6.1. Online/Self-study .....16
    - 5.6.2. Classroom Session.....16
    - 5.6.3. Student Internal Audit .....16
    - 5.6.4. Auditor Certification .....17
    - 5.6.5. Certification Maintenance .....17
  - 5.7. Auditor Management for Internal and External Auditors .....17
    - 5.7.1. Personal Certification.....17
    - 5.7.2. Code of Ethics .....18
    - 5.7.3. Auditor Discipline Process .....20
    - 5.7.4. Auditor Decertification Process .....21
    - 5.7.5. Auditor Recertification Process .....21

- 6. Audit Scope and Sampling ..... 23
  - 6.1. Application..... 23
    - 6.1.1. COR Benefits..... 23
  - 6.2. WorkSafeBC COR Program Standards and Guidelines ..... 24
    - 6.2.1. COR Incentive Eligibility ..... 24
    - 6.2.2. Incentive Timing..... 25
    - 6.2.3. Accounts and Classification Units ..... 25
    - 6.2.4. Locations ..... 26
    - 6.2.5. Sites ..... 26
    - 6.2.6. Site Visit Requirements..... 26
    - 6.2.7. Seasons ..... 27
    - 6.2.8. Interview Requirements ..... 28
    - 6.2.9. Full-time Equivalents (FTEs)..... 30
    - Table 3. Minimum Interview Chart ..... 30
    - 6.2.10. Determining Scope for Injury Management/Return-to-Work Audit ..... 31
  - 6.3. Types of Audits ..... 32
    - 6.3.1. Certification Audit..... 32
    - 6.3.2. Maintenance Audit..... 33
    - 6.3.3. Recertification Audit..... 34
    - 6.3.4. Limited Scope Audit..... 34
- 7. Process of Performing an Audit..... 35
  - 7.1. Planning an Audit ..... 35
    - 7.1.1. Audit Plan ..... 35
    - 7.1.2. Communicate to go2hr on Intended Scope ..... 35
    - 7.1.3. Notice of Audit ..... 36
    - Table 4. Flowchart for Types of Audits..... 37
    - 7.1.4. Audit Parameters ..... 38
    - 7.1.5. Joint Audit..... 39
    - 7.1.6. Multiple CU Audit..... 39
    - 7.1.7. Multiple Sites Audit ..... 40
    - 7.1.8. Phased (Seasonal Activities) Audit ..... 40
    - 7.1.9. Types of Audits..... 41
  - 7.2. On-site Audit Activities ..... 45
    - 7.2.1. Pre-audit Meeting ..... 45
    - 7.2.2. Data Collection ..... 46
    - 7.2.3. Last Day of On-site Activities ..... 46
    - 7.2.4. Close Out Meeting..... 46
  - 7.3. Report Writing ..... 47
    - 7.3.1. Minimum Components of COR Audit Report..... 47

- 7.4. Submission for QA .....54
- 7.5. Desktop Audit Review .....54
- 7.6. Release to Company .....55
- 7.7. Certifying Partner Activities .....56
  - 7.7.1 Successful Audit .....56
  - 7.7.2 un-Successful Audits .....56
  - 7.7.3 Auditor Performance .....56
- 8. Audit Quality Assurance.....57
  - 8.1. Quality Assurance of Audit Reports .....57
    - 8.1.1. Approved Tools for Submitting Audits .....57
  - 8.2. Quality Assurance of the Audit Process.....58
    - 8.2.1. Statistical Comparison .....58
    - 8.2.2. Shadow Audit .....58
    - 8.2.3. Verification Audit.....59
    - 8.2.4. WorkSafeBC-Initiated Verification Audit (WIVA) .....61
- 9. Dispute and Resolution Process .....61
- Appendix A - Shadow Audit Form .....63
- Appendix B - COR External Auditor Annual Declaration Form .....65
- Appendix C - go2hr Verification Audit Tool .....67
- Appendix D - Audit Background Information Form .....72
- Appendix E – COR Internal Auditor Declaration Form .....74

# 1. INTRODUCTION

In 2009, go2hr signed an agreement with WorkSafeBC to develop an occupational health and safety division to promote WorkSafeBC's services to all tourism and hospitality industry workplaces in British Columbia. In addition to providing resources on reducing injuries and improving workplace safety, a key component of the agreement includes implementing and administering a Partners in Injury and Disability Prevention Program - Certificate of Recognition (COR program) for industry employers.

go2hr facilitates the delivery of COR program to employers in tourism, hospitality and naturally aligned industries, corresponding mainly with WorkSafeBC subsector 7610 – Accommodation, Food and Leisure Services. The majority of employers participating in the program are from the following classification units:

- 761056 – Overnight and Short-term Accommodation
- 761035 – Restaurants or Other Dining Establishment
- 761034 – Pub, Bar, Nightclubs, or Lounge
- 761038 – Ski Hill or Gondola Ride

This audit policies and procedures manual was developed to ensure that go2hr staff, student auditors, all go2hr certified auditors, and employers have current, accurate information about the Partnerships in Prevention Certificate of Recognition (COR) program, and the standards that they are required to follow. As an integral part of this document, the Quality Assurance program is designed to help ensure audits are performed consistently within the guidelines developed by industry and that the highest standards are maintained. The manual was first developed in December 2009 then revised in May 2012, April 2013, and October 2014

**Auditors: Ensure you are familiar with the requirements presented in this manual. The manual applies to both internal and external auditors. The Policies and Procedures Manual will continue to be updated as required and made available to all auditors and companies involved in COR program.**

## 2. OVERVIEW OF THE COR PROGRAM

The COR program is a voluntary program for employers in BC. Employers enrolled in the COR program implement comprehensive management systems in occupational health and safety and return-to-work. By implementing these systems, as confirmed through prescribed audits, they can earn one or both of the following certificates:

- the Occupational Health and Safety Certificate of Recognition (OHS COR) which is the first level of COR certification
- the Injury Management/Return-to-Work Certificate of Recognition (RTW COR) which may be earned subsequent to, or concurrently with, the OHS COR

The OHS COR recognizes that an employer has implemented an effective occupational health and safety management system. The implementation of such a system exceeds regulatory requirements, and ensures that there are comprehensive management systems in place to provide a safe work environment. This is the foundation of the COR program.

The RTW COR is awarded to employers who have incorporated injury management/return-to-work programs into their health and safety management systems. Return-to-work programs are a proactive way for employers to help injured workers stay at work or return to productive and safe employment as soon as physically possible. They are based on the fact that many injured workers can safely perform productive work during the process of recovery. Returning to work is part of the workers' therapy and recovery.

Financial incentives are paid to employers who achieve COR certification and are in good standing with WorkSafeBC. Employers who earn the OHS COR receive a rebate of 10 per cent of their WorkSafeBC base assessment. Employers who earn the RTW COR receive an additional rebate of 5 per cent of their WorkSafeBC base assessment. These rebates are paid in the year following COR certification.

Even more significant than financial incentives, however, are the costs avoided by preventing workplace injury, illness, and disease. The successful implementation of the occupational health and safety and the return-to-work systems will contribute to a change in business culture. When employers recognize health and safety to be just as important as other critical business factors (e.g., production, quality, and profit), a safer workplace will result.

## 2.1 Natural Alignment

The employer will apply to the certifying partner serving the industry or classification unit(s) in which the employer is registered or another partner for an industry sector in which they intend to work. Information about the certifying partners designated for particular industries may be viewed on the Partners Program section of [www.WorkSafeBC.com](http://www.WorkSafeBC.com). Employers that have difficulty identifying a certifying partner in their industry sector should contact the Partners Program for assistance (via email at [partners.program@worksafebc.com](mailto:partners.program@worksafebc.com) or by telephone at 604-244-6164 or 1-866-644-6164, toll-free).

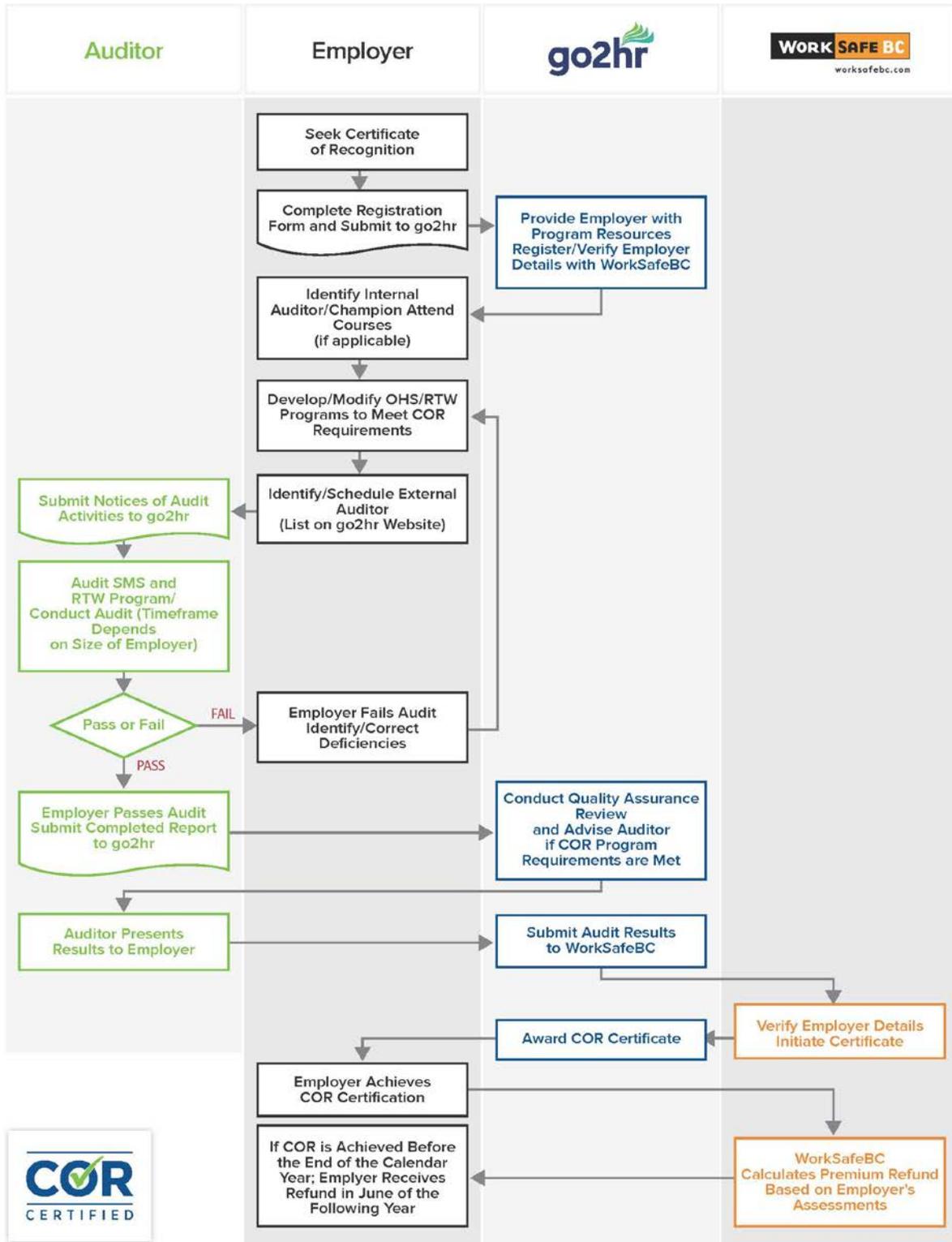
If there is no certifying partner for the industry sector, WorkSafeBC will attempt to align the employer with an existing certifying partner in another industry sector, by the principle of natural alignment, on a case-by-case basis. For example, a window manufacturing and installation company spending a significant amount of time on construction sites would be, for COR certification purposes, considered naturally aligned to the construction industry. Likewise, a landscaping company wishing to contract to perform brush clearing for a client in the oil and gas sector, could be required to obtain COR certification through the certifying partner for that sector in order to successfully bid on the work.

## 3. OVERALL COR AUDIT PROCESS FLOW

The COR audit has two purposes. The first is to provide meaningful recommendations to the company to help improve worker health and safety. The second purpose is to provide evidence that the company is eligible for a COR incentive payment from WorkSafeBC. These two purposes are very different and are complementary to one another.

While the audit tool and process are the main immediate focus of the auditor and the company, it is very important to keep the overall context of the audit in mind when performing the audit. Table 1 outlines the certification process. It describes the interaction between different parties involved in COR certification (e.g. WorkSafeBC, certifying partner, auditor, and employer.)

**TABLE 1. COR CERTIFICATION PROCESS FLOW CHART**



## 4. RESPONSIBILITIES WITH RESPECT TO COR AUDITS

### go2hr:

- Manage the quality assurance program
- Design and update the auditor training program
- Liaise with both auditors and auditees (employers)
- Resolve conflict relating to the audit program
- Liaise with industry and WorkSafeBC regarding industry related issues
- Review audits
- Maintain a current database on COR status
- Ensure control and security of audit documents

### WorkSafeBC:

- Provide assistance and guidance to go2hr on the development and implementation of the quality assurance program
- Approve and oversee go2hr's quality assurance program
- Audit go2hr's quality assurance program
- Provide information on the safety performance of certified companies

### Employers:

- Ensure conflicts of interest are avoided
- Ensure that audits are planned and scheduled
- Specify which areas are audited for COR certification
- Foster a positive audit environment by assisting and cooperating with the auditor so that audit objectives are met
- Provide access to facilities and supporting information as requested by the auditor
- Provide go2hr with feedback on the audit process to assist with continuous improvement
- Provide go2hr with information related to changes in the scope of business (adding or abandoning Classification Units (CU's), changes in ownership, significant mergers or acquisitions)

### Auditors:

- Complete the audit tool as specified
- Follow the Audit Policies and Procedures Manual
- Conform to Code of Ethics
- Act as an ambassador of the COR program and go2hr

## 5. AUDITOR QUALITY ASSURANCE

### 5.1. Preamble

The purpose of this audit policies and procedures manual is to provide a reference document for companies, auditors, students and those involved in the administration and review of go2hr COR audits. While every attempt has been made to include all reasonably expected information, it is recognized that not all circumstances can be predicted and that requirements are subject to continual improvement. go2hr reserves the right to administer the COR audit process following go2hr's internal requirements and WorkSafeBC's COR Program Standards and Guidelines. In case of conflict between this manual and those requirements, those requirements will have priority.

### 5.2. Application

This audit policies and procedures manual applies to internal, external and student audits and auditors where the company being audited is a large employer (having 20 or more Full Time Equivalent Employees, or FTEs).

Wherever the words "audit" or "auditor" are used, these words are intended to apply to all student, internal, and external audits and auditors unless specifically indicated otherwise.

**Internal auditors need to pay particular attention to this application.**

### 5.3. External Auditor Selection

The COR external auditor is a safety professional with experience in formal safety auditing, ideally in the hospitality/tourism industry. Minimum auditor candidate competencies are listed in Table 2 on the following page. It is highly recommended that external auditor candidates have a well-prepared business plan before applying.

All qualified applicants are required to submit a copy of their resume outlining their education and experience in industry, health and safety, training, consulting and auditing to the COR program manager. More information can be found on go2hr's website at:

<https://www.go2hr.ca/CORExternalAuditor>

go2hr will consider all applicants, with priority given to those with higher scores on the competency chart (see Table 2). Meeting minimum scores does not guarantee an acceptance to any particular training course. A go2hr representative will notify all applicants of go2hr's evaluation of their suitability for external auditor training. go2hr will provide a rationale to those applicants it is not able to confirm for training, and offer suggestions for professional development leading to acceptability as a student.

External auditor training will be offered in various locations across British Columbia, depending on the need for additional auditors. For an up-to-date schedule of training sessions visit:

<https://www.go2hr.ca/CORExternalAuditor>

**TABLE 2. EXTERNAL AUDITOR CANDIDATE COMPETENCY CHART**

Parameter	Points	Scoring	Your Score	Minimum Score	Maximum Possible
Education	1	Grade 12 Equivalency		<b>1</b>	<b>46</b>
	2	Points per two-year post-secondary diploma or certificate in progress in any field Max 2 points			
	4	Points per completed two-year post-secondary diploma or certificate in any field Max 8 points			
	5	Points per four-year post-secondary degree in progress in any field Max 5 points			
	10	Points per completed four-year post-secondary degree in any field Max 30 points			
Industry Work Experience (in any role)	1	Points per whole year of industry work experience Max 10 points		<b>2</b>	<b>12</b>
	1	Points per whole quarter employed by or consulting at go2hr as a reviewer and/ or advisor. Max 2 points			
Consulting / Contracting Experience	1	Points per whole year of consulting/contracting experience Max 10 points		<b>2</b>	<b>12</b>
	1	Points per whole quarter employed by or consulting at go2hr as a reviewer and/ or advisor. Max 2 points			
Safety Training and Experience	1	Points per year or part thereof where safety represents at least 25% of your responsibilities Max 10 points		<b>5</b>	<b>46</b>
	1	Points per day-equivalent OHS specific training course. Max 5 points.			
	5	Points per year-equivalent OHS-specific post-secondary education Max 20 points			
	1	Current CHSC designation			
	10	Current CRSP designation			
Auditing Experience	1	Points per Small Business COR audit performed or reviewed Max 3 points		<b>5</b>	<b>24</b>
	2	Points per safety audit performed (including as a team audit member) Max 10 points			
	2	Points per large employer COR audit performed for a BC Certifying Partner other than go2hr Max 10 points			
	2	Points per OHS course with auditing content (i.e., ISO auditor, BCIT diploma, CRSP designation). Max 2 points			
Minimum Total				<b>15</b>	<b>140</b>

## 5.4. External Auditor Training and Certification

Minimum standards for external auditor training require participants to:

1. Attend and successfully complete external auditor training course and attain a minimum of 70% in each of the training requirements (exam/assignment, student audit);
2. Be deemed qualified by the auditor training instructor;
3. Conduct a student audit that passes a qualification review by go2hr within six months of completing the training session;
4. Sign and abide by the Auditor Code of Ethics.

The course is five days in length with approximately eight hours of online/self-study introductory material followed by four days of classroom training. Each external auditor will be required to complete a student audit following the classroom training to become certified.

### 5.4.1. ONLINE/SELF-STUDY

External auditor training is organized into a combination of individual pre-workshop assignments, and a four-day in-class session, comprising approximately 35 hours in total. The pre-workshop assignment component provides an overview of the COR program, explains elements and methodology of an audit process, and includes a working assignment and exam. It must be completed prior to the in-class session. This individual work is designed to give workshop attendees a solid foundation of knowledge about the COR program, and establish an understanding of the opportunities and challenges client organizations may face during the COR certification process.

### 5.4.2. CLASSROOM SESSION

The in-class session is organized as an interactive, educational workshop that provides an overview of the certification process, information on how to prepare for an audit, audit methodology and scoring, and how to complete an audit submission. The skills gained during in-class training will enable participants to conduct external certification and recertification audits, as well as regular maintenance audits and safety gap analyses.

### 5.4.3. STUDENT EXTERNAL AUDIT

Student external auditors are required to conduct their student audits, covering representative operations of the company they find to audit. The student is responsible for finding a host company for their student audit. The student audit may be a gap analysis of a registered, but uncertified company, or a maintenance audit of a certified company. Student auditors must not perform certification or recertification audits.

Student auditors are prohibited from charging any day or hourly rate for their student audit. However, they may recover up to the exact, itemized costs, supported by receipts for travel and accommodation from the client, if the client agrees.

All external auditors are required to abide by go2hr's Auditor Code of Ethics and submit a signed copy to go2hr for retention in the auditor's file. Any breach of the Code of Ethics will be reviewed and assessed based on go2hr's Quality Assurance Program.

After completing the student audit, the student submits the audit to go2hr for a student evaluation. As with any technical document submitted for review, there will always be comments and change requests sent back to the auditor and revisions required. The reviewer functions as an advisor to the auditor, with the two parties working together cooperatively to create a report that meets all technical requirements of the COR program.

It is expected that the final post-review version of the audit report is a polished, professional-looking document that stands up to a "5-year test". This means that, five years after submission, the audit report is able to stand up to a WorkSafeBC process audit as a legal document. It must be internally consistent and understandable by a reader who has no particular experience with the audited company and clearly define why any particular conclusion or score has been reached. The non-structural elements of spelling, grammar and language should be viewed in the context that the report is a binding, permanent legal document. As independent contractors, auditors should always be aware that they are being paid to produce a high-quality product.

#### 5.4.4. AUDITOR CERTIFICATION

Once the student audit has been approved, an external auditor certification is issued by go2hr, and the auditor officially becomes a certified go2hr external auditor.

Auditor contact information is provided by the auditor to go2hr and posted on the go2hr website for client access. The auditor is responsible for reviewing the accuracy of that information and providing updates to go2hr as necessary. This information is considered public and is not subject to any privacy legislation or agreements.

Certification is granted with a 3-year expiry date, which occurs three years after the successful completion of the student audit. Certification may be removed anytime during this 3-year period for various performance and administrative reasons. See the "Auditor Management" section for further details. Auditors may also request that their certification be removed prior to expiry.

#### 5.4.5. AUDITOR PER DIEM CHARGES

**go2hr has established a maximum per diem rate of \$500 which auditors may charge employers for audit services. This figure was established in consultation with the Industry Health and Safety Steering Committee and by reviewing the estimated rebate for BC hospitality and tourism employers that achieve COR certification. It is based on an 8-hour work day for time on site and does not include time to meet with clients or time to complete the audit report. These activities may be billed on an hourly basis provided the time does not exceed the \$500 per diem limit (e.g. \$500 / 8-hour day = maximum \$62.50 hourly charge). Auditors may negotiate other expenses, such as travel and accommodation, with each client.**

### 5.4.6. CERTIFICATION MAINTENANCE

Under WorkSafeBC COR Program Standards and Guidelines, external auditors are required to perform two audits per 3-year certification cycle. It is an auditor's responsibility to complete these and report to go2hr using the Annual Auditor Declaration Form (see Appendix B).

Under COR Program Standards and Guidelines, external auditors are required to complete seven hours of auditor refresher/recertification training during each 3-year certification cycle. go2hr will host auditor training teleconferences, and per-hour attendance at these teleconferences will count towards the seven hour requirement. Check with go2hr for dates and frequency of auditor training.

## 5.5. Internal Auditor Selection

The COR Internal Auditor is a permanent employee of a company, who completes the auditor training for the purpose of conducting the company's internal COR maintenance audits.

A company may have multiple internal auditors if the company is sufficiently large or complex enough to support multiple auditors. This is usually limited to companies with multiple sites located around the province where travel logistics place significant hurdles or where the company's business is diverse enough that one auditor cannot have a reasonable understanding of all its activities.

Companies looking to have an internal auditor should select a candidate who has knowledge of the company and its safety system, as well as the time and ability to prepare an audit report that is similar to the company's external certification report.

All qualified applicants are required to submit a copy of the COR Internal Auditor Training Registration Form, which can be found on go2hr's website at: <https://www.go2hr.ca/CORInternalAuditor>

go2hr will consider all applicants, with priority given to those from COR-registered companies that do not have an existing internal auditor or do not have a sufficient number of auditors, based on the size of the organization and audit complexity. A go2hr representative will notify all applicants of go2hr's evaluation of their suitability for internal auditor training. go2hr will provide a rationale to those applicants it is not able to confirm for training, and offer suggestions for professional development leading to eventual acceptability as a student auditor candidate.

Internal auditor training will be offered in various locations across British Columbia, depending on demand. For an up-to-date schedule of training sessions visit: <https://www.go2hr.ca/CORInternalAuditor>

## 5.6. Internal Auditor Training and Certification

In order to qualify for internal auditor certification, candidates must:

1. Complete both the individual pre-workshop assignments and workshop components of internal auditor training;
2. Achieve a minimum passing grade of 70% on the assignment;
3. Conduct a student audit that passes a qualification review by go2 (achieving at least 70% mark) within 12 months of completing the training session;
4. Sign and abide by the Auditor Code of Ethics.

Internal auditor training is organized into a combination of individual pre-workshop assignments, and a one-day in-class session, comprising approximately 15 hours in total. Following the classroom training, each internal auditor will be required to complete a student audit to become certified.

### 5.6.1. ONLINE/SELF-STUDY

The on-line/self-study component of the training provides an overview of the COR program, explains elements and methodology of an audit process, and includes a working assignment and exam. The work is designed to give workshop attendees a solid foundation of knowledge about the COR program, and establish an understanding of the opportunities and challenges their own organizations may face during the COR certification process. It must be completed prior to the in-class session.

### 5.6.2. CLASSROOM SESSION

The in-class session is organized as a one-day interactive, educational workshop that provides an overview of certification process, as well as information on how to prepare for an audit, audit methodology and scoring, and how to complete an audit submission. The skills gained during in-class training will enable participants to conduct both internal gap analysis audits, as well as regular maintenance audits.

### 5.6.3. STUDENT INTERNAL AUDIT

Student internal auditors are required to conduct student audits which cover all operations of the company they represent. In some exceptional cases, and subject to prior approval from go2hr, the audit may be limited to one part of the company, depending on the size and complexity of the organization. If a company has more than one student auditor, the individuals may complete their student audits for selected parts of the organization. In this case, all work must be completed individually to ensure each student can demonstrate an aptitude for effectively using the audit tool and for completing the audit successfully. Student audits must include all documentation identified on the audit submission checklist.

If the company is already certified, (a) successful student audit report(s) covering the entire organization function(s) as the company's annual maintenance audit. If the company has a single student auditor, then that person must perform an audit of the whole scope of the company. If the company has more than one student auditor, then the students must divide the company into logical portions and each perform a full audit on their assigned portion. After each student audit has successfully passed through the Quality Assurance process, the auditors must then combine their reports into a single report to satisfy the annual COR maintenance audit requirements.

If the company is not certified, student audits perform the function of a gap analysis. Information gained during this process will help the organization to better prepare for the certification audit.

All internal auditors are required to abide by go2hr's Auditor Code of Ethics and submit a signed copy to go2hr for retention in the auditor's file. Any breach of the Code of Ethics will be reviewed and assessed based on the go2hr's Quality Assurance Program.

After writing the student audit, the student submits the audit to go2hr for a student evaluation. As with any technical document submitted for review, there will always be comments and change requests sent back to the auditor and revisions required. The reviewer functions as an advisor to the auditor, with both parties working together to create a report that meets all technical requirements of the COR program.

The Quality Assurance (QA) process for internal auditors focuses on whether the auditor has satisfactorily answered each audit question and has used the correct sampling. It focuses much less on spelling, grammar, style and similar non-critical issues than the external auditor QA.

#### 5.6.4. AUDITOR CERTIFICATION

Once the student audit has been approved, an internal auditor certification is issued by go2hr, and the auditor officially becomes a certified go2hr internal auditor.

Certification is granted with a 3-year expiry date, which occurs three years after the successful completion of the student audit. Certification may be removed at any time during this 3-year period for various performance and administrative reasons. See the “Auditor Management” section for further details. Auditors may also request that their certification be removed prior to expiry.

#### 5.6.5. CERTIFICATION MAINTENANCE

Under WorkSafeBC COR Program Standards and Guidelines, auditor certification is valid for three years. All auditors are required to perform two audits per 3-year auditor certification cycle. If there are multiple auditors in the company, internal auditors may meet this requirement by participating in a team audit, provided each auditor contributes meaningfully to all three types of data collection (Observation, Documentation and Interview). It is an auditor’s responsibility to complete these audits and to report to go2hr using the Annual External Auditor Declaration Form (see Appendix B) or the COR Internal Auditor Declaration Form (Appendix E).

To be eligible for re-approval of their certification, all auditors must also complete at least seven hours of auditor training during the 3-year certification period. go2hr will regularly host auditor teleconferences, webinars, and in-class training, and per-hour attendance at these teleconferences will count towards this seven-hour requirement. Auditors may also apply in writing to go2hr to have relevant safety-related and/or audit-related training and education gained through other agencies applied toward their seven-hour requirement. go2hr is under no obligation to accept any particular request, but will apply consistent decision logic fairly to all auditors. Examples of the courses and training accepted include those organized by the Employers’ Advisers Office, WorkSafeBC, BCIT OHS program and other safety associations.

### 5.7. Auditor Management for Internal and External Auditors

#### 5.7.1. PERSONAL CERTIFICATION

**Auditor certification is issued for the individual, rather than the company. If the person trained as an internal auditor leaves the company, it is company’s responsibility to select another employee for internal auditor training. The auditor is to notify go2hr when they leave a company and if they join a new company that is either certified or eligible for certification.**

## 5.7.2. CODE OF ETHICS

### 5.7.2.1. Overview

go2hr is responsible for overseeing and maintaining the integrity of the internal and external auditor program, which includes addressing issues around professional responsibility requirements.

The nature of the auditors' responsibilities during an audit process place high ethical demands on their conduct and business practices. In order to provide clear guidance on expected behaviour, and to maintain an ethical and cooperative integrity of the COR program, go2hr has developed the Auditor Code of Ethics. The standards set forth in this document provide basic principles in auditor conduct and are the standards expected of all auditors.

Auditors are to conduct themselves in a manner that is consistent with the promotion of cooperation and good relations between auditors and the hospitality and tourism sectors. The confidence and respect these sectors show auditors are largely the result of the cumulative accomplishments of other auditors, together with go2hr. It is therefore in the interest of all auditors that they take a fair and balanced approach when dealing with the membership of the BC hospitality and tourism sector.

The Code of Ethics, along with the go2hr Policies and Procedures manual, provide guidance to auditors certified under the Certificate of Recognition (COR) program. The fact that a particular conduct is not mentioned in this document does not prevent an action from being unacceptable. Therefore, an auditor or institution may be subject to disciplinary action if it is determined they have behaved in a manner that is not in keeping with the Code's standards.

### 5.7.2.2. Applicability and Enforcement

The Auditor Code of Ethics is directed at internal, external, and student auditors, as well as all other individuals working on a COR company audit. Breaches of the Code of Ethics will be reviewed and administered according to go2hr's Auditor Infraction and Disciplinary process as presented in this document. As part of the Code of Ethics, auditors are expected to cooperate fully with any such inquiry.

### 5.7.2.3. Principles

#### 5.7.2.3.1. INTEGRITY

An auditor's integrity establishes trust and provides the basis for acceptance of, and reliance on, his or her judgments. Integrity requires auditors to observe both the form and spirit of auditing standards, as well as to integrate the principles of independence, objectivity, professional conduct, and absolute honesty into their work.

Specifically, auditors shall:

- Follow high standards of honesty, fairness, and ethical conduct;
- Avoid acting or appearing to act in a discriminatory way toward any persons;
- Conduct themselves professionally in their actions, appearance and speech and with all involved in the audit, including companies, employees, contractors, and the staff and contractors at go2hr;
- Respect and act with dedication to the program's goals and vision;
- Conduct business in an honest and fair manner, without actual or apparent conflict of interest;

- Advise go2hr in writing, and with reasons, whenever the activities or conduct of an auditor appear to be in conflict with this Code of Ethics;
- Not be associated with any report, statement or representation known to be false or misleading;
- Respect the integrity of other auditors, recognizing their different experiences and areas of expertise;
- Comply with the Workers Compensation Act and the Occupational Health and Safety Regulations, as well as all other applicable laws and regulations and company standards or requirements;
- Not represent themselves as employees or contractors for go2hr at any time unless associated with verification audit activities.

#### 5.7.2.3.2. OBJECTIVITY

Auditors must exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about audit activities. They must make a balanced assessment of all relevant circumstances and are not to be unduly influenced by their own interests, or by others when forming judgments. It is essential that auditors remain independent and impartial at all times.

Auditors shall:

- Conduct the audit as instructed by the Audit Protocol without bias, prejudice, variance, or compromise;
- Remain free of any actual or perceived influence, interest, or relationship that might otherwise impair professional judgment, independence, or objectivity while providing auditing services;
- Not market their services at anytime during the audit process;
- Disclose any actual, potential or perceived personal conflict of interest during initial contact or communication with a client. External auditors are not permitted to audit companies where they have an affiliation through family, where they have engaged in work during the previous 12 months, or from whom they have received an economic benefit beyond that specified in the COR Standards and Guidelines;
- Maintain their independence and not accept any gifts or gratuities which could influence, compromise, or threaten the ability of the auditor to act and be seen to be acting independently;
- Maintain both actual and perceived political neutrality, in order to discharge their duties and responsibilities in an impartial way.

#### 5.7.2.3.3. CONFIDENTIALITY

Auditors must respect the value and ownership of information they receive during an audit and must not disclose information to any third party, orally or in writing, without appropriate authorization and unless there is a legal or professional obligation to do so.

Auditors shall:

- Maintain the confidentiality of information received during the audit;
- Be prudent in using information acquired in the course of their work;
- Take all reasonable steps to protect the confidentiality of audit results, data collected, and anonymity of interviewees;
- Not use audit information for any personal gain, financial or otherwise, or in a way that would be contrary to the law, the audit process, or detrimental to go2hr;
- Not share, either for profit or otherwise, any COR company process or program materials developed by or for go2hr without the written permission of go2hr.

#### 5.7.2.3.4. COMPETENCY

Auditors must apply the knowledge, skills, and experience required to perform auditing services.

Auditors shall:

- Engage in those services only for which they have the necessary knowledge, skills, and experience and not assign or subcontract any obligation of the audit program without specific case approval from go2hr;
- Be consistent and accurate in their evaluations of data obtained through documentation, interviews, and observation, both within each audit and from audit to audit;
- Strive to be complete in their evaluations and avoid any omissions, that may otherwise alter the audit outcome;
- Separate fact from opinion clearly and concisely in their evaluations. Support for auditor opinions must be derived from quantitative, measureable data;
- Serve the client in a conscientious, diligent, respectful, and efficient manner;
- Conduct themselves with the utmost professionalism and without bias or prejudice at all times when conducting audits or communicating with clients and go2hr;
- Assist clients with any post-audit questions, such as those related to recommendations or explanations of results;
- Commit to honest, thorough and straightforward communication in the performance of audit activities;
- Continually seek to maintain and improve the proficiency, effectiveness, and quality of their skills;
- Willingly and openly share their collective knowledge and always be in pursuit of the truth and enhancement of health and safety in the hospitality and tourism sectors;
- Uphold the excellence of the COR program and work to improve the audit process and program.

### 5.7.3. AUDITOR DISCIPLINE PROCESS

Various situations may result in an auditor being subject to a disciplinary process, as outlined in the Code of Ethics. All auditors (internal, external and student) are subject to these standards.

The Code of Ethics defines the accepted practices to which the auditor must adhere during the audit process. Violations of these practices are considered to be serious in nature, and will result in swift intervention by go2hr. Depending on the infraction, violations of the Code may result in the following sanctions:

- A formal letter advising the auditor of the violation, a restatement of the required standard, and a stipulation that this behavior does not reoccur;
- A requirement that the auditor undertake retraining;
- Suspension of the auditor's certification;
- Permanent removal of the auditor's certification.

All sanctions against an auditor will be preceded by a full investigation. This will provide the auditor with an opportunity to present evidence or logic as to why disciplinary measures should not be applied. go2hr is not required to apply progressive discipline in situations which are serious in nature and warrant severe penalties, up to and including permanent removal of the auditor's certification. Discipline may include a combination of sanctions, such as suspension and training requirement.

Formal letters and retraining requirements are issued at the discretion of go2hr's COR Program Manager. Suspension and removal of certification also require the approval of go2hr's Director of Industry Human Resource Development. In the event of an alleged breach of the Code of Ethics, auditors are expected to cooperate fully with an inquiry. Failure to cooperate is itself a violation that may be subject to disciplinary action.

## 5.7.4. AUDITOR DECERTIFICATION PROCESS

Auditors may be decertified for disciplinary reasons (see Section 5.7.3) or for failing to meet administrative requirements. Decertification may be limited to go2hr or, in serious cases, expanded to all Certifying Partners .

### 5.7.4.1. *Administrative Decertification*

Auditor decertification may result from failing to meet certain administrative requirements. These include:

- A failure to attend at least seven hours of training within the 3-year certification cycle;
- A failure to submit at least two eligible COR audits within the 3-year certification cycle.

Auditors are responsible for maintaining their own records and staying aware of their status with respect to these requirements. The Auditor Annual Declaration (see Appendix B) is designed as an annual reconciliation of requirements between go2hr and the auditor.

At the end of the 3-year certification cycle, go2hr issues either a new certificate with a new 3-year expiry, or a formal letter to the auditor advising them that they have lost their certification for administrative reasons.

### 5.7.4.2. *WorkSafeBC*

In addition to the above-mentioned auditor discipline and decertification processes, go2hr may apply to WorkSafeBC to have an auditor's name added to a list of decertified auditors. This list is available to all Certifying Partners in the province, but is not publically accessible. WorkSafeBC controls the list and defines the standards of evidence required for auditors to have their names added. Requirements include a significant and / or repeat disciplinary infraction(s) that are fully documented, with auditors given the opportunity to appeal to go2hr and WorkSafeBC before their name is added to the list, either temporarily or permanently.

## 5.7.5. AUDITOR RECERTIFICATION PROCESS

### 5.7.5.1. *Recertification After Administrative Loss*

#### 5.7.5.1.1. EXTERNAL AUDITORS

Following decertification due to an administrative deficiency, external auditors may develop an individual corrective action plan in consultation with go2hr. These plans may include:

- Specific training and or mentoring;
- A specific demonstration of theory competency;
- A student audit performance;
- A specific performance as a member of a team audit;
- A specific performance on a non-go2hr audit.

Under no circumstances is an auditor permitted to resume external auditing after an administrative loss of certification without undertaking some training and / or completing an audit performance. Requirements will be based on actions determined appropriate to address the scope and scale of the administrative deficiency.

#### 5.7.5.1.2. INTERNAL AUDITORS

Internal auditors, who are decertified only for failing to attend sufficient refresher training, must attend sufficient refresher training hours within one calendar year before recertification may be granted. Any auditor who does not attend sufficient training for four years must apply for internal auditor training as a new candidate and complete the entire course and student audit process again.

Internal auditors who are decertified for failing to submit sufficient audits, but who have attended sufficient training will have their next audit considered a student audit, if that audit is completed within one year of the loss of certification. Any auditor who does not submit an audit for four years must apply for internal auditor training as a new candidate and complete the entire course and student audit process again.

Internal auditors who are decertified for failing to submit sufficient audits and who have not attended sufficient training must apply for internal auditor training as a new candidate and complete the entire course and student audit process again.

#### **5.7.5.2. After Disciplinary Loss or Suspension of Certification**

Except in the case of permanent decertification penalties, each disciplinary sanction will include a clear and specific process the auditor may follow to regain certification.

The process may include:

- Specific training, including repetition of the full auditor course;
- A full or partial student audit;
- Shadow auditing, with costs that may be borne by the auditor;
- Specific temporary or permanent performance requirements, which may be higher than the standards described in this or other manuals or procedures;
- Specific temporary or permanent interim audit reporting requirements;
- Permanent or temporary restrictions in the number or type of clients served or audits performed.

## 6. AUDIT SCOPE AND SAMPLING

### 6.1. Application

go2hr is one of several Certifying Partners (CP) in the province. WorkSafeBC coordinates the activities of all the CP's to help ensure fairness across industry sectors. As such, WorkSafeBC sets *COR Standards and Guidelines* located at:

[http://www.worksafebc.com/insurance/partners\\_program/default.asp](http://www.worksafebc.com/insurance/partners_program/default.asp)

These rules define how all audits must be performed and administrated, but allow each Certifying Partner the ability to manage the details of the process to reach desired outcomes.

#### 6.1.1. COR BENEFITS

Employers possessing one or more Certificates of Recognition (CORs) make a strong statement about how much they value their workers and how committed they are to ensuring workers and workplaces are safe and secure from injury, illness and disease.

##### 6.1.1.1. Employer Benefits

The reward for this new, higher level of accountability is, first and foremost, a safer, healthier workforce — however there are important financial benefits as well. WorkSafeBC provides incentive payments to COR certified companies in good standing. Incentive payments are calculated using a company's assessable payroll and the base rate for each Classification Unit (CU) for the incentive year.

Employers who obtain the [Health and Safety COR](#) will receive an incentive payment using the following calculation:

Employer's reported assessable payroll x CU Base Rate divided by \$100 of assessable payroll x 10%.

For example, if your company's reported payroll was \$2 million and your CU base rate was \$2.00, your incentive payment would be \$4,000:

$$(\$2,000,000 \times \frac{\$2.00}{\$100}) \times 10\% = \$4,000$$

If your company also completed the [Injury Management/Return-to-Work COR](#) it would be eligible for an additional 5%, (or \$2,000).

$$(\$2,000,000 \times \frac{\$2.00}{\$100}) \times 5\% = \$2,000$$

Over time, with reduced injuries and shorter claims duration, certified employers' experience-rated WorkSafeBC premiums will reflect additional savings.

## 6.2. WorkSafeBC COR Program Standards and Guidelines

All COR Programs in British Columbia are coordinated by WorkSafeBC. WorkSafeBC regulates all Certifying Partner activities via the key document *COR Program Standards and Guidelines*. This document is available on the WorkSafeBC web site at:

[http://www.worksafebc.com/insurance/partners\\_program/assets/standards\\_guidelines.pdf](http://www.worksafebc.com/insurance/partners_program/assets/standards_guidelines.pdf) and is updated from time to time under the sole control of WorkSafeBC. It defines responsibilities of WorkSafeBC, go2hr (and all other Certifying Partners), auditors and companies within the COR program. WorkSafeBC is responsible for managing the program and issuing COR incentive payments. If go2hr reports that a particular company's Classification Unit (CU) has passed a COR audit, WorkSafeBC will then consider that CU for a COR incentive payment. Neither the auditor nor go2hr has any influence over this process beyond accurately reporting and tracking the activities of companies, accounts and their CUs.

### 6.2.1. COR INCENTIVE ELIGIBILITY

The COR incentive payment is only issued if the company is "in good standing" with WorkSafeBC.

**A participating employer may be ineligible for COR rebate when any of the following conditions apply:**

- The employer has engaged in activity which would cause WorkSafeBC to consider imposing, or has resulted in WorkSafeBC imposing, an administrative penalty (see WorkSafeBC Prevention Policy D-12-196-1);
- The employer has suppressed claims for compensation or suppressed claims costs;
- The employer has an outstanding balance related to its WorkSafeBC employer account;
- The employer has failed to register with WorkSafeBC;
- The employer has not reported payroll (for the applicable CU) to WorkSafeBC for the audit year;
- The employer has engaged in other misconduct considered by WorkSafeBC to be inconsistent with participation in the COR program.

Employers will remain ineligible for COR rebates until the condition causing the ineligibility has been resolved. Where the employer's activities have resulted in it being ineligible for the COR rebate and where an appeal process with WorkSafeBC is in place and an appeal is being pursued by the employer, the employer's eligibility for COR rebate will not be determined until the appeal process has been completed.

If the appeal at WorkSafeBC is resolved in favour of the employer, the COR rebate will be issued. If one or more of the above conditions causing ineligibility applies, for which there has been no successful appeal by the employer, the employer will be ineligible for COR rebate applicable to any calendar year to which the ineligibility condition relates.

To maintain the integrity of the COR program, any employer who is discovered to have provided fraudulent information at any point during the COR certification and rebate process, may lose their COR status and be required to repay any previously issued rebates.

### 6.2.2. INCENTIVE TIMING

Incentives are paid annually, come directly from WorkSafeBC, and are based on the previous year's audit and payroll for each CU. In order to be eligible for an early summer incentive cheque, companies must have their audits performed by the end of previous calendar year (or by the anniversary date of maintenance or recertification audits) and submit their annual payroll assessment reports to WorkSafeBC on time. For those companies who have complex CU issues or who are late in submitting their assessment information, WorkSafeBC provides a few additional opportunities (roughly one per quarter) to have an incentive cheque issued.

### 6.2.3. ACCOUNTS AND CLASSIFICATION UNITS

**A key concept in relation to COR auditing is "Classification Unit" abbreviated as CU. WorkSafeBC, among its many other functions, is an insurance company, insuring a company's workers against occupational illness and injury. Companies who engage in different risk activities pay different premiums, on the basis that a higher risk activity has a higher probability of generating a claim cost. Every company is assigned to at least one CU. Additionally, if a single company has several logical divisions what are large and have significantly different risk levels (such as a ski hill vs. a restaurant vs. a golf course), it may have multiple CUs.**

When a company receives a successful COR audit score, go2hr recommends that WorkSafeBC issue a COR rebate (either 10% or 15% of the company's basic assessment) for the CUs that are properly sampled and declared in the audit. If a CU's activities are not included in the audit's documentation, observation and interviews, the company may be ineligible for a COR rebate on that CU (or, potentially, on any CU). This can have a significant economic impact on the company.

Only properly named, numbered and reported CUs are eligible for the COR incentive payment. Accordingly, the auditor must specifically identify company accounts using their full legal names, trade names (if any) and WorkSafeBC registration numbers, as well as name and number of the assigned CUs. Additionally, activities in the audit need to describe activities representative of those CUs in order to be valid.

If a company adds or changes a CU from one year to another, it must use an external certification audit to include that CU. Similarly, if the company's ownership changes, an external certification audit may be required. (Please consult go2hr for more details.) Finally, if a company has not previously attained Injury Management certification, an external auditor must be used to add it for a COR incentive payment. Internal auditors cannot certify Injury Management for the first time. They can only audit it if it has been previously certified by an external auditor, even if the OHS component is in a maintenance year.

## 6.2.4. LOCATIONS

CUs in each company have a location, or locations, defined by WorkSafeBC. These are usually the permanent BC mailing addresses of the company's operations. However, if the company has not communicated certain operational changes to WorkSafeBC, its official list of locations may not match the actual company operations. During the audit planning stage, the auditor must communicate with go2hr to help ensure all locations are correctly identified. Additionally, auditors should note that a single location may have several sites. For example, a hotel may be listed as a company's official location. Meanwhile, the restaurant across the street, at an entirely different address, is also thought to be part of the overall location. In this case, the auditor would need to cover both the hotel and restaurant, since the activities undertaken at each site are very different.

## 6.2.5. SITES

For the purposes of COR audits, a "work site" will be defined as "any location where a worker is, or is likely to be, engaged in any occupation for their employer." As discussed above, a WorkSafeBC location may have one or more sites. An example of a single location with of multiple sites would be a resort which operates a restaurant, hotel and golf course.

## 6.2.6. SITE VISIT REQUIREMENTS

An organization's Occupational Health and Safety (OHS) and Return to Work (RTW) audits must encompass a representative sample of all operations, activities and facilities within its control where permanent, casual or temporary staff may work. It is important for auditors to note which facilities were audited in previous certification or maintenance audits, so that different locations may be audited. Additionally, the organization's head offices (or regional offices, if the head office is located out of province) are to be included in each year's audits. As part of the background information gathering process, an auditor, in close cooperation with the company, must list all locations and sites and decide which to include in the audit.

Work sites included in the audit must be representative of the overall company operations. The following criteria shall be used to determine which work sites are to be included in the scope of an audit:

- Employers that operate under multiple classification units (CUs), must ensure activities under all applicable CUs are represented in the site sampling;
- If the size of the work site or the number of employees at each site differs greatly from site to site, the work sites sampled must represent a cross section that reflects these differences;
- Sites where conditions may vary or are not consistent with the majority of sites inside the operation must be included;
- The main office / site must be included (in both certification and maintenance audits).

Taking the above criteria into consideration, the number of work sites included in the scope of the audit must also meet established minimums. If the scope of the company includes:

- 1 – 2 sites, all sites must be visited.
- 3 – 4 sites, at least 2 sites must be visited.
- 5 – 8 sites, at least 3 sites must be visited.
- 9– 30 sites, one third of the sites must be visited (all calculations must be rounded up to the nearest whole number).
- More than 30 sites, go2hr must be consulted prior audit planning. The consultation will be a joint discussion between the auditor, the company and go2hr. This consultation will result in the completion of an Audit Background Information form, indicating any necessary supplemental information that fully describes the intended audit activities.

When an employer's operation includes more than nine fixed sites, all sites must be included in an audit at some point during the 3-year audit cycle.

Each site visit must consist of at least observations and site-specific record review (if the records were not already reviewed at the main office). Depending on the complexity of the company, it may not be necessary to perform interviews at all sites that are visited.

### 6.2.7. SEASONS

Some outdoor hospitality operations are seasonal in nature, such as those that relate to snow sports or golf. In these cases, seasonality must be taken into consideration, with the audit performed when the relevant activities are running at a minimum of 70% operating capacity. This helps ensure that the audit is representative of how the company operates during their "normal business" times. While it is recognized that this is often the least convenient time for an audit, it is an unavoidable requirement.

For companies with activities that do not peak at the same time of the year, multiple audit visits are often required to complete a single audit report. An example of a company that would require multiple visits is a resort operation which offers golf and mountain biking in summer, ski and related activities in winter, and runs a hotel and restaurant year round. If the activities are in separate CUs then two visits are required each calendar year to complete one annual audit. If the activities are within the same CU, then all activities must be sampled in the 3-year COR certification cycle.

Each visit must utilize all three methods of collecting data – observation, documentation and interviews (ODI) – and these methods must be applied to the activities of each season in the 3-year cycle of the audit. It is not sufficient to review documentation from summer operations in the winter season or to interview summer workers who have returned for the winter season without performing actual observations of the summer activities. Companies whose operations are seasonal should consult go2hr prior to planning and performing their audits.

## 6.2.8. INTERVIEW REQUIREMENTS

The interview sample contained within the audit scope must be representative of both the size and complexity of the organization being audited. All business units and levels of the organization must be reflected in the sample. Depending on the nature of the operation, sample sizes well above the suggested minimums may be required.

To be “representative” the interview sample must consider all the following variables:

Parameter	Consideration
Seniority	Include a cross section of employees, from new hires to experienced staff.
Department / function	Include staff from all departments.
Levels of employees	Include a cross-section of employees from every staffing level including management and part-time and casual workers. When the audit scope encompasses more than one work site, include a sampling of staff from each work site.
Shifts	Include a sampling of employees from all shifts.
Company history	If the company has recently undergone a reorganization or other restructuring, include employees from both the “old” and the “new” parts of the company.
WorkSafeBC CUs	When the scope of the audit encompasses more than one WorkSafeBC classification unit (CU), include a sampling of staff from all CUs.
Sites	The number of sites included in the audit must be representative of the overall company operations (see criteria for determining representative site sampling). Interview sampling is always based on total employee numbers, not the total number of employees working at the sites included in the current year’s audit.

In addition, when conducting interviews, ensure some interviewees are:

- Responsible for the investigation of workplace incidents/accidents (typically supervisors and managers);
- Members of the Joint Occupational Health and Safety Committees (for section 8 in SMS audit tool); and
- Assigned responsibilities in an emergency situation.

If, during the interviews, it is discovered that none of the interviewees have these responsibilities, additional interviews must be conducted. If the RTW audit is being conducted, the person responsible for coordinating return to work options must also be interviewed, as well as first aid attendants.

### **6.2.8.1. Steps for Determining Correct Interview Numbers**

- Step 1 - Determine the total number of full time equivalent employees (FTEs) (see Section 6.2.9 for more information.) Referring to Table 3, determine the corresponding minimum successful interview count. To ensure the required number of interviews is achieved, the auditor should increase this minimum number by approximately 10%, in order to create an adequate range. (e.g. A company with 200 employees must conduct a minimum of 26 interviews; thus the range is 26 – 30 interviews and accordingly, the auditor should schedule 30 interviews.)
- Step 2 - Divide the company into natural departments based on its organizational charts.
- Step 3 - Determine the number of employees per department.
- Step 4 - Determine the number of interviews within each department (round up to nearest even number). Consider the elements of representative sampling (see the chart above) to achieve fair representation.
- Step 5 - Add up totals from each department. This grand total should fall within the range arrived at in Step 1, taking into account the size of the organization and number of departments.
- Step 6 - If the total number of interviews does not fall within the pre-determined range, add or subtract interviews from each department (based on their percent of the total) until the number falls within the range.
- Step 7 - Select staff to interview who are managers, supervisors, and workers.

**To avoid confusion over sampling requirements, please contact go2hr for assistance in determining a representative sample, prior to proceeding with the audit.**

Auditors must observe the following guidelines when carrying out interviews:

- Group interviews are not permitted.
- Audit meetings involving employee groups or informal group interviews for the purpose of gathering information about the overall operation processes to assist audit planning are allowed. However, no group meeting or informal interview results should be used to meet interview sample requirements or for scoring purposes in the COR audit report.
- When a third party is in attendance during individual interviews, such as for the purpose of translation or because it is not reasonable to exclude them due to health and safety reasons (e.g. requesting an employee exit the interview premises in inclement weather), prior consent should be obtained from the interviewee. The third party cannot be included in the interview counts.
- The minimum number of interviews required must meet the specified requirement of the Minimum Interview Requirements Chart (see Table 3).

### 6.2.9.FULL-TIME EQUIVALENTS (FTES)

The minimum interview requirements detailed in Table 3 are based upon full-time equivalent employees (FTEs). **To calculate the number of FTEs, determine total annual payroll hours and divide by 2080 hours.** The company is responsible for providing FTE counts to external auditors. It is not intended that external auditors be granted access to payroll hours or costs at any time in the audit process. The following chart provides basic guidance for the number of interviews required.

**TABLE 3. MINIMUM INTERVIEW CHART**

Total Staff	Minimum Interviews	Total Staff	Minimum Interviews	Total Staff	Minimum Interviews
<5	all	234-240	35	560	66
5	4	241-249	36	561-570	67
6 to 7	5	250-299	37	571-580	68
8	6	300-302	38	581-595	69
9	7	303-309	39	596-605	70
10 to 11	8	310-312	40	606-615	71
12 to 14	9	313-315	41	616-625	72
15-16	10	316-320	42	626-638	73
16-17	11	321-325	43	639-645	74
18-20	12	326-329	44	646-655	75
21-24	13	330-332	45	656-665	76
25-27	14	333-335	46	666-678	77
28-30	15	336-338	47	679-689	78
31-36	16	339-341	48	690-699	79
37-44	17	342-348	49	700-705	80
45-49	18	349-354	50	706-719	81
50-64	19	355-359	51	720-729	82
65-74	20	360-364	52	730-740	83
75-88	21	365-369	53	741-749	84
89-99	22	370-374	54	750-790	85
100-120	23	375-379	55	791-840	86
121-149	24	380-389	56	841-959	87
150-199	25	390-399	57	960-1000	88
200-204	26	400-475	58	1001-1499	89
205-209	27	476-499	59	1500-1800	90
210-212	28	500-509	60	1801-2500	91
213-214	29	510-519	61	2501-4000	92
215-220	30	520-529	62	4001-4999	93
221-222	31	530-539	63	5000-9999	94
223-226	32	540-549	64	10000-24999	95
227-230	33	550-559	65	25000+	96
231-233	34				

### 6.2.10. DETERMINING SCOPE FOR INJURY MANAGEMENT/RETURN-TO-WORK AUDIT

Injury Management (IM) / Return-to-Work (RTW) programs are a proactive way for employers to help injured workers stay at work or return to productive and safe employment as soon as physically possible. They are based on the fact that many injured workers can safely perform productive work during the process of recovery. Returning to work is part of the worker’s therapy and recovery.

Effective IM/RTW programs are initiated when the worker first contacts the employer. At this time, an early intervention procedure can be initiated to determine if the worker is capable of staying at work performing their normal duties or modified duties while the injury heals. These at work programs are an effective tool utilized to ensure healing occurs while the injured worker is still performing meaningful and productive work. In many cases, this prevents any time loss from work. If workers do need time away from work, the IM/RTW program can reintegrate the injured worker into the workforce much earlier.

The RTW Plan Chart below indicates the number of RTW plans that must be reviewed. An RTW plan is any case where a worker is on a Stay-At-Work or Return-to-Work program. The auditor should review RTW Plans that represent variance in restrictions accommodated, duration of RTW Plan, and worker’s pre-injury/illness job/department. The auditor should review both completed and ongoing RTW plans. (If there are no ongoing RTW plans in place at the time of the audit, the auditor should include the most recent RTW Plan in the review.) If there have been no injuries the question should be marked as N/A and the points for the element adjusted accordingly.

While a company IM/RTW program may include non-occupational injuries and illnesses in its scope, there is no requirement in this audit for their inclusion. Plan sampling must be based on at least the occupational cases but may include non-occupational cases.

RTW PLAN CHART								
<b># of RTW Plans</b>	1 - 8	9 - 11	12 - 13	14 - 15	16 - 17	18 - 19	20 - 23	24 - 27
<b>Min # reviewed</b>	all	8	9	10	11	12	13	14
<b># of RTW Plans</b>	28 - 34	35 - 44	45 - 54	55 - 67	68 - 80	81 - 100	>100	
<b>Min. # reviewed</b>	15	16	17	18	19	20	20%	

**Companies must obtain at least an overall mark of 80% in this element to meet the COR Standards, regardless of any achievement on the OHS components.**

### 6.3. Types of Audits

Currently, go2hr offers COR certification to large employers, defined as a business with 20 or more full-time equivalent (FTE) employees.

#### 6.3.1. CERTIFICATION AUDIT

##### *When Not Previously Certified*

Certification audits are required in year one and year four of the COR program. Certification audits in year four are also referred to as “re-certification audits”.

These audits will be conducted using go2hr’s tourism and hospitality industry-specific audit tools and will be conducted by a go2hr-certified external auditor. Auditors must notify go2hr of their intent to conduct an audit, by submitting the Notice of Audit Activities form two weeks prior to starting the audit. The auditor must NOT proceed with the audit without receiving plan approval from go2hr. Proceeding without prior approval will result in auditor discipline, since it can result in an invalid audit submission to WorkSafeBC for some or all of the CUs in the company.

##### **To meet the minimum COR standards, each certification audit must:**

- **Attain 80% overall score;**
- **Attain a minimum of 50% in each element;**
- **Meet the established quality assurance standards of both go2hr and WorkSafeBC.**

Once the audit has been performed on site by an external auditor, the completed audit report must be submitted to go2hr within 14 days of the last day on site. If this is not possible, the auditor must receive permission for an extension by go2hr.

##### *New or Changed Classification Units*

If there is a change in a company’s CUs, ownership, or WorkSafeBC account, or if it undergoes significant expansion or contraction, an early recertification audit may be required. Consult with go2hr if any of these conditions apply to your company.

Companies and internal auditors need to compare the current company operations with the operations from the last external audit to determine if an external audit is needed. While the company’s ownership, WorkSafeBC account and CUs will be reviewed by go2hr during approval of the audit plan, waiting until then may provide insufficient lead time for the company to obtain an external auditor before their anniversary date or the end of their operating season.

### 6.3.2. MAINTENANCE AUDIT

#### ***Applicability***

Once the employer achieves COR certification, successfully completed maintenance audits are required in years two and three in order for the company to maintain its certification status. The purpose of the maintenance audit is twofold. First, to show that the company is maintaining the system originally audited by the external auditor during the certification audit. Secondly, to provide an ongoing status check on the progress of recommendations made during the last certification audit. These audits may be conducted by external auditors, employees of the company who are go2hr-certified internal auditors, or student internal or student external auditors. Audits must be completed using the go2hr approved audit tool and meet the Quality Assurance (QA) standards set out in Section 8 of this manual. Maintenance audits must be completed within six to twelve months following the previous audit (certification or maintenance). Employers who fail to submit evidence that a maintenance audit has been successfully completed before the previous audit's one year anniversary date will not be eligible to receive their COR incentive.

**Maintenance audits are only applicable if the company's operations have not changed since the last external audit. The company ownership, account numbers, CUs, locations, scale and scope MUST be the same as the last certification audit. Otherwise, it is likely that another recertification audit will be required. Contact go2hr for assistance in this area.**

#### ***Maintenance Audit Performed by Internal Auditor***

Most maintenance audits are performed by internal auditors. Only certified or student internal auditors are qualified to perform maintenance audits. If a company is large, complex, geographically diverse or is transitioning from one internal auditor to another, it is possible for multiple auditors to complete the audit as a "team audit".

#### ***Team Audit Process and Guidelines***

Each team audit must have a plan for coordinating activities of the various auditors. This plan must include who will go where and how the group will combine their raw notes into a single finished report. All auditors on the team will receive credit for one annual audit as part of their personal performance requirement. All team audits must be approved in advance by go2hr. The audit team must select one member to act as the Quality Assurance (QA) contact for go2hr and will indicate to go2hr during the Notice of Audit Activities process who that person is. The QA contact will submit the audit to go2hr and receive the QA feedback. The team will determine how to manage necessary revision requests and funnel them through the QA contact back to go2hr.

#### ***Maintenance Audits Performed by External Auditors***

A company may choose to have an external auditor perform their audit in a maintenance year. This often occurs when the company determines that it is more cost-effective for an external auditor to be auditing for five days rather than losing a critical HR or safety staff person for a more extended period. Some companies also value an external set of eyes evaluating their business every year. Based on approval by WorkSafeBC, a maintenance audit performed by an external auditor could count as a re-certification audit that has been completed ahead of schedule.

### 6.3.3. RECERTIFICATION AUDIT

The recertification audit is performed in year four of the audit cycle. It uses the most current audit tool available and has the same requirements for success as a certification audit. It must be completed by a certified external auditor.

Upon successful completion of the audit (whereby the company achieves an overall score of 80% or more, with no element scoring less than 50%), a new certificate is issued. Depending on company's preference, the expiry date of the new certificate may be set to the same date of expiry as the old certificate or the last day of on-site data collection activities of the new audit. If the company does not inform go2hr of its wishes, the expiry date of the new certificate will be the same as the last day of on-site audit activities. Companies that wish to change their certification anniversary for any reason should contact go2hr. Depending on the situation, changing the certification anniversary may take up to two years and may require a recertification audit at an earlier date than would otherwise be required.

### 6.3.4. LIMITED SCOPE AUDIT

#### ***Limited Scope Audit Definition***

Audits achieving a total score in the range of 70% to 79% (less than 10% below the required passing mark of 80%) may qualify for a limited scope audit.

#### ***Limited Scope Audit Process***

To launch a limited scope audit (LSA), go2hr will send a letter to the audited company requesting that an action plan be developed to correct the deficient areas of their health and safety program. The action plan needs to detail which audit questions will be addressed, the previously attained score and the intended score, with sufficient point gain achieved to reach success. The company is strongly advised to include a reasonable cushion of points into their plan, since the LSA process may only be conducted once per calendar year. The action plan must be received by go2hr within 45 calendar days of the date the employer receives the initial audit report. Upon acceptance by go2hr, a LSA will be set up to re-evaluate the deficient areas. Where practicable, the same auditor should conduct the audit. The LSA must take place within 90 calendar days of the original audit date, with results from the new audit submitted to go2hr within 45 calendar days of on-site data collection activities. Failure to meet any of these requirements will result in a full audit being required.

When a Certificate of Recognition is issued after the successful completion of a LSA, the date that will appear on the certificate will be the date of the original external audit. This applies even if the LSA activities occurred in a subsequent calendar year (e.g. the LSA occurs in February, following an unsuccessful December audit). Additionally, the delay caused by the LSA process may result in a delay in receiving the COR incentive payment, but will not prevent an incentive payment from being issued.

## 7. PROCESS OF PERFORMING AN AUDIT

Regardless of the type of audit, the auditor's basic process is the same and follows a standard flow, which is essentially:

- Plan the audit with the company and go2hr's assistance;
- Go to the company and collect the required data;
- Write the report, submit it to go2hr and complete any required revisions as requested.

### 7.1. Planning an Audit

Before starting an audit, it is important to review prior documentation, specifically any audit(s) conducted in previous years. The auditor will also need to check the prior action plan to ensure that suggested corrections have been made. If the corrections have not been made, then it is important to find out why they were not made and determine what can be done to correct deficient areas.

It is recommended that internal auditors review the ongoing action plan throughout the year or, at the very least, two weeks before starting a maintenance audit. Reviewing the previous audit in advance will provide insight into the program and provide the internal auditor with the opportunity to:

- Highlight areas of concern;
- Make required changes;
- Improve certain workplace elements;
- Ensure corrective actions have been implemented;
- Achieve a higher mark.

#### 7.1.1. AUDIT PLAN

To reduce the audit timeline, it is important to develop an audit plan. The plan should include a schedule which will be finalized during the pre-meeting. This is especially important with regard to interviews, as they tend to take the most time. A plan will also help ensure that the auditor attains a diverse representation and meets all audit requirements. Additionally, a plan will help resolve any logistical issues that arise when conducting multi-site audits.

#### 7.1.2. COMMUNICATE TO go2hr ON INTENDED SCOPE

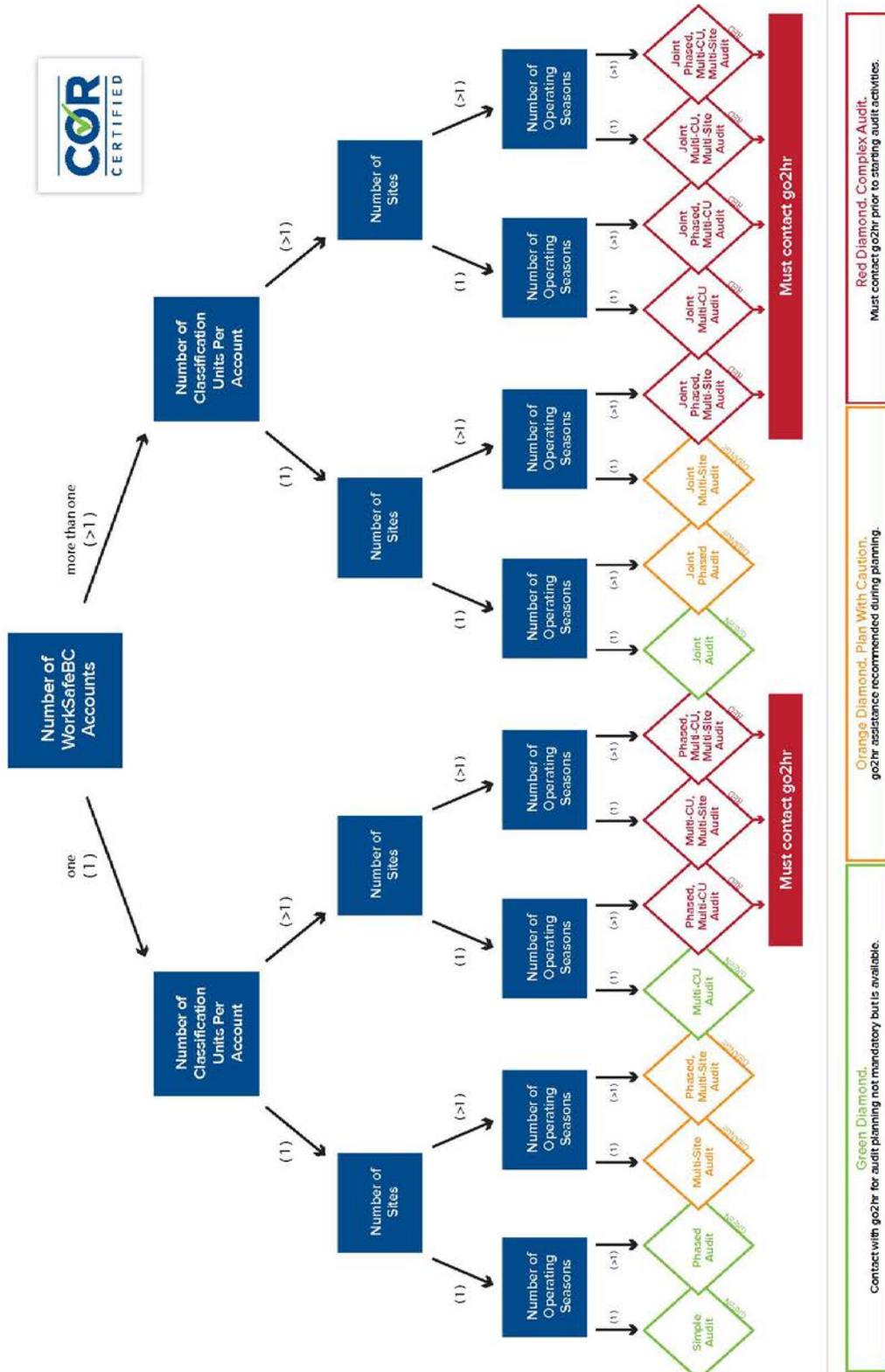
Using the Flowchart for Types of Audits (Table 4, page 34), determine what type of audit is required and whether pre-communication with go2hr is mandatory, based on the expected scope of the audit. Even in cases where pre-communication is not mandatory, collaborating with go2hr is always a valuable option that often proves very helpful in reducing the time and effort needed to set up and perform a successful audit.

### 7.1.3. NOTICE OF AUDIT

When the company decides to move forward with a formal audit, it will submit the Notice of Audit Activities (NOAA) form to go2hr at least two weeks prior to beginning on-site activities. The form is available on go2hr's web site at: <https://www.go2hr.ca/sites/default/files/legacy/ohs/COR-Notice-of-Audit-Activities.doc>. It is recommended that forms and documents are obtained through the website when possible, as these documents are amended from time to time and the go2hr website always provides the most recent version.

The NOAA is a document developed between the auditor and go2hr to record the audit plan. It is often most practical for auditors to collect the company's parameters (e.g. number of sites, counts, WorkSafeBC accounts, CUs, etc.) and then contact go2hr to collaboratively develop a COR-compliant audit plan.

**TABLE 4. FLOWCHART FOR TYPES OF AUDITS**



### 7.1.4.AUDIT PARAMETERS

There are many parameters that define the scope of an audit. The main ones are:

- The organization's number of WorkSafeBC accounts;
  - Since the certification and rebate is awarded to specific accounts, all accounts applying for certification must be audited.
- The organization's number of classification units (CUs);
  - Since the rebate is awarded based on applicable CUs, only CUs covered by the audit are eligible to receive a rebate.
- The company's number of sites;
  - At least 1/3 of the sites within each CU must be sampled every year and all sites must be sampled during the 3-year cycle. The exact requirements are outlined in Section 6.2.6.
- The company's number of operating seasons;
  - If different seasons have different CU's, then those seasons must be sampled every year.
  - If different seasons are within the same CU, then the seasons must be alternated in such a way that all seasonal activities are audited at least once during the 3-year certification cycle.

An audit on a company with more than one WorkSafeBC account is called a "joint" audit. An audit on a company with more than one CU or site is called a "multiple CU" or "multiple site" audit. An audit that requires sampling from more than one operating season is called a "phased" audit. As discussed earlier, an audit may also be a "team", "student", "internal" or "external" audit. The full description of the audit type strings together ALL of the applicable adjectives, such as a *team, joint, multiple CU, multiple site, phased, internal student maintenance* audit.

The majority of audits are simple. Typically, they cover one account with a few CUs and take place on one site, with the auditor able to review all activities within three to 10 days. The degree of planning required to properly conduct an audit rises rapidly with its increasing complexity. More complex audits require more complex planning. All audits (with the exception of phased audits) must conclude their "on-site activities" - which start on the date of the pre-audit meeting and end on the date of the post-audit meeting - within 45 days. After that, the auditor has 14 calendar days to write and submit the audit report. Any exceptions to these timelines must be approved by go2hr.

Based on the planning flow-chart (see Table 4), the eight "most complex" audits MUST involve consultation with go2hr during the planning phases. History has shown that these audit types frequently have planning errors even when developed by the most seasoned auditors, simply because very few auditors, with any certifying partner, ever perform these types of audits.

It is recommended that auditors conducting the four "medium-complexity" audits (shown as orange boxes on the planning flow chart) contact go2hr during the planning phases. However, veteran external auditors with significant prior experience in planning complex audits are not required to do so.

Auditors conducting the four "lowest complexity" audits (shown as green boxes on the planning flow chart) do not have to contact go2hr until the plan is complete. Auditors should be aware that assistance from go2hr is always available and consultation is recommended for student auditors and auditors with less experience.

### 7.1.5. JOINT AUDIT

A single organization or group of related companies may wish to perform their annual audit concurrently, in order to save time. The multiple companies (with different WorkSafeBC accounts) do not have to have common ownership, be in the same classification unit, or even have a common safety management system. If these companies determine that they want to share an auditor for the same audit visit, this is referred to as a “joint” audit.

In these cases, auditors should note that although multiple companies are being audited at the same time, two (or more) independent audits and reports are produced.

The companies must each be sampled independently during a joint audit. For example, if company A has 100 Full Time Equivalent employees (FTEs) and company B has 50 FTEs, then company A requires 23 interviews and company B requires 19 interviews, for a total sample size of 42 interviews. It is not correct to add the two companies together to arrive at a total of 150 FTEs and then determine that 25 interviews are required. The assessed payroll reported to WorkSafeBC is used to determine which company each person works for. For example, an organization may believe that a safety coordinator works jointly for three companies covered by the joint audit. However, if the safety coordinator’s payroll is assigned to only one of the three companies, then his or her interview would count against that company’s required interviews.

Observations are expected to be different for each company included in a joint audit, since the activities undertaken by each are expected to be different. However, the scores may still be the same.

A joint audit may have a common executive summary, common audit meeting notes and be printed in a single binder, but it must have separate notes and separate scores for each company. Adding individual scores to obtain an overall score is also incorrect. If company A scores 88% and company B scores 92%, there is no mechanism to meaningfully combine these two scores.

### 7.1.6. MULTIPLE CU AUDIT

Classification Units (CUs) are a fundamental indivisible part of the COR rebate process. The basic idea is that all activities in each CU must be sampled every year if the audit is to be considered for a COR rebate. Sampling only some of the activities is specifically prohibited. If a company has a restaurant CU and a hotel CU, then both the restaurant and hotel operations must be sampled (through observation, documentation and interview) every year. The total minimum number of interviews is based on the account and should be approximately proportioned according to the FTE-count within each CU. For example, if an account has 150 FTEs comprised of a hotel operation with 100 FTEs and a restaurant operation with 50 FTEs, the division of interviews should be approximately 2/3 to the hotel (17 interviews out of 25 required interviews) and 1/3 to the restaurant (eight interviews). WorkSafeBC requires that there be a single safety management system operating across all CUs in a company. Additionally, there must be only one final report covering all activities. There may be intermediate reports performed by individual auditors for student purposes, but these must be combined for final submission to WorkSafeBC.

### 7.1.7. MULTIPLE SITES AUDIT

The basic rule for site sampling is that at least 1/3 of all company sites must be sampled every year, and the sites must be rotated so that every site is sampled on a 3-year basis. See Section 6.2.6 for site sampling proportions for companies with less than 9 sites. Additionally, the main or head office location, if there is one, must be included every year. As most companies only have one or two sites, sampling is usually very easy to figure out. However, for more complex companies, site sampling can be difficult to determine. As outlined previously, a site is typically the location where work is occurring. However, for dispatched or mobile companies, only the fixed depot/dispatch locations are included as a site. For example, a catering company would consider only their own kitchen locations as sites rather than all client premises. At least 1/3 of those kitchens would need to be sampled. Additionally, some client sites would need to be observed, since part of the company's work activities is "serving food at a client location" and not including that in the audit scope would create a meaningful gap. Large companies may have over 100 sites and therefore need to sample more than 33 sites each year. Companies with multiple sites often require more interviews than the amount that would be required if the company had only one site. Multiple site audits also demand significant travel time. Accordingly, the company and its external auditors are encouraged to work together to develop an effective 3-year cycle for site visits. At the close of a 9-year cycle (three 3-year cycles), the external auditor must have visited every site, so long-term planning is often required.

### 7.1.8. PHASED (SEASONAL ACTIVITIES) AUDIT

Phased audits are not uncommon in the outdoor hospitality industry. For example, the same adventure tourism company may operate ATV tours in the summer and snowmobile tours in the winter. This is a highly effective way to maintain company operations throughout the year. However, as an audit requires that all activities be sampled, companies that have two (or more) operating seasons with different activities may find their audit costs are impacted significantly, as multiple visits will be required in some years.

If the company has separate CUs for each season then, according to the "multiple CU" rules previously discussed, it is required that both CUs be sampled each year. This means there must be two audit visits each year, but only one audit report submitted (unless over-ruled by the requirement for a joint audit to have separate reports). To count for COR, the audit visits must be in the same calendar year and within six months of each other. Satisfying both of these requirements may create some very tight timelines. The company's common policy-level documents only need to be audited once each year. For example, the safety policy may be audited during the first visit and does not have to be re-examined during the second visit.

If the company has two operating seasons in the same CU, then the two seasons can be sampled on alternating years. Depending on the balance of FTEs between the seasons, it may still be necessary to sample both CUs in a given year in order to meet the required interview count. For example, if the company's summer activity is golf with 15 FTEs, and its main activity is a winter CU with a ski hill with 100 FTEs, then there is no way to achieve a sufficient number of interviews through one audit visit in the summer. Therefore, the company would have to perform two audit visits (summer and winter) in one year and only one audit visit (during the winter) in the next year, then alternate that pattern in following years. If the company also operated a hotel year-round in the same CU, then there would be sufficient "summer and year-round" staff to enable a single audit visit in the summer. Audits in adjacent years must be more than six months apart. This requirement can generate tight timelines and creates a need

to consider when last year's audit occurred and when next year's audit will occur, when planning the current year.

These four main types of rules or parameters (account, CU, site and season) may be combined to make 16 possible main types of audits, as shown in the audit flow chart. The following sections discuss the main rules of each of those 16 audit types.

## 7.1.9. TYPES OF AUDITS

### **Single Company Audits**

The first eight types of audits all apply to cases where there is only one company in the audit scope. A company is defined for the purposes of COR as an entity with a single WorkSafeBC account.

#### ***Simple Audit***

A simple audit involves one account, one CU, and one site, creating a situation where the auditor can review everything in a single visit. A restaurant would be an example. As long as the rules for selecting interviewees are met, there is little else to consider beyond ensuring the audit occurs when the company is running at least at 70% of its activities. There is one report required and this audit is not permitted to be performed by a team, except by special permission for companies with a very high number of FTEs.

#### ***Phased Audit***

A phased audit is one account, one CU, and one site but two seasons. An adventure tourism company providing snowmobile tours in the winter and ATV tours in the summer is an example. With only one CU, the visit could be in the summer or the winter season each year (assuming there are enough interviewees to meet the minimum requirement in whichever season is slower) or could be in the main season every year with an additional off-season visit every other year. Timing is very important, as the audit visits in each year must fall within six months of each other. There is only one report submitted each year. If there are two audit visits in a calendar year, then the auditor must retain the notes from the first visit and write the report after the second visit, using both sets of notes. Therefore, note quality is very important and the notes need to be extremely comprehensive in order to refresh the auditor's memory when completing the report later. It is strongly recommended that the auditor write at least a partial report after the first audit visit, while their memory is fresh. With only one account, CU and site, this audit is not permitted to be performed by a team, except by special permission for companies with a very high number of FTEs.

### ***Multiple Site Audit***

A multiple site audit is an audit of one account, one CU, and one season, but multiple sites. A restaurant chain (with individual sites that are corporately owned, and not franchised) would be an example. Visiting 1/3 of the sites in a logical sequence is usually the main planning challenge. Balancing auditor travel days with the need to see many different sizes of sites (a 4-FTE drive-thru is very different than a 50-FTE sit-down setting), as well as adequately considering the entire multi-year plan, will often take significant consultation between the company and the auditor, whether the audit is conducted by an internal or external auditor. Companies with many sites may meet their minimum interview requirements before the minimum site visits are met. In this case, the auditor may perform observations and site-specific documentation review at some sites, without having to conduct any interviews beyond the minimum. Auditors may also perform interviews above the minimum required, if they feel it adds value to the client (including acknowledging workers at the site who may otherwise feel that they were “left out” of the audit process). Multiple site audits can be suitable for team audit applications during maintenance years.

### ***Phased Multiple Site Audit***

A phased multiple site audit is an audit of one account and one CU, but multiple sites and seasons. An example would be a two-site restaurant with one site on a ski hill and one next to a campground. Since there is only one CU for this type of audit, the activities in either season must be very similar, or WorkSafeBC would have assigned different CUs. A phased, multiple site audit can usually follow the rules of a phased audit, since each site is associated with a season. If a company has multiple summer sites and multiple winter sites, the rules regarding different seasons and multiple sites come into play. As with the phased audit, note quality from the first half of the audit needs to be very good, in order to be useful up to six months later when the auditor returns.

### ***Multiple CU Audit***

Multiple CU audits are the second most common type of audit. A hotel with an associated restaurant is a very common example. The risks (and injury claims costs) are different at each operation, so the company benefits by splitting off the lower risk/lower insurance rate operation, rather than paying to have all workers insured at the higher risk rate. The auditor needs to review the company’s assessed payroll to determine how many interviews must be sampled from each CU. It may be necessary to discuss this in detail with the company’s payroll department in order to map this correctly. There is no need or intent for the auditor to look at actual payroll dollar values (except in the case of internal auditors who normally perform this function). There is only one visit and one report required. Sampling is often as easy as for a simple audit, since the company’s different CUs are often functionally no different than different departments in a simple audit.

### ***Phased Multiple CU Audit***

Phased multiple CU audits are common among outdoor hospitality companies. A company that operates a ski hill in the winter and a bike park in summer, and is associated with a hotel year-round is an example. Having summer and winter activities in different CUs necessitates the need to have two audit visits per year. It is up to the auditor to maximize the efficiency of sampling any year-round activities (i.e. when to interview and observe hotel staff). There is no prohibition against performing some of the year-round interviews in summer and some in winter. As with a phased audit, note quality is very important, as the activities being conducted in each season are completely different and there will be no triggers from one phase of the audit to the other to help remind the auditor of previous observations.

***Multiple CU, Multiple Site Audit***

A multiple CU, multiple site audit can occur in three ways. Either the company has multiple CUs at each site, or has unique CUs at each site or has a mix of CUs which may or may not be at a particular site. An example is a company that operates a hotel with restaurant in Vancouver and also in Kelowna, or a hotel near a company-owned golf course or a large hotel chain that has a restaurant at some locations and golf course at some locations. In cases like these, each CU must be visited every year and sites must be determined as per section 6.2.6 of this document.

***Phased Multiple CU, Multiple Site Audit***

This type of audit is the most complex that may be required by a single account. Due to having multiple CUs and multiple seasons, at least two audit visits are needed each year. With the added complexity of multiple sites, the auditor may have to visit the same site in summer and winter, or different sites in summer and winter. The two visits in the same calendar year must be within six months of each other and more than six months away from the previous year's or the following year's audit. Interview sampling must be proportional to the season, the CU and the site FTE counts. While this audit is often well-suited to a team approach, this adds a further layer of complexity to the planning and overall coordination of the audit, since there is only one final report submitted.

***Multiple Account (Joint) Audits***

Joint audits (see Section 7.1.5) are those that occur on related businesses at the same time, but generate separate reports. The differences between the sites and CUs for each audit must be combined. For example, if one audit is a simple audit, but the other is multi-CU and phased, the overall report would be a joint, multiple CU phased audit. The more that two (or more) companies share their day-to-day business operations, the more likely it becomes that a joint audit would be cost-effective.

***Joint Simple Audits***

A joint audit is an audit where two companies have the same CU, the same site and operate during the same season. An example would be a single owner operating one franchise for a coffee shop and one franchise for a burger-based fast food operation out of the same building. Each company must be sampled independently as discussed in the joint audit description. The biggest hurdle for the auditor could be determining which employee works for which company. For example, in the two-restaurants in one building case, the sole maintenance person may perform minor maintenance work for both companies, but only be paid by one. Therefore, she is an employee of one, and a contractor of the other.

***Joint Phased Audit***

A joint phased audit is where there are two or more companies, with the same CU, but which operate during different seasons. An example would be a camping/guiding company pair. The companies provide week-long horseback trail riding in the summer and week-long cross country ski trekking in the winter. One company manages the daytime travelling with the clients, while the other looks after the food side. If the companies work together in both seasons, then the companies could hire the same auditor for a joint phased audit. There would be a summer visit one year and a winter visit the following year, separated so that audits do not take place more frequently than every six months from year to year. If one season has very a small FTE-count for either company, then two visits per year may be required in alternate years to allow for sufficient interviews. A separate report is submitted for each company.

If one company operates in a different season entirely on its own, performing two simple audits (one per company) at different times of the year is the easiest solution. This would be the case where a guiding company provides horseback riding in summer with their own staff and heli-ski trekking in the winter together with an aviation company.

### ***Joint Multiple Site Audit***

An example of a joint multi-site audit would be a chain of coffee shops that frequently shares space with a particular chain of burger-based restaurants. If all the sites are joint, then there is a large potential travel time savings by having one auditor visit each company at each of those sites. Each company would have the same third of their sites visited each year. Other than sharing the travel route, the audits are independent of each other (see general text on joint audits). If some of the sites are not shared, then the travel route would be slightly different. For example, if the coffee shop has 90 sites and the restaurant 60, then the auditor would visit 20 sites where both operations existed, plus 10 of the coffee-only sites. As with all joint audits, there is a separate final report submitted for each company.

### ***Joint Phased Multiple Site Audit***

A joint phased multi-site audit is unusual. This requires that two companies share multiple sites in the same CU but with different summer and winter operations. It would require alternating summer and winter season visits, with the two companies aligned for summer and winter visits in the same year. One report would be submitted per company.

### ***Joint Multiple CU Audit***

Joint multi-CU audits are not uncommon. For example, a hotel and restaurant could be owned by one company and share a site with a golf course under different ownership. Another example would be a separately owned restaurant, within a hotel. In these cases, both companies would receive their own independent report, possibly with some common or similar sections. Some observations, such as those relating to a shared lunchroom or staff parking, may also be common, but most will be unique to each report. It is important to note that while a company may share some safety management with another company, it is still ultimately responsible for its own operations (e.g. must have their own competent supervision).

### ***Joint Phased Multiple CU Audit***

This applies where one or both of the related companies have a summer and a winter season. A case would be where one of the companies is a hotel and the other is a golf course / ski hill. The companies need to carefully consider whether or not to undertake a joint audit in this case, since if one company operates seasonally and the other operates year-round, this will require two visits per year. Additionally, the auditor will not be able to finish the audit until the second season of the golf/ski operation is over, significantly delaying the completion of the hotel's audit. Alternately, the auditor could perform a simple audit of the hotel during the first of the two annual visits for the outdoor operations. If both companies have a mix of seasonal and year-round operations, sharing the auditor makes more sense. Similarly, if both companies have a summer CU and a winter CU, then two visits per year will be mandatory for each company and aligning them is usually economically worthwhile, despite the additional degree of complexity that arises out of the need to have key personnel from both companies available at the same time for interviews.

### ***Joint Multiple CU, Multiple Site Audit***

This case expands on the complexity of the joint multiple CU audit, by adding the variable of multiple sites. The key is to ensure that each company's audit interviews and site observations cover all CUs and the appropriate number of sites every year. If there are more than nine sites, 1/3 of the sites must be visited every year, so that each site is visited every three years. If each site has the same combination of companies and CUs then great efficiency is possible, since only 1/3 of sites would need to be visited every year. However, every site that is different from the master shared model would need to be sampled in addition to the main set.

### ***Joint Phased Multiple CU, Multiple Site Audit***

This is the most complex possible model for sampling. As such, the necessary mandatory consultation between go2hr, the auditor and the company may entail several teleconferences and plan revisions. Organizational charts and corporate structure tables showing how many FTEs are at each site, by CU, and by company will be required for planning purposes and will also need to be attached to the final audit report for Quality Assurance purposes. The final written plan will require joint approval by go2hr and the company and may involve WorkSafeBC's sign-off as well. Each company in the joint audit will need to be sampled by site, by CU, and by season. This type of audit is not recommended for student auditors unless they have extensive prior COR auditing experience.

## **7.2. On-site Audit Activities**

### **7.2.1. PRE-AUDIT MEETING**

This meeting is important for fostering commitment from senior management and showing the value in the COR process. During the pre-audit meeting, the auditor must explain/describe:

- The purpose and scope of the audit;
- The audit's benefits to the company;
- The schedule of events (documentation reviews, observational tours, interviews, site tours);
- The minimum passing scores required for successful completion of the audit;
- Confirmation of the location of active work sites;
- The number of managers/ supervisors/workers to be interviewed;
- The scheduled timing of the close-out meeting (Auditor Executive Summary presentation);
- The final report.

Additionally, the auditor must effectively answer any concerns or questions.

It is up to the management team to determine who should attend the meeting. It is imperative that senior management be made aware of and participate in the COR process. Participants should include, but are not limited to: senior managers, supervisors, worker representatives and Joint Health and Safety committee members.

### 7.2.2. DATA COLLECTION

During the audit, auditors must follow the training requirements around observation, documentation and interview data collection. Each audit question and guideline defines what criteria must be evaluated and how to evaluate it. If there is a particular question which proves challenging for a client to evaluate, the auditor must immediately contact go2hr. Except where specifically noted in the guideline, an auditor is not permitted to score any question or part thereof as “not applicable”.

### 7.2.3. LAST DAY OF ON-SITE ACTIVITIES

A key date of the audit process is the last day of on-site data collection activities. This is an official tracking day of the audit. If the pre-audit meeting occurs on Monday morning, documentation is reviewed on Monday afternoon, interviews and observations continue through to the end of Thursday and only the close-out meeting occurs on Friday, then the official last day of on-site activities is Thursday. **For an audit to be valid for COR for a particular calendar year, the last day of on-site activities must be on or before December 31<sup>st</sup>.** Due to a COR program tracking program requirement at WorkSafeBC (all COR certificates are valid for three years, plus a day), audits with the last day of on-site data collection activities of December 31 will be reported as December 30.

### 7.2.4. CLOSE OUT MEETING

This meeting serves to close the audit at the end of on-site activities before the audit report is written. The same group that attended the pre-audit meeting should be present. This is an opportunity to review positive and negative findings. The following actions are recommended:

- Give an indication of results, within the limits and ranges that the auditor is comfortable with. Note that the auditor must never guarantee a pass, certificate or a rebate;
- Review the verification techniques used during the audit. (Documentation, Observation and Interview techniques);
- Include the site locations visited, and number of employees interviewed;
- Emphasize the elements of the H&S Program and IM/RTW Program that were strong;
- Make reasonable and practical recommendations for improvement in a broad sense that does not require the detailed audit report to be completed;
- Recommend the development and implementation of an Action Plan;
- Present an approximate timeline for report creation and review;
- Thank the company.

## 7.3. Report Writing

The auditor needs to plan for sufficient time to prepare the audit report. External auditors have different work styles. Some spend significant time writing the report during on-site days or in the evenings of working days. Others reserve most of their writing time for after they have left the site. It is very important for external auditors and companies to come to a very clear understanding of expectations around report writing during the bidding process. Companies should consider the overall audit quotes from several auditors with this in mind during the auditor selection process. Internal auditors should budget at least two hours of writing for every hour of data collection, this time could increase up to three hours for student auditors. The more an auditor is accustomed to writing long technical reports, the lower this ratio will be. This is the primary reason for suggesting that all applicants for internal auditor training have previous report writing experience.

### 7.3.1. MINIMUM COMPONENTS OF COR AUDIT REPORT

The following are the minimum components of an external or internal COR audit report:

- Title Page;
- Table of Contents;
- Executive Summary;
- Audit Background Information Form;
- Organizational Chart;
- Scoring Summary;
- COR Audit Tool(s);
- Minutes from pre and post-audit meetings (only required for student audit submissions).

The auditor may provide additional information if they wish.

#### 7.3.1.1. *Title Page*

A title page should be provided at the beginning of the audit document. It needs to comprise:

- The full legal company name (and trade name if applicable);
- The audit year and internal/external and certification / maintenance / re-certification status;
- The name of the auditor;
- The certified auditor number;
- The start date of the audit and the last day of on-site activities.

The auditor may choose to add photographs or graphics to the Title Page. Note that photographs of company activities and people should only be included with permission from the company and all people in the pictures.

#### 7.3.1.2. *Table of Contents*

A simple and correct table of contents is very helpful for physical documents.

### 7.3.1.3. Executive Summary

The executive summary should be one to two pages in length (a complex joint audit may be longer). It is designed to be skimmed by a busy senior executive in one to two minutes, maximum. A good executive summary is concise, to the point and does not include flowery prose. When reading the report, most readers, from the executive to the front-line worker, are interested in three things:

- Did we pass?
- How well did we do? / What was our percentage score?
- What does the company need to work on for next time?

The Executive Summary needs to include several mandatory topics. These include:

Topic	Description
Legal and common names	The full legal (and if applicable trade) name of the company being audited must be incorporated in the first paragraph.
Description of company profile	In a paragraph or less, the business of the company needs to be described. If the auditor uses content from the company promotional materials, this should be noted as not being original auditor work.
Account number	The applicable WorkSafeBC account numbers to which the audit applies must be included.
CUs	The applicable WorkSafeBC Classification Units to which the audit applies must be included.
Outcome	The audit's outcome (success or non-success) needs to be clearly stated in the first two paragraphs. Depending on the complexity of the audit, a table of names, numbers and outcomes may be the most compact way to present this information.
OHS and IM/RTW	The outcome needs to be described for the OHS component. The IM/RTW needs to be reported as successful, not successful or not attempted.
Locations	A description of the locations sampled compared to the overall company locations should be included. If this information is complex (i.e. more than 4-6 locations) an appendix is recommended.
Sites	If the WorkSafeBC locations contain several work sites, this should be described as well. Complex audits should move this content to an Appendix.
Dates of audit	The date range of the audit must be presented.
Last day of on-site activities	The last day of on-site activities must be explicitly and obviously named.
Interview count compared to minimum	The auditor needs to state the minimum number of interviews required and actual interviews completed.
Major strengths	A list of 3-5 major areas of strength should be listed. These are typically philosophical areas, rather than the names of audit elements. After performing an audit, the auditor should have a very clear ability to state "What this company is really good at".

Topic	Description
Major areas for improvement	Comparable to the strengths, the auditor needs to list 3-5 overall areas of improvement that the company should work for the next audit.
Obstacles encountered	If there were any obstacles in the audit that could cause problems for future audits (company has very low staffing due to a poor tourist season compared to other years, labour disruption, other major issues) these need to be recorded.
Areas not covered although in audit scope	If the audit report is the winter-season audit and the next year's audit will cover the summer season, this needs to be clearly indicated.
Any unresolved differences of opinion	There may be rare cases where the company strongly disagrees with a particular audit finding. If this occurs, the auditor needs to state this up front in the Executive Summary.

**7.3.1.4. Audit Background Information Form**

The auditor must complete an Audit Background Information Form, which is available from go2hr (see Appendix D). The form includes:

- administrative details (employer name, registration, contact information);
- auditor details (name, contact information);
- audit scope (type, classification units, audit dates);
- audit representation (accounts, sites, how many interviews, to what level of personnel, at which site).

The Background Information Form is a critical record supporting the statistical validity of a particular audit and is used to track which sites were visited during the audit and to help plan for future audits in the certification cycle.

**7.3.1.5. Organizational Chart**

An organizational chart or table summarizing the organizational structure is required. Marking off the “boundaries” of accounts and CUs is necessary for complex organizations.

**7.3.1.6. Scoring Summary**

The scoring summary may be delivered in an Excel template provided by go2hr. Use of this template, while not mandatory, is highly recommended. An auditor may choose to create their own summary, or modify the existing one for appearance, but all scoring logic and a clear representation of audit results must be consistent with the template.

### **7.3.1.7. Audit Tool, Notes and Recommendations**

The most recent version of audit tool(s) (see Section 8.1.1) must be included in full.

#### **Minimum Standards for Note Text**

Notes are the foundation for the audit report.

#### **GENERAL REQUIREMENTS:**

- Notes must be clear, concise, and answer the question and guideline in full. It is expected that auditors will write to the best of their abilities when submitting an audit report.
- An auditor note that simply says “yes” to a question will likely receive a reviewer comment that simply says “no”. Observation, Documentation and Interview notes have specific standards. Within each note, the O, D and I notes should be clearly separated. A blank line between sub-notes and starting each sub-note with O-, D- or I- is a very clear way of doing this.
- Scoring is to be rounded off to the nearest whole number.
- Recommendations are to be provided for questions that achieve less than full points.

#### **Observation Notes**

##### **Requirements:**

- Data is of sufficient volume to justify the score and includes positive percentage.
- Observational data includes selected descriptive findings. There is no intention that every observation be recorded but that a representative sample is required to justify points awarded.
- The listed observations should state what was observed and where, in order for the company to address the specific deficiencies or to commend positive findings appropriately.
- Observation data volume has to be roughly proportional to the score value. An observation out of 20 points should have twice as much content as one out of 10.
- Scoring is based upon the raw number of observations rather than the relative severity of the observation.
- List deficiencies, if any.

##### *Example:*

(O) 11 out of 11 departments, 100% of the individual departments' workers followed the required SWPs. In total there were over 54 observations. Some examples included:

Snow school - proper placement on slopes during classes, correct lifting procedures.

Lift Operations - following establish loading procedures.

Patrol (and other departments) - proper snowmobile use.

Bike Park - proper loading procedures.

Guest Services - following validation procedures.

F&B - using “behind you” in kitchen, following Food Safe procedures, proper lifting for bussing staff.

Parking attendants - proper placement when parking cars, operating trucks, pre-trips.

Events - proper lifting procedures, controlling hazards during event in village.

Retail/Rental/Repair - following correct procedures while operating shop equipment.

All Departments - using the correct PPE.

10/10 observation points awarded.

### ***Documentation Notes***

#### **REQUIREMENTS:**

- Data defines the source document name and gives overall positive results.
- Lists the number of records reviewed when multiple records are examined.
- List deficiencies, if any.

#### *Example:*

(D) The company's Human Resources department retains complete records of worker training, including signed and dated orientation and training documents for all new workers. An Excel document is used to track the required training and certification and expiry dates of each employee. Current records show the following certificates: WHMIS (5), FOODSAFE (3), Serving It Right (3), First Aid Level 1 certifications (5), First Aid Level 2 certifications (1), avalanche blasting certification (2). 20 out of 20 points awarded.

### ***Interview Notes***

#### **REQUIREMENTS:**

- Data identifies who was interviewed (managers, supervisors, workers, etc.) and gives positive percentage results.
- Obtained interview results should be summarized but not quoted.
- Data is of sufficient volume to justify the score and includes positive percentage.
- Interview data volume has to be roughly proportional to the score value.
- Scoring is based upon the percentage of positive interviews. List deficiencies, if any.

#### *Example:*

(I) 3 out of 3 supervisors interviewed provided knowledgeable responses demonstrating their understanding of the safety requirements for activities being performed. Responses from the supervisors included: WorkSafeBC OHS roles & responsibilities for supervisors, certification requirements for each occupation under their supervision, maintaining equipment logs, identifying and communicating hazards, PPE, required training, incident reporting and investigation, emergency response planning and proper first aid equipment and supplies. 10/10 points awarded for 100% positive responses.

### ***Scoring***

Scores need to be based on the evidence in the notes, be consistent with those notes and not contradict scores in other questions. The O, D and I scores need to correctly add to the total for the question, the element and the audit.

### ALL-OR NOTHING

Every company that undertakes an audit has to meet a minimum standard. In order to successfully achieve the Certificate of Recognition during a qualifying or re-qualifying year, an employer must obtain at least 50% in every element, with an overall score at least 80% to meet the standard. These scores are required for the Injury Management/Return to Work component as well.

There are two different types of scoring that can occur in the audit. The first is “all or nothing”, which is used to determine if the required standard has been met or not.

*Example – Scoring (All or none scoring)*

Question 8.1	Auditor Guideline	D	O	I	Scoring	Notes / Recommendations
Is there a joint occupational health and safety committee?	Review <b>documentation</b> for a formal or informal process (e.g. unsafe conditions report form or verbal reporting).				10 points  (0 , 10)	

In the above example, either there is a joint occupational health and safety committee, or there is not. If there is, the employer receives 10 points. If there is not, the score is zero. There is no room for a partial score in this question.

### RANGE SCORING

The second type of scoring is called “range scoring”. Points are awarded based on the percentage of correct findings or responses. For example, if four out of five investigation findings and recommendations are discussed with the JOHS committee (below) for 80%, then 80% of the total points will be awarded. If all five answered positively, the award would be 100% of the available score.

*Example – Scoring (Range Points)*

Question 5.5	Auditor Guideline	D	O	I	Scoring	Notes / Recommendations
Are investigation findings and recommendations discussed with the joint occupational health and safety committee?	Review <b>documentation</b> (JOHSC meeting minutes) to ensure findings and recommendations are reviewed with the committee.				20 points for Documentation  (0 – 20)	

Once scores for all questions in the audit tool have been compiled, the marks must be entered into the scoring summary document (available from go2hr). The scoring summary is a fillable document that will automatically calculate the scores and percentage score for each element when answers for each question are entered.

## MINIMUM STANDARDS FOR RECOMMENDATIONS

- Recommendations are the key output from the audit. The overall objective of the audit process is to lead the company to continual improvement. Some companies and auditors choose to create an additional section of the audit purely to be able to disseminate an extracted copy of just the recommendations. Recommendations are required for any questions not scoring full points. Continual improvement recommendations are acceptable when a full score is awarded but must not influence scoring.
- Recommendations are to inform the company about what to do and to provide reason(s) and appropriate method or methods for addressing the requirements of the questions and guidelines.
- Recommendations are SMART (Simple Measurable Attainable Realistic Timely) and take into consideration the company's capacity both to understand and to implement them.
- Recommendations relate to the question and the notes.
- Recommendations are unique and self-contained for each question and do not reference other recommendations.
- Recommendations are written in full sentences with standard professional grammar and spelling (or bullet points or lists where appropriate).
- Recommendations deal with the system, rather than the symptom. The recommendation to improve site inspection checklists is superior to the recommendation to replace three burnt-out lights.
- Recommendations clearly demonstrate that the auditor understands their role of giving guidance to the company on improving worker safety in an effective manner consistent with good business practices.
- Recommendations should be based on applicable current legal or regulatory requirements, standards and best practices, and be appropriate to the nature of the company's safety management system and processes.

## EXTERNAL AUDITS

External recommendations should leverage the external auditor's industry experience and be clear, useful and directive. The auditor should have very good technical knowledge of legislative requirements and industry best practices to share with the company. The strength of an external recommendation is in the description of the final target.

## INTERNAL AUDITS

While an internal auditor may not have the breadth of safety specialization of an external auditor, they always have a superior knowledge of how their own company operates, both technically and culturally. Internal recommendations can therefore be much more detailed on how a recommendation should be enacted. The strength of the internal recommendation is in the ability to identify the path leading the company to the final target.

## PREVIOUS YEAR RECOMMENDATIONS

If there were recommendations from a prior audit, the auditor should weave those into the particular notes for each applicable question. If the recommendation was completed, this should be noted in the auditor's comments. If the recommendation was not completed, then the auditor should investigate why it was not completed. If the recommendation did not work last year, it is not reasonable to expect that making exactly the same recommendation this year would lead to success. Therefore, the auditor needs to modify the recommendation or try a different approach.

### 7.3.1.8. **Company Corrective Action Plan**

The company must develop a corrective action plan after the audit is completed. Each recommendation requires a plan for how the company will address it, who in the organization (by position or name) is in charge of that action and when it is due. This is particularly simple to create if the auditor has already extracted a copy of all recommendations into a separate chapter of the audit.

## 7.4. **Submission for QA**

After the report is written, it must be submitted to go2hr's COR program manager via e-mail. All submissions must be in Microsoft Word (.doc or .docx format). Any version of Word from the last 10 years is acceptable, however using the two most recent releases is recommended. **The auditor has 14 days from the last day of on-site activities to submit this report.** Extensions are available in special cases and require a written (e-mail) justification for the delay be submitted. This justification will be kept in the auditor and audit files and used for comparison to other auditors and audit reports. Failure to submit on time without a valid reason is a disciplinary offense. Submitting a significantly higher than average number or frequency of extension requests will trigger a disciplinary investigation. It will not necessarily trigger discipline, since particular auditors may specialize in complex audits that require more time to write.

## 7.5. **Desktop Audit Review**

Once submitted to go2hr, the audit report goes through a Quality Assurance process. This process is intended to be a cooperative process between the auditor and the reviewer, where the goal is the creation and fine-tuning of the audit report. The overall objective is a clear, understandable report that answers all audit questions and is statistically valid for the desired classification units. The report should pass the "5-year test", that is, be understandable five years into the future.

During review, each note is critically read to determine if it addresses the question, follows the guideline and correctly assigns a score based on the data presented in that note. If a recommendation is required, it must match the note and be appropriate for the company's issue. The executive summary and interview/site sampling information are also reviewed to ensure that the reported context of the audit is appropriate for the COR certification being sought by the company. The reviewer makes comments directly on the audit using the "review" features of Word. The review standard is different for internal and external auditors. While the external report is aiming for professional report quality with zero spelling, grammar, typographic issues, the internal report review focuses on the clarity of the content.

Once the review has been completed, the reviewer will e-mail the marked-up report back to the auditor. Depending on the time of year and number of audits received in a month, the review will typically be returned to the auditor within two weeks. Depending on the nature and number of comments the reviewer makes, overall commentary intended to assist the auditor may also be made, or the auditor may ask for some side information to help understand context, such as "What is a TLA in the context of a restaurant kitchen?" It is important for both parties to understand that the reviewer was not present at the audit so only has the report to work from. Usually, the auditor has obtained all the necessary information but has not clearly and/or fully described his or her findings in the report.

Comments will be of two types; ones where edits are required to the current report and ones which are optional suggestions that would improve the current report or would be useful for consideration in future reports. The auditor must address the mandatory issues but can choose how to manage the optional ones. In some cases, the reviewer may also point out issues that will become mandatory in the next report, such as requiring specific sampling, etc.

The auditor can address each of the mandatory issues in several ways:

- The auditor can modify the note, score or recommendation in the manner that the reviewer suggests;
- The auditor can modify the text to support or explain their initial intent or conclusion;
- The auditor can directly send an email to the reviewer asking for clarification on the issue or providing context that the reviewer might be missing and which should not appear in the audit note.

In all cases, a complete response is required within 14 calendar days of the request for revisions.

This process of revision and review continues until both parties are satisfied that the report has reached minimum acceptable standards and that further revisions are either not required or are of no benefit. It is not necessary for the reviewer and auditor to reach final agreement on every single issue, although this is preferable. The higher the company score and the higher the overall note quality, the more allowance is available on disputed notes. This is because the disputed notes do not have sufficient point value to bring the company down to the 80% threshold. Conversely, a company with a nominal score of 81% will need to have every note extremely well-justified so that all parties are clear on whether the company was successful at COR or not.

Some questions may have multiple interpretations. Part of the reviewer's function is to assist auditor consistency. The auditor may employ a readily understandable logic for their particular scoring, but it needs to be consistent with the other auditors as well.

Reviewers are trained safety professionals, either on staff or contractors, with an auditing background.

## **7.6. Release to Company**

After the review is concluded, go2hr authorizes the auditor to release the final version of the audit report to the company. The auditor and company should have agreed to the desired format of the final report (electronic, hard copy, how many copies, contact person, etc.) prior to the audit. go2hr requires that the auditor deliver at least the Executive Summary and the notes/recommendations/scores for all audit questions. Additional content may be added at the discretion of the auditor and company.

## 7.7. Certifying Partner Activities

### 7.7.1 SUCCESSFUL AUDIT

At the conclusion of the review process, go2hr registers the audit with WorkSafeBC by account, CU and whether the audit is OHS or RTW. The date of the audit and the auditor's name are also submitted. If all audit requirements are met and the company is in good standing with WorkSafeBC, then a COR rebate should be issued by WSBC in the summer of the year following the audit. WorkSafeBC creates a COR certificate on acceptance of the audit and sends that to go2hr. go2hr then presents the certificate to the company.

WorkSafeBC maintains a current listing on their web site of all COR-certified companies from all certifying partners. This website may be found at:

[http://www.worksafebc.com/insurance/partners\\_program/certified\\_employers/](http://www.worksafebc.com/insurance/partners_program/certified_employers/)

### 7.7.2 UN-SUCCESSFUL AUDITS

If the overall audit score is less than 70% (when rounded to a whole number) or any audit element scores less than 50%, then the audit is not successful. The audit is not registered with WorkSafeBC. go2hr will notify the company that their audit was not successful along with an offer to work with the company to improve its safety management system. The nature of assistance offered depends on the nature and degree of the deficiencies in the company system and the capacity of go2hr to assist. The company should carefully review their audit recommendations to better understand their shortcomings and consider suggestions made by the auditor on addressing their issues. After a period of not less than 90 calendar days, the company may hire an external auditor for a complete audit. Companies do have the option of changing external auditors.

Audits achieving total score in the range of 70% to 79% (less than 10% below the passing mark of 80%) may qualify for a limited scope audit (see Section 6.3.4 for more information).

### 7.7.3 AUDITOR PERFORMANCE

go2hr may track auditor activities by:

- How many audits are performed by year;
- The time between the last day of on-site activities and audit submission;
- The number of major and minor issues found in revisions;
- The timeliness of response to revisions;
- The number of revision cycles per audit;
- Company feedback on auditor performance via surveys.

This information helps generate auditor benchmarking data. Identifiable information about any specific auditor remains confidential.

## 8. AUDIT QUALITY ASSURANCE

Quality assurance is a critical component of the COR program. Working independently, however in cooperation with WorkSafeBC, go2hr is responsible for performing review and investigation activities designed to ensure that a high level of confidence is maintained in the accuracy and timeliness of COR audit results. The framework of the Quality Assurance program is set by the Certificate of Recognition Program Standards and Guidelines, developed by WorkSafeBC. Guided by this framework, go2hr has developed two quality assurance tools that fit the particular needs of the tourism and hospitality industry.

### 8.1. Quality Assurance of Audit Reports

go2hr will perform a detailed desktop/paper review of all COR audits (see section 7.2). The intent is to ensure that audit process deficiencies are remedied as required, so that all audits meet an acceptable standard. Reviews are performed by the go2hr COR program manager or, in some cases, a qualified contractor as described in section 7.5. Auditors are given the opportunity to make any changes to their audit reports necessary to meet the requirements of the evaluation standard. Auditors are expected to resubmit their reports, with the required revisions completed, for further review within 14 days.

go2hr will review each audit submitted for Certificate of Recognition status, to ensure it meets the required criteria. Internal maintenance audits are not required to have a passing score, but rather the audit must be completed and an action plan developed to address all deficiencies identified during the process. Once the quality review is completed, go2hr will provide the auditor with a completed feedback form outlining strengths and weaknesses found in the audit report.

#### 8.1.1. APPROVED TOOLS FOR SUBMITTING AUDITS

##### ***Provided Tools***

An auditor may write directly in the Word version of the approved audit tool from the web site (<http://www.go2hr.ca/health-safety/certificate-recognition/administrative-documents>), using the “Notes” column for notes and recommendations. Scores are written into the score boxes. The question, guideline and scoring parameters must not be altered.

##### ***Auditor-Developed Tools***

Auditors may develop their own tools for reporting an audit, as long as they satisfy the following conditions:

- Wording of all questions, guidelines and scoring is not altered from the original go2hr audit tool;
- Each question includes the question number, scoring, notes and recommendations (for questions that did not achieve full marks).

## 8.2. Quality Assurance of the Audit Process

The second component of quality assurance deals with the on-site performance of audit activities. Not only must the audit report be technically correct, it must be a statistically valid report on company activities.

**go2hr uses three methods of quality assurance to evaluate auditor performance and one for company performance:**

- **Statistical comparison to the work of other auditors;**
- **A Shadow Audit;**
- **A Verification Audit.**

The WorkSafeBC-initiated verification audit (WIVA) is the only case where company achievement is evaluated.

### 8.2.1. STATISTICAL COMPARISON

The first method of quality assurance method on auditor activities is statistical comparison across many different audit reports. The tracked results of individual auditor evaluations of company performance, by audit element, are collected over time. Long-term patterns that may indicate the need for further investigation include, but are not limited to:

- Unusually high or low scores on average;
- Unusually high or low variances between scores for multiple companies;
- Significantly different scores from adjacent auditors on the same company.

This is an automatic and ongoing process with a formal check at least annually. No reports are issued to auditors. A statistical anomaly would trigger shadow or verification activities and further investigation, rather than causing specific disciplinary actions.

### 8.2.2. SHADOW AUDIT

The shadow audit is the second method of quality assurance on auditor activities.

#### ***Definition and Purpose***

A shadow audit is a “ride-along” with an experienced certified auditor or member of go2hr staff, where the auditor being shadowed is performing a regular annual audit. The process is most often used as an opportunity for coaching, mentoring and discussion, rather than punitive investigation. The costs of the shadow auditor are covered by go2hr, while the costs of the normal auditor follow normal protocols. The shadow auditor, as the name implies, is intended to be as invisible as practical during the audit process. They may attend any or all phases of the audit, from the pre-audit meeting, through data collection through O, D and I methods (specifically including sitting in on interviews with the permission of the interviewee) to the post-audit meeting.

### ***Selection Method***

Selection methods for a shadow audit are a combination of random selection, specific requests and statistical analysis.

### ***Shadower Qualifications***

The person performing the shadow audit may be a:

- COR staff member from go2hr;
- COR staff member from another certifying partner in BC;
- Certified external auditor from another certifying partner in BC.

The shadow auditor will not be a current go2hr external auditor, in order to reduce any perception of conflict of interest between competitive auditors.

Shadow auditors will be evaluated on their auditing skills prior to being assigned shadow duties and will be trained on the process and the shadow audit tool.

### ***Outcome***

The shadow audit does not generate a score for the company and is not comparable to a normal audit. The auditor will receive a report on their performance during the audit listing key strengths and areas for improvement.

Depending on the outcome of the shadow audit, the auditor will be:

- Approved for continued auditing;
- Approved for continued auditing with improvement required;
- Approved for continued auditing after specific training has been completed;
- Recommended for specific training prior to completing additional auditing;
- Recommended for performance-based investigation.

In extreme cases, the audit results may be invalidated and the company and/or any other company audited by that auditor are required to undergo a new audit. go2hr assumes no financial obligation if an audit is invalidated.

### ***Shadow Audit Tool***

The shadow audit tool is amended from time to time and more often than this manual. See appendix A for a sample valid from May 2012 or obtain a more recent version from go2hr.

## **8.2.3. VERIFICATION AUDIT**

The verification audit is the final method of quality assurance on auditor activities.

### ***Definition and Purpose***

The verification audit is a verification of auditor activities. It does not attempt to verify that the company has met any particular standard of legislative, regulatory or company conformance. Documentation, observation and interview activities of the verification audit are to compare against the audit report, rather than either the company system or any external requirements for performance. The verification audit occurs between one and six months after the regular annual audit of the company and typically consists of a three to 6-hour on-site visit by the verifier. For very complex companies, additional days,

sites and/or verifiers may be statistically appropriate. Compared to the invisible shadow auditor, the verification auditor is an active presence on site, collecting observation, documentation and interview evidence. Interview evidence will include a brief interview with workers, supervisors and managers focussing on their interactions with the auditor and evaluating auditor performance. The costs of the verification audit (beyond the soft cost of the time that interviewees spend with the auditor) are covered entirely by go2hr.

### ***Selection Method***

Selection methods for a verification audit are a combination of random selection, specific requests and statistical analysis. Specific requests include notifications from WorkSafeBC that another Certifying Partner has decertified for cause an auditor that is shared with go2hr and that the auditor's name has been listed with WorkSafeBC. A minimum of 10% of certified external go2hr auditors will have their work on certification audits reviewed each year.

### ***Verifier Qualification***

The person performing the verification audit may be a:

- COR staff member from go2hr;
- COR staff member from another Certifying Partner in BC;
- Certified external auditor from another certifying partner in BC.

The verification auditor will not be a current go2hr external auditor, in order to reduce any perception of conflict of interest between competitive auditors. Verification auditors will be evaluated for their auditing skills prior to being assigned verification duties and will be trained on the process and the verification audit tool.

### ***Outcome***

The verification audit is not directly comparable to the normal audit process and does not generate a score for the company. Each question on the verification audit tool is assessed as having positive or negative outcome. Positive outcome means auditors' performance is satisfactory, negative outcome means that auditors' performance does not meet the standard and/or the evidence collected during verification audit does not support findings from the original audit report. The auditor will receive a report on their performance during the audit listing key strengths and areas for improvement.

Depending on the outcome of the shadow audit, the auditor will be:

- Approved for continued auditing;
- Approved for continued auditing with improvement required;
- Approved for continued auditing after specific training has been completed;
- Recommended for specific training prior to completing additional auditing;
- Recommended for performance-based investigation.

In extreme cases, the audit results may be invalidated and the company and/or any other company audited by that auditor required to undergo a fresh audit. go2hr assumes no financial obligation by invalidating an audit.

### ***Verification Audit Tool***

The verification audit tool is amended from time to time and more often than this manual. See Appendix C for an example of a verification audit tool current to March 2012 or obtain a more recent version from go2hr.

## 8.2.4. WORKSAFEBC-INITIATED VERIFICATION AUDIT (WIVA)

The WorkSafeBC-initiated verification audit (WIVA) is the only case where company achievement is evaluated. It is a tightly focussed audit that deals with similar concepts as the normal COR audit, but it is not directly comparable.

### ***Definition and Purpose***

WorkSafeBC requests that go2hr perform a WIVA when a certified company has WorkSafeBC orders or performance (injury or claims) inconsistent with good safety management principles. This is in addition to the regular annual audit. As with all quality assurance activities, costs of the audit are covered by go2hr.

### ***Verifier Qualifications***

The person performing the WIVA may be a:

- COR staff member from go2hr;
- COR staff member from another certifying partner in BC;
- Certified go2hr external auditor;
- Certified external auditor from another certifying partner in BC.

Certified go2hr external auditors are permitted to be WIVA auditors due to the different tool and scope from a regular audit. WIVA auditors will be evaluated for their auditing skills prior to being assigned WIVA duties and will be trained on the process and the WIVA tool.

### ***WIVA Audit Tool***

The WIVA tool is provided by and controlled by WorkSafeBC.

## 9. DISPUTE AND RESOLUTION PROCESS

From time to time, companies, auditors, WorkSafeBC and members of the public will provide feedback to go2hr about the COR program, rebates, auditors and / or certified employers. This feedback may be positive, negative or neutral. All parties have an obligation to pass this feedback on to go2hr and go2hr has an obligation to collect and respond to each item of feedback. The coordinator of this process will be the COR program manager, supported by the Director of Industry Human Resources Development.

If the feedback is negative feedback about the performance or activities of a certified company or certified auditor, go2hr will investigate further. Investigation steps may include statistical review, auditor or company quality assurance and direct evidence collection, as appropriate for the nature and severity of the alleged issue.

In the event that there is a dispute brought forth by an employer regarding the results of an audit performed by an external auditor, the matter will be resolved through a consensual process. The employer must submit a written request for a review of the audit report identifying the specific element that is being contested. As the certifying partner, go2hr will initially review the matter brought forth by the employer and ensure the report is free from clerical errors and that the auditor has applied a consistent approach to the element in question. The target time to complete this review is two weeks.

If a discrepancy remains after that, the matter will be reviewed further by go2hr representatives who may involve other parties (a sub-committee) as required (e.g. WorkSafeBC, OH&S Steering Committee members, legal counsel, etc.) The target time for that review is six weeks.

If the employer's complaint is validated by the sub-committee, points will be rewarded for the audit element (this does not necessarily ensure COR certification will be awarded, as all elements of the audit must receive a minimum of 50%, with a total score of over 80% achieved for the entire audit). The auditor that performed the audit will receive clarification on how to interpret the element in question in the future.

If the auditor's original decision is verified, the employer will be notified in writing with reasons for the decision and supplied with instruction on how to meet the requirements of the element. The decision of the sub-committee is final and not subject to appeal.

Feedback may be on the COR program, specifically including but not limited to:

- Auditor candidate selection;
- Auditor training;
- Auditor student evaluation;
- Student audit performance;
- Quality assurance reviews;
- Quality assurance on-site activities;
- Administrative requirements;
- Discipline issues.

If the feedback is made by an auditor or auditor candidate, then the auditor/candidate will be asked to submit a written report detailing their issue and proposed remedy. go2hr will review the issue to determine if go2hr Policies and Procedures Manual and COR Standards and Guidelines were followed. The target time for that review is two weeks. The closer that these guidance documents were followed, the less likely it is that the complainant will achieve their desired remedy. If the review is not sufficient to meet the needs of the complainant, the matter will be reviewed further by go2hr representatives who may involve other parties as required (e.g. WorkSafeBC, OH&S Steering Committee members, legal counsel, etc.) The target time for that review is six weeks. The sub-committee will provide a final decision on the issue in writing to the complainant with supported justification. The decision of the sub-committee is not subject to appeal.

In all cases, feedback (positive, negative or neutral) will be treated as an opportunity for program improvement. The overall objective is always to find practical ways to reduce injuries and improve workplace safety in the tourism and hospitality industry in British Columbia.

## APPENDIX A - SHADOW AUDIT FORM

Auditor Information		
Auditor Number		
Auditor Last Name		
Auditor First Name		
Host Company		
Dates of Shadow		
Date of Report		
	Work Information	Home Information
Street		
City		
Province		
Country		
Postal Code		
Telephone		
Email		

Reason for Shadow Audit	
<input type="checkbox"/> New Auditor	<input type="checkbox"/> Triggered Review
<input type="checkbox"/> Random	<input type="checkbox"/> Other:

Outcome of Shadow Audit	
<input type="checkbox"/> Approved for continued auditing	<input type="checkbox"/> Approved but improvement required
<input type="checkbox"/> Approved but training required	<input type="checkbox"/> Not approved – training required
<input type="checkbox"/> Recommend further investigation	<input type="checkbox"/> Recommend investigation of audit

General Notes

<b>Pre-audit Meeting</b>	
Knowledgeable on audit topics	
Presents all applicable material	
Answers questions appropriately	
Appropriate tone and appearance	
<b>Facility Orientation</b>	
Knowledgeable on audit topics	
Identifies situations as required	
Asks questions appropriately	
Appropriate PPE and appearance	
<b>Post-audit Meeting</b>	
Knowledgeable on audit topics	
Appropriate degree of depth	
Appropriate review time	
Appropriate organization skills	
<b>Interviews</b>	
Knowledgeable on audit topics	
Puts interviewee at ease	
Asks questions appropriately	
Listens more than talks	

## APPENDIX B - COR EXTERNAL AUDITOR ANNUAL DECLARATION FORM

### Instructions

Please read the current Auditor Manual, in particular the Auditor Code of Ethics, and complete this Professional Practice Report by January 31<sup>st</sup> of each year, referring to activities in the previous calendar year. Please submit by email to: [zkare@go2hr.ca](mailto:zkare@go2hr.ca)

Auditor Information		
Auditor Number		
Auditor Last Name		
Auditor First Name		
Auditor Company Name, if any		
	Work Information	Home Information
Street		
City		
Province		
Country		
Postal Code		
Telephone		
Email		
Updated web profile (Optional)	<input type="checkbox"/> Check here if an updated profile is attached. Format must be a PDF less than 1MB. Hyperlinks and pictures are permitted.	

Professional Designations (i.e. CHRP, CRSP, B.Sc., CHSC, MBA etc.):		
Designation	Province / Country & Certifying Body	Certification / Designation Maintenance Program? (Y/N)
List all current Certifying Partners in any jurisdictions that you are registered or certified with as an auditor:		
Certifying Partner	Province / Jurisdiction	



List number of audits submitted to the go2hr during the year reported:			
	Full or lead	Team member	Other
Internal			
External			
Total			

List number of audits completed for other Certifying Partners (CPs) during the year reported:	
Number of Audits	CP

List go2hr training sessions (ie. GoTo meetings, teleconferences) completed during the year reported:

List all continuing education completed during the year reported:	
Course Name:	Course Provider:

**Certified Auditor Affirmation:**

I, the undersigned, do hereby affirm that I read, understood, and agree to abide by the terms and conditions of the go2hr Auditor Code of Ethics. I have completed my self-assessment in accordance with go2hr requirements. I have reviewed my auditing practices and the go2hr Auditor’s Manual.

\_\_\_\_\_  
Auditor’s Name

\_\_\_\_\_  
Auditor’s Signature

\_\_\_\_\_  
Date

## APPENDIX C - go2hr VERIFICATION AUDIT TOOL

Host Company, Auditor, and Verification Auditor Information	
Auditor Number	
Auditor Name	
Host Company Registration Number with WorkSafeBC	
Host Company Trade Name	
Original Audit Report Date	
Verification Audit Date	
Verification Auditor Name	
Verification Auditor Telephone	
Verification Auditor Email	

Reason for Verification Audit	
<input type="checkbox"/> New Auditor	<input type="checkbox"/> Triggered Review
<input type="checkbox"/> Random	<input type="checkbox"/> Other (please specify)

Outcome of Verification Audit	
<input type="checkbox"/> Approved for continued auditing	<input type="checkbox"/> Approved but improvement required
<input type="checkbox"/> Approved but additional training required	<input type="checkbox"/> Further investigation pending
<input type="checkbox"/> Disciplinary action recommended	<input type="checkbox"/> Evidence of auditor misrepresentation

General Notes / Justification of the Outcome of Verification Audit

<b>Auditor Performance on Pre-audit Meeting</b>			
<b>Interview company host/contact</b>			
<b>Question</b>	<b>Performance Attribute</b>	<b>Notes</b>	<b>Outcome – Positive or Negative</b>
1	Knowledgeable on audit topics		
2	Presents all applicable material		
3	Answers questions appropriately		
4	Appropriate tone and appearance		

<b>Auditor Performance on Facility Orientation</b>			
<b>Interview company host/contact</b>			
<b>Question</b>	<b>Performance Attribute</b>	<b>Notes</b>	<b>Outcome – Positive or Negative</b>
5	Knowledgeable on audit topics		
6	Identifies situations as required		
7	Asks questions appropriately		
8	Uses appropriate PPE		

<b>Auditor Performance on Post-audit Meeting</b>			
<b>Interview company host/contact</b>			
<b>Question</b>	<b>Performance Attribute</b>	<b>Notes</b>	<b>Outcome – Positive or Negative</b>
9	Knowledgeable on audit topics		
10	Appropriate degree of depth		
11	Appropriate review time		
12	Appropriate organizational skills		

<b>Auditor Performance on Interviews</b>			
<b>Interview host/contact, 1 manager, 1 committee member, 1 worker interviewed during the original audit</b>			
<b>Question</b>	<b>Performance Attribute</b>	<b>Notes</b>	<b>Outcome – Positive or Negative</b>
13	Knowledgeable on audit topics		
14	Puts interviewee at ease		
15	Asks questions appropriately		
16	Listens more than talks		

<b>Observation (Verification Auditor to Perform 30 to 120-minute Orientation Tour of Company Operations)</b>			
<b>Compare results with formal audit report findings for specific questions</b>			
<b>Question</b>	<b>Corresponding go2hr Audit Tool Question</b>	<b>Findings/Notes</b>	<b>Comparison with Original Audit Findings: Outcome – Positive or Negative</b>
17	2.12 Do employees wear appropriate PPE where required?		
18	3.4 Are first aid equipment and supplies available as required?		
19	8.5 Are minutes from JOHSC meetings made accessible to all employees?		

<b>System Functionality / Documentation Review</b>			
<b>Review documentation related to each question below and compare to original audit report findings</b>			
<b>All following questions are documentation based, with interview as an alternate if documentation not conclusive</b>			
<b>Question</b>	<b>Corresponding go2hr Audit Tool Question</b>	<b>Findings/Notes</b>	<b>Comparison to Original Audit Findings: Outcome – Positive or Negative</b>
20	1.2 Are the aims of the health and safety policy clearly stated?		
21	2.3 Is there a process for reporting unsafe conditions?		
22	2.11 Are employees who use PPE trained?		
23	3.6 Is there a procedure for rendering and reporting of first aid services?		
24	4.2 Are inspections being performed as per inspection policy/procedure?		
25	5.1 Does the employer have an accident/incident investigation procedure?		

26	5.5 Are investigation findings and recommendation discussed with JOHSC?		
27	6.4 Does the organization have a health and safety orientation for all new employees?		
28	7.2 Are records and statistics collected and analyzed to determine incident trends?		
29	8.2 Does the JOHSC have written terms of reference?		
30	8.4 Are JOHSC meetings held regularly?		

# APPENDIX D - AUDIT BACKGROUND INFORMATION FORM

## Company

WorkSafeBC Account Number:		
Legal Name of Company (as registered with WorkSafeBC)		
Operating/Trade Name		
First & Last Name of Company Contact		Title
Company Address		City/Town
Province	Postal Code	Email
Company Phone Number		Company Fax Number

## Audit/Auditor

<input type="checkbox"/> Certification Audit <input type="checkbox"/> Student Audit <input type="checkbox"/> Maintenance Audit <input type="checkbox"/> Limited Scope Audit <input type="checkbox"/> Re-Certification Audit <input type="checkbox"/> Joint Audit * Other: _____		* for Joint Audit list Companies included in Audit Scope here:	
		Legal Name of Company	WSBC Account Number
			Classification Unit(s)
Auditor Certification Number		<input type="checkbox"/> External Auditor <input type="checkbox"/> Internal Auditor	
First & Last Name of Auditor			
Auditor Phone Number		Auditor e-mail	
Audit Start Date	Audit End Date	Audit Report Submission Date	
Classification Unit(s) Included in Audit Activities			
<input type="checkbox"/> 761031 Golf Course, Driving Range, Pitch & Put, Lawn Bowling Facility <input type="checkbox"/> 761032 Private Park, Garden, or Zoo <input type="checkbox"/> 761034 Pub, Bar, Night Club, or Lounge <input type="checkbox"/> 761035 Restaurant or Other Dining Establishment <input type="checkbox"/> 761038 Ski Hill or Gondola Ride		<input type="checkbox"/> 761056 Overnight and Short-term Accommodation <input type="checkbox"/> 741013 General Retail <input type="checkbox"/> Other _____ <input type="checkbox"/> Other _____ <input type="checkbox"/> Other _____	

## Audit Interviews

Number of FTEs (Full-Time Equivalent employees - calculated by dividing the total annual payroll hours by 2080)	Minimum Number of Interviews Required (as per Auditor Manual)
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**Audit Sampling Plan**

	Audit Site Name	Classification Unit(s) Represented	Sites Selected for Audit				Number of Employees Interviewed per Site during Current Audit (M – manager, S – supervisor, W – worker)		
			Current Audit	1 yr ago	2 yrs ago	3 yrs ago			
1.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	M	S	W
2.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	M	S	W
3.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	M	S	W
4.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	M	S	W
5.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	M	S	W
6.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	M	S	W
7.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	M	S	W
8.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	M	S	W
9.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	M	S	W
10.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	M	S	W
TOTAL									

Please list all sites, whether sampled or not. Attach additional sheet if required.

**Audit Sampling for IM/RTW COR**

<input type="checkbox"/> Injury Management/Return to Work COR not Attempted in Audit	Number of Case Files in the Organization	Number of Case Files Included in the Audit
Scope of IM/RTW Records <input type="checkbox"/> Last 6 Months <input type="checkbox"/> Since Last Audit <input type="checkbox"/> Last 12 Months <input type="checkbox"/> Other <input type="checkbox"/> Current Calendar Year		

**Audit Results**

Occupational Health and Safety (OHS) COR		Injury Management (IM) / Return to Work (RTW) COR	
<input type="checkbox"/> Pass <input type="checkbox"/> Fail		<input type="checkbox"/> Pass <input type="checkbox"/> Fail <input type="checkbox"/> Did Not Attempt	
Audit Element	Score	Audit Element	Score
1. Management Leadership and Commitment		1. IM/RTW Policy, Management, and Leadership	
2. Hazard Identification and Control		2. Resources, Education, and Training	
3. Safe Work Procedures and Written Instructions		3. Stay at Work and Return to Work	
4. Inspection of Premises, Equipment, Workplaces		4. Communication	
5. Investigation of Incidents/Accidents		<b>OVERALL SCORE</b>	
6. Training and Instruction of Employees			
7. Program Administration			
8. Joint Occupational Health and Safety Committee			
<b>OVERALL SCORE</b>			

**Please submit this form along with other required audit report documents to:**

Zito Kare. Industry Health and Safety Specialist

Fax: 604-633-9796

Email: [zkare@go2hr.ca](mailto:zkare@go2hr.ca)

