Completing the Audit Tool - Safety Management System

These instructions provide information on how to use the Audit tool. The organization's audit is intended to give an evaluation of a company's current health and safety program.

The COR Audit has **eight elements** that provide a basic measurement of an effective health and safety program. Each element will have several questions designed to analyze important aspects of each audit element. Each question has several parts including:

    a. Audit Questions
    b. Auditor Guidelines
    c. Scoring
    d. Notes/Recommendations

Each question is evaluated using one or more of the following **three verification techniques**:

1. **Documentation:** Paperwork is reviewed by the Auditor during the audit.
2. **Interview:** Interviews will be held with managers, supervisors, workers, safety committee members and others, on a formal or informal basis.
3. **Observation:** The Auditor will observe to see the actual activity being performed during the audit.

In the following section, each of the question components will be explained.

A. Audit Questions

The first column in the audit tool is the question that is being asked. The auditor must answer the questions definitively based on evidence given.

Example - **Question**

Question 6.1	Auditor Guideline	D	O	I	Scoring
Does the company have a program to ensure employees are trained, qualified, and competent to perform their tasks safely?	Review **documentation** to verify there is a system to ensure job-specific instructions and training have been given to workers, training and instruction is current and followed.				20 points (0 , 20)

B. Auditor Guidelines/DIO

These are written instructions for the person using the audit instrument to identify two things:

1. How to verify the information (**Documentation**, **Interview** or **Observation**)

2. What to look for when determining whether the company has met the intent of the question

These guidelines are found in the text portion of the question, as in the following example:

Example - **Auditor Guideline**

Question 6.1	Auditor Guideline	D	O	I	Scoring
Does the company have a program to ensure employees are trained, qualified, and competent to perform their tasks safely?	Review **documentation** to verify there is a system to ensure job-specific instructions and training have been given to workers, training and instruction is current and followed.				20 points (0 , 20)

C. Audit Scoring

Every company that undertakes an audit must 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 each element, with an overall score of at least **80%** to meet the standard.

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

Example - Scoring **(All or nothing scoring)**

Question 8.1	Auditor Guideline	D	O	I	Scoring
Is there a joint occupational health and safety committee (JHSC)?	Review **documentation** (JHSC meeting minutes) to confirm there is a joint health and safety committee.	0			10 points (0 , 10)
Notes / Findings					
There is no evidence of a JHSC due to lack of meeting minutes and Terms of Reference. D 0/10 point awarded					
Continual Improvement Opportunities					
Click or tap here to enter text.					

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.

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 JHSC (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
Are investigation findings and recommendations discussed with the joint occupational health and safety committee?	Review **documentation** (JHSC meeting minutes) to ensure findings and recommendations are reviewed with the committee.	16			20 points for Documentation (0 – 20)
Notes / Findings					
JHSC Meeting minutes from the three previous months show 4/5 investigations were discussed. D (4/5 x 20 = 16) 16/20 points awarded					
Continual Improvement Opportunities					
Click or tap here to enter text.					

Once scores for all questions in the audit tool have been compiled the marks must be entered into the scorecard, a fillable document that will calculate the scores and total percentage for each element when answers for each question are entered.

D. Auditor Notes & Recommendations

Notes / Findings

Auditors must be certain that their findings are valid and justified in all cases. If a question is not applicable, the reason must be included in the notes section, and it must be clear why it does not apply to this particular organization. Auditor comments must support how the Auditor arrived at a result, by noting where documentation was located (i.e., office file, supervisor's truck), what was observed (i.e., observed policy on bulletin boards, observed worker not wearing a hard hat), or by summarizing documentation or interview comments (i.e. listing some examples found or shared).

The level of detail required should be relatively proportional to the point value of the question. In general, higher-point questions require more detailed responses to support the findings and justify the points awarded. In every case when recording findings, use the following framework:

- Affirm the question;
- Provide background to support the finding;
- Confirm the score.

Developing Recommendations

After a question has been answered and commented on, a recommendation or continual improvement may be made. In every instance where full points are not achieved, **there must be a recommendation made** regarding how the organization can improve their program. This recommendation will be made in the notes section and then added into the corresponding corrective action plans (explained in the section below).

Question 2.5	Auditor Guideline	D	O	I	Scoring
Do qualified individuals participate in the hazard identification process?	Review **documentation** to confirm qualified individuals participate in hazard identification process. **Interview** Supervisors and Workers to verify qualified individuals participate in the hazard identification process.	0		5	5 points for documentation (0 , 5) 5 points for interviews (0 - 5) Award points based on percentage of positive responses; if more than 70%, award full points.

Notes / Findings
A total of 34 risk assessments were reviewed to confirm qualified individuals participate in the hazard identification process. None of the records reviewed include the name(s) of the individual(s) that developed or reviewed them. **D 0/34 = 0/5 points awarded** 24 out of 30, 80% of the workers and 5 out of 5, 100% of the supervisors were able to discuss the responses; if hazard identification assessment process, who performed the analysis (department heads and/or supervisors with worker input) and they believed they were qualified to perform the analysis. **I 29/35 = 83%, 70% threshold met, 5/5 interview points awarded**

Continual Improvement Opportunities
Recommendation:
In order to adequately confirm participation in the hazard identification assessment process and to meet the requirements of this question the documentation needs to confirm participation in the assessment process. Develop a system that includes the names or positions of those performing the risk assessment review and development.