



COR Toolkit:

An Employer Guide to
COR Certification



OVERVIEW

The maintenance of health and safety records is necessary in order to determine the effectiveness of a health and safety program. Reports of inspections and incident investigations are required in order to determine incident trends, including their frequency and severity. Effective communication of the program is necessary in order to promote a good safety culture. Performing the COR audit annually is a major review, but the company needs to stay on top of its own system. Think of the audit as your annual physical. As a company you still should look in the mirror daily and step on the scales weekly.

The audit will measure the following:

- A health and safety records management system.
- The analysis of records and statistics that determine incident trends (frequency, severity, and type and nature of worker injury).
- Effective communication of the program at all levels.
- A system for program evaluation and a plan to correct deficiencies.

KEY CONCEPTS AND IMPLEMENTATION TIPS

In order to meet the above objectives, the audit checks whether:

- The employer keeps records in a way that they can be retrieved.
- The records required by legislation, the Occupational Health and Safety (OHS) Regulation and the company are maintained.
- The records are analyzed on a regular basis, at least annually.
- Senior management has formulated a plan based on that analysis.
- Everyone in the company knows the major themes that the plan is going to address (i.e., reducing cuts or improving return-to-work times).

RELEVANT REGULATION AND LEGISLATION

Searchable versions of the Occupational Health and Safety (OHS) Regulation and the *Workers Compensation Act* are available online at <https://link.go2hr.ca/cor-E1-001>.

Occupational Health and Safety Regulation (WorkSafeBC)

Records and Statistics — [Section 3.3\(f\)](#)



GUIDELINES FOR USING THE COR AUDIT TOOL

Question 7.1

Is there a health and safety records management system? Are records being maintained as per the policy?

Auditor Guideline

Review a representative sample of documentation from the program to ensure there is a system to manage health and safety records. For example, which documents are collected and how documents are collected, retained, stored and protected.

Employer Guideline

The company needs a policy or procedure that outlines which documents are to be stored, how many years they will be kept, where they will be stored and what security measures are in place to protect the private information contained within those documents. The second part of the question tests whether the policies are being followed, documents were readily available at the time of the audit and whether any requested documents were found easily.

Question 7.2

Are records and statistics collected and analyzed to determine incident trends (frequency, severity, and type and nature of worker injury)?

Auditor Guideline

Review documentation to ensure records and statistics are being collected and analyzed to determine incident trends (including frequency, severity, and type and nature of worker injury).

Employer Guideline

Auditors look to see that information and analysis are being gathered from recorded incidents. Are reports being examined for trend analysis, are corrective actions being put in place to mitigate the risk and is the information shared with everyone? This analysis can be presented in graphs, through joint health and safety committee meeting minutes, in newsletters or posted on OHS boards.



Question 7.3

Are the outcomes of the analysis of incident trends communicated to all employees?

Auditor Guideline

Interview employees to determine their level of awareness of incident trends and plans to correct deficiencies.

Employer Guideline

The question is looking to verify whether employees have seen or heard any analysis of incident trends, or where they would find this information if they wanted to. Positive findings would result if employees were aware of overall, big-picture themes or were aware of detailed plans that directly affect them. It is unreasonable to require employees to be aware of detailed plans that have no direct impact on their work, but it is regarded as highly positive if they are.

Question 7.4

Is there a safety improvement plan based on the analysis of incident trends referred to in question 7.2?

Auditor Guideline

Review documentation (e.g., management meeting minutes and joint committee meeting minutes) to determine if incident trends are being used to evaluate and correct deficiencies in the health and safety program.

Employer Guideline

This question is looking for evidence that the information gathered is being put to use to manage the identified risks and to address any issues that can improve the safety culture and safety performance of the company. If there is no information gathered in question 7.2, this question cannot have a positive score. Some companies have a separate plan to deal with incident trends, which can also be tracked in joint committee meeting minutes or other committee minutes.



Question 7.5

Does senior management make sure that previous safety audit recommendations are implemented and deficiencies corrected?

Auditor Guideline

- Review documentation to confirm previous safety audit recommendations are implemented and deficiencies corrected.
- Interview a representative number of managers to determine if recommendations and deficiencies are dealt with.

Employer Guideline

This question is looking for any other safety audit that might have been performed. This can be a previous COR external audit or internal audit. For companies that are undergoing their first formal COR audit, results of an internal dry run or gap analysis would be evaluated. Some companies that are part of large corporations may have undergone corporate safety audits using non-COR tools. These would also be valid. If no safety audit has been performed, no points are awardable. If an audit has been performed, then the auditor will evaluate the percentage of deficiencies that have been addressed to date. While having a plan that is not yet enacted is better than having no plan for a particular item, this question only evaluates the percentage of items that have been completed.

SUPPORTING RESOURCES

Record Keeping

Joint Health and Safety Committee Fundamentals: Participant Workbook (WorkSafeBC)

<https://link.go2hr.ca/cor-E7-002>

Managing Safety from the Supervisor's Perspective (WorkSafeBC)

<https://link.go2hr.ca/cor-E7-003>

FORMS, POLICIES AND PROCEDURES

go2HR has sample forms, policies and procedures you may find helpful for developing your safety management system. You can download and modify the following Word documents to suit the specific needs of your operation:

- Safety Records and Statistics
<https://link.go2hr.ca/cor-E7-004>