



COR[®] 2020 AUDIT TOOL



The Infrastructure Health & Safety Association (IHSA) is your new partner in preventing workplace injury and illness. We serve the transportation, electrical, utilities, construction, aggregates, pipelines, and ready-mix concrete industries.

IHSA was founded in January 2010 by amalgamating the Construction Safety Association of Ontario (CSAO), the Electrical & Utilities Safety Association of Ontario (E&USA) and the Transportation Health and Safety Association of Ontario (THSAO).

We are committed to providing you with world-class service and the information you need to prevent occupational injury and illness.

Disclaimer:

The contents contained in this publication are for general information only. This publication should not be regarded or relied upon as a definitive guide to government regulations or to safety practices and procedures. The contents of this publication were, to the best of our knowledge, current at the time of printing. However, no representations of any kind are made with regard to the accuracy, completeness or sufficiency of the contents. The appropriate regulations and statutes should be consulted. Readers should not act on the information contained herein without seeking specific independent legal advice on their specific circumstance. Infrastructure Health & Safety Association is pleased to answer individual requests for counseling and advice.

© Infrastructure Health & Safety Association 2010.

	Certificate of Recognition® 2020 Audit Tool
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element 1: Health and Safety Policy and Document and Record Control	Score Possible	Score Achieved	Legislated	Verification Technique
---	----------------	----------------	------------	------------------------

1.1 Health and Safety Policy

The health and safety policy sets the direction for your OHSMS. It confirms senior management's commitment to providing a healthy and safe work environment.

Does the organization have an OHS policy statement that:

1.1.1	Includes a commitment for senior management to set and review OHS objectives and continual improvement of the OHSMS and OHS performance ?	2			Documentation
-------	---	---	--	--	---------------

Auditor's Notes

1.1.2	Includes senior management and management's commitment to provide a safe and healthy work environment for the prevention of injuries and illnesses?	2			Documentation and Interview
-------	---	---	--	--	-----------------------------

Management	How do you demonstrate your commitment to providing a healthy and safe work environment?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	How does management demonstrate their commitment to health and safety?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	

Auditor's Notes

1.1.3	Expresses a commitment to be in compliance with applicable OHS legal and other requirements ?	2			Documentation
-------	--	---	--	--	---------------

Auditor's Notes

1.1.4	Expresses a commitment to work in a spirit of consultation and co-operation with workers?	2			Documentation
-------	--	---	--	--	---------------

Auditor's Notes

1.1.5	Refers to a program that addresses health and safety responsibilities for workplace parties?	2			Documentation and Interview
		2			
Management	How does the health and safety policy statement address your responsibilities with regards to your personal safety and the safety of others?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	What are your responsibilities under the health and safety policy statement?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes					
1.1.6	Recognizes the right of workers to work in a safe, healthy work environment?	2			Documentation
Auditor's Notes					
1.1.7	Is signed by the president, CEO or local senior management?	2			Documentation
Auditor's Notes					
1.1.8	Is current?	2		*	Documentation
Auditor's Notes					

1.1.9	Is visibly posted in the workplace?	2		*	Interview or Observation
Workers	Where would you find the health and safety policy?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes/Observation Notes					
1.1.10	Is reviewed at least annually?	2		*	Documentation
Auditor's Notes					
1.1.11	Is communicated and understood by employees?	2			Documentation and Interview
		2			
Management	How do you ensure that personnel understand the policy statement?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Explain what the policy statement means to you?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes					
Element 1.1 Subtotal		26	0	0% achieved E1.1 Failed LQ(s)*	

1.2 Document and Record Control				
<i>A document/record control procedure provides direction to track, manage, and store documents and records and assists with accuracy and due diligence.</i>				
1.2.1	Does your organization have a written procedure for documentation, document control and record control that includes:			Documentation
	a) Roles and responsibilities	1		
	b) Documents and records determined by your organization to be necessary for the effectiveness of the OHSMS	1		
	c) Requirement to ensure documents are approved prior to issue	1		
	d) Requirement to review, update, re-approve or withdraw documents as necessary	1		
	e) Requirement to ensure changes to, and current revision status of, documents are identified and tracked	1		
	f) Requirement to ensure relevant versions of applicable documents are readily available at the point of use	1		
	g) Requirement to identify documents of external origin that may be necessary for the planning and operation of the OHSMS	1		
	h) Requirement to prevent the unintended use of obsolete documents and identify such documents if they are retained for any purpose	1		
	i) Requirement for the identification and retention of records as necessary to demonstrate conformity to the requirements of your OHSMS	1		
	j) Requirement for protection of privacy and confidentiality, as appropriate	1		
	k) Requirement to ensure documents and records remain legible and readily identifiable	1		
Total		11	0	
Auditor's Notes		Please enter a score of 0 or 1 in 'Score Achieved' cells above.		

Element 1.2 Subtotal	11	0	0% achieved	E1.2
Element 1 Total	37	0	0% total achieved ⊗ Failed LQ(s)* ⊗ Incomplete Score	

	Certificate of Recognition® 2020 Audit Tool
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element 2: Hazard Assessment, Analysis and Control	Score Possible	Score Achieved	Legislated	Verification Technique
--	----------------	----------------	------------	------------------------

Hazard assessment is fundamental to your OHSMS. It is a formalized way to identify your **hazards** and systematically analyze the **risks** to determine the necessary controls.

2.1	Does your organization have a documented policy statement for hazard assessment , analysis and control that is current, signed and dated by senior management ?	2			Documentation
-----	---	---	--	--	---------------

Auditor's Notes

2.2	Does your organization have a written procedure for hazard assessment , analysis and control that includes:				Documentation
	a) Roles and responsibilities	1			
	b) Required competencies for conducting hazard assessment , analysis and control	1			
	c) Requirement for involvement of appropriate competent workplace parties such as workers, supervisors, maintenance, engineering and suppliers in the hazard assessment process	1			
	d) Requirement to conduct hazard assessments for all operations, including routine and non-routine, and human factors where work is performed	1			
	e) Requirement for reporting actual and potential hazards	1			
	f) Requirement to conduct risk assessments for identified hazards : i. Proactively prior to commencement of tasks ii. When equipment, material, substance or process is introduced or changed iii. When a change to the OHSMS may impact workplace operations or activities	1			
	g) Identification of when to review, and update hazard assessments such as after investigations, when the phase of project changes; and must be completed at least annually	1			
	h) Requirement to identify hazards originating outside of the workplace that may impact OHS within the workplace for which the organization has control	1			
	i) Consideration of legal requirements and associated standards and guidelines	1			
	j) Consideration of design and layout of the work area, ergonomics, machinery and processes	1			
	k) Requirement to utilize a standardized risk rating system to prioritize risks before and after identifying controls	1			
	l) Requirement to develop a list of identified critical tasks and/or activities based on the risk rating system	1			
m) Specific forms for recording hazard assessments , analysis and control?	1				
Total	13	0			

Auditor's Notes Please enter a score of 0 or 1 in 'Score Achieved' cells above.

Auditor's Notes

2.3	Are hazard assessments conducted, documented and approved for all operations including routine and non-routine operations and human factors?	6			Documentation
Auditor's Notes					
2.4	Have hazard assessments been updated as per the procedure ?	4			Documentation
Auditor's Notes					
2.5	Are appropriate workplace parties involved in the hazard assessment process as per the procedure ?	2			Documentation and Interview
		2			
Management	What is your role in the hazard assessment process?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Please describe your involvement in the hazard assessment process?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes					
2.6	Are workplace and job specific hazards clearly identified in the hazard assessment documents?	3			Documentation and Interview
		2			
Workers	What type of work do you do? What main hazards are there with that work? How are they documented?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
2.7	Are risks prioritized before identifying adequate controls?	2			Documentation
Auditor's Notes					

2.8	Are risks prioritized after identifying adequate controls?	2			Documentation
Auditor's Notes					
2.9	Is there a list of identified critical tasks and/or activities that was identified using a company specific risk rating assessment?	3			Documentation and Interview
Management	What are the main hazards with the work that you oversee?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	What do you feel are the main hazards with your work?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes					
2.10	Are documented controls referenced in the hazard assessments?	3			Documentation
Auditor's Notes					
2.11	Are control measures made available and appropriate employees informed of the control strategies as per the procedure?	3			Documentation and Interview
Workers	How do you find out about control measures? Can you give some examples?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					

2.12	Are documented controls implemented for identified hazards ?	3			Observation and Interview
Management	Do you feel that the hazard controls are working? Why or why not?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Do you feel that the hazard controls are working? Why or why not?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes/Observation Notes					
2.13	Are documents and records maintained as per the procedures in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 2 Total		52	0	0% total achieved ⊗ Incomplete Score	

	<h2>Certificate of Recognition® 2020 Audit Tool</h2>
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form. Not yet saved.

Element 3: Controls	Score Possible	Score Achieved	Legislated	Verification Technique
---------------------	----------------	----------------	------------	------------------------

Once **hazards** are identified and assessed, it is necessary to develop formal controls for **workplace parties** to follow to ensure their safety. Following the hierarchy of controls ensures the most effective controls are in place.

3.1	Does your organization have a documented policy statement for controls that is current, signed and dated by senior management ?	2			Documentation
-----	--	---	--	--	---------------

Auditor's Notes

3.2	Does your organization have a written procedure for controls that includes:				Documentation
	a) Roles and responsibilities	1			
	b) Requirement for senior management to approve all controls	1			
	c) Requirement to include management and workers in the development and review of controls	1			
	d) Taking into account the hierarchy of controls <ul style="list-style-type: none"> i. Elimination ii. Substitution iii. Engineering controls iv. Administrative controls v. Personal protective equipment 	1			
	e) Taking into account applicable legal and other requirements such as standards, guidelines or manufacturer's instructions	1			
	f) Specific forms for documenting controls	1			
	g) Requirement to communicate control measures to affected workplace parties	1			
	h) Requirement to make control measures readily available at the point of use as required?	1			
	Total	8	0		

Auditor's Notes Please enter a score of 0 or 1 in 'Score Achieved' cells above.

3.3	Have appropriate controls been documented and approved as per the procedure?	4			Documentation and Interview
Management	What is the procedure to approve documented controls? Who approves them?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)

Auditor's Notes

3.4	Do the documented controls accurately reflect the organization's activities?	3			Documentation and Observation
		2			
Auditor's Notes/Observation Notes					
3.5	Have controls been developed following the hierarchy of controls?	4			Documentation
Auditor's Notes					
3.6	How have the documented controls been communicated to affected workplace parties ?	2			Documentation
Auditor's Notes					
3.7	Are the controls understood by workers?	2			Observation and Interview
Management	How do you determine that workers understand the controls?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Do you find the controls easy to understand? Give me two examples of controls.	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes/Observation Notes					

3.8	Are controls made readily available at the point of use?	2			Observation or Interview
Management	How do you make sure documented controls are readily available?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Where can you find the documentation on controls?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes/Observation Notes					
3.9	Are the requirements for controls followed by all workplace parties ?	4			Observation and Interview
Management	How do you ensure that everyone complies with the requirements for controls?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Do you comply with the requirements for controls? Do you find that everyone complies with the requirements for controls?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes/Observation Notes					
3.10	Do both management and workers participate in the development and review of controls?	2			Documentation and Interview
		2			
Management	Are you involved in the development and review of controls? If not, who is?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Are you involved in the development or review of existing controls? If not, who is?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes					
3.11	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 3 Total		39	0	0% total achieved ☒ Incomplete Score	

 IHSAA.ca <small>Work Safe For Life</small>	Certificate of Recognition® 2020 Audit Tool
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element 4: Procurement and Contractor Management	Score Possible	Score Achieved	Legislated	Verification Technique
--	----------------	----------------	------------	------------------------

When hiring service providers they may be exposed to, or create new **hazards**, in your workplace. It is important to make sure these **hazards** are assessed and controlled.

4.1	Does your organization have a documented policy statement for procurement and contractor management that is signed and dated by senior management ?	2			Documentation
-----	---	---	--	--	---------------


Auditor's Notes

4.2	Does your organization have a written procedure for procurement and contractor management that includes:				Documentation
	a) Roles and responsibilities	1			
	b) Requirement for the contractor/service provider to complete a hazard assessment as per Element 2 Hazard Assessment , Analysis and Control; and Element 3 Controls	1			
	c) OHS criteria for selecting, monitoring and evaluating contractor /service providers that includes: <ul style="list-style-type: none"> i. The ability and competency of the contractor to be able to assess/analyze and control hazards arising from their own work that may impact the organization's workers ii. The ability and competency of the contractor to be able to assess/analyze and control hazards arising from the organizations work that may impact the contractor's workers 	1			
	d) Communication with workplace parties when there are changes affecting the health and safety of the work	1			
	e) Requirement for the organization to lead the coordination of their site specific OHS requirements on multi-employer workplaces	1			
	f) Specific forms for evaluating contractors and service providers?	1			
	Total	6	0		

Auditor's Notes	Please enter a score of 0 or 1 in 'Score Achieved' cells above.

4.3	Has your organization followed its OHS criteria for selecting contractors and service providers?	4			Documentation
-----	---	---	--	--	---------------

Auditor's Notes

4.4	Has your organization monitored your contractors and service providers as per the procedure?	4			Documentation and Interview
Management	Describe the process for monitoring contractors.	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
4.5	Has your organization evaluated the contractors and service providers as per the procedure?	4			Documentation and Interview
Management	Describe the process for evaluating contractors.	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
4.6	Has your organization communicated with relevant workplace parties when changes have occurred?	4			Documentation
Auditor's Notes					
4.7	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 4 Total		26	0	0% total achieved  Incomplete Score	

	Certificate of Recognition® 2020 Audit Tool
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element 5: Company Rules	Score Possible	Score Achieved	Legislated	Verification Technique
Company rules establish the OHS norms within the workplace. They may have many titles such as code of conduct or golden rules.				

5.1	Does your organization have a documented policy statement for company rules that is current, signed and dated by senior management ?	2			Documentation
-----	---	---	--	--	---------------


Auditor's Notes					

5.2	Does your organization have a written procedure for company rules that includes:				Documentation
	a) Roles and responsibilities for setting, implementing and complying with company rules	1			
	b) Ensuring both standard and work location specific rules are available	1			
	c) Requirement for company rules to be written and either visibly posted or provided to each employee	1			
	d) Ensuring company and workplace specific rules are clearly explained to workers in a way that they understand them	1			
	e) Ensuring company rules are applied and enforced consistently throughout the organization	1			
	f) A progressive discipline procedure	1			
Total		6	0		

Auditor's Notes	Please enter a score of 0 or 1 in 'Score Achieved' cells above.

5.3	Are company rules clearly stated in writing?	2			Documentation
-----	--	---	--	--	---------------

Auditor's Notes					

5.4	Are the rules visibly posted or provided to each employee?	2			Observation or Interview
Management	Are company rules provided to workers and/or posted in the workplace? When and where?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Were you given the company rules or do you know where they are posted?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes/Observation Notes					
5.5	Do workers understand the company's rules?	2			Interview
Workers	Were the company rules explained to you? Give some examples of the rules.	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
5.6	Are the company rules applied and enforced consistently throughout the company?	2			Documentation and Interview
Workers	What happens if someone breaks a company rule?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
5.7	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 5 Total		18	0	0% total achieved  Incomplete Score	

 Version 2.0	<h2 style="margin: 0;">Certificate of Recognition® 2020 Audit Tool</h2> <p style="font-size: small; margin: 0;">Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool</p>
--	---

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element 6: Personal Protective Equipment	Score Possible	Score Achieved	Legislated	Verification Technique
--	----------------	----------------	------------	------------------------

*Personal protective equipment (PPE) is a common control method for many **hazards**. PPE is the last resort in the hierarchy of controls. When used it is important to ensure all other possibilities for controls have been considered. PPE always requires training on fit, care and use to be effective.*

6.1	Does your organization have a documented policy statement for personal protective equipment that is current, signed and dated by senior management ?	2			Documentation
-----	---	---	--	--	---------------

Auditor's Notes

6.2	Does your organization have a written procedure for personal protective equipment that includes:			Documentation
	a) Roles and responsibilities	1		
	b) Ensuring activities requiring PPE are documented	1		
	c) Ensuring specific criteria is used to select appropriate PPE for all activities	1		
	d) Written rules and/or guidelines for the proper fitting, care and use of PPE and ensure workers are made aware of them	1		
	e) Ensuring the appropriate PPE is provided and/or made available to workers for specific activities	1		
	f) Requirement for inspection and maintenance of PPE as per manufacturer's and legislative requirements	1		
	g) Ensuring management , supervisors, workers, sub-contractors and suppliers of service use required PPE	1		
	h) Specific forms for inspecting personal protective equipment?	1		
Total		8	0	

Auditor's Notes	Please enter a score of 0 or 1 in 'Score Achieved' cells above.
------------------------	--

--

6.3	Has the organization documented the required PPE for all activities?	4			Documentation
Auditor's Notes					
6.4	Is PPE selected as per the procedure ?	2			Documentation and Interview
Management	Describe the PPE selection procedure.	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
6.5	Are there written rules and/or guidelines for the proper fitting, care and use of PPE?	2			Documentation and Interview
Management	How do you ensure that everyone follows the guidelines for the fitting, care and use of PPE?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
6.6	Are workers made aware of the requirements for the proper fitting, care and use of PPE?	4			Documentation and Interview
Workers	What type of PPE do you regularly use? Describe the fitting, care and use.	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
6.7	Is adequate PPE provided and made available to workers for specific activities?	3			Observation and Interview
Management	How do you ensure that appropriate PPE is made available?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	What PPE is provided by your employer? Is it readily available?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes/Observation Notes					

6.8	Are personnel inspecting PPE as per manufacturer's and legislative requirements?	3		*	Documentation
Auditor's Notes					
6.9	Do management , supervisors, workers and sub-contractors/suppliers of services use required PPE?	2			Observation
Auditor's Notes/Observation Notes					
6.10	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 6 Total		32	0	0% total achieved ☒ Failed LQ(s)* ☒ Incomplete Score	

	Certificate of Recognition® 2020 Audit Tool
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element 7: Preventative Maintenance	Score Possible	Score Achieved	Legislated	Verification Technique
-------------------------------------	----------------	----------------	------------	------------------------

Preventative maintenance is a formalized system to ensure that equipment, tools, vehicles and facilities are kept in safe working order.

7.1	Does your organization have a documented policy statement for preventative maintenance that is current, signed and dated by senior management ?	2			Documentation
-----	--	---	--	--	---------------

Auditor's Notes

7.2	Does your organization have a written procedure for preventative maintenance that includes:			Documentation
	a) Roles and responsibilities	1		
	b) An inventory of items to be maintained (whether owned, leased or rented)	1		
	c) Requirement for use of preventative maintenance schedules	1		
	d) Requirement to meet manufacturers' preventative maintenance guidelines and legislated requirements	1		
	e) Requirement to keep records including corrective actions taken	1		
	f) Qualifications for worker(s) performing the inspection and maintenance	1		
	g) Requirement to remove overdue and/or defective tools, equipment, facilities and vehicles from service	1		
h) Specified forms and/or software for scheduling and tracking preventative maintenance?	1			
Total		8	0	

Auditor's Notes	Please enter a score of 0 or 1 in 'Score Achieved' cells above.
-----------------	---

--

7.3	Is there an inventory of items to be maintained?	2			Documentation
-----	--	---	--	--	---------------

Auditor's Notes

7.4	Are there schedules that meet manufacturer's preventative maintenance guidelines and legislated requirements?	3			Documentation
-----	---	---	--	--	---------------

Auditor's Notes

7.5	Is preventative maintenance being performed as planned based on schedules and preventative maintenance requirements?	3			Documentation
Auditor's Notes					
7.6	Do the records include corrective action taken?	3			Documentation
Auditor's Notes					
7.7	Does a competent /qualified worker perform the inspection and maintenance as per the procedure ?	2			Documentation
Auditor's Notes					
7.8	Have defective vehicles, tools and equipment been removed from service as per the procedure ?	2			Documentation and Interview
Management	What procedure is in place to handle tools and/or equipment found to be defective?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	What do you do with defective/broken tools and/or equipment?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes					
7.9	Have vehicles, tools and equipment that are overdue for preventive maintenance been removed from service as per the procedure ?	2			Documentation
Auditor's Notes					
7.10	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 7 Total		29	0	0% total achieved Incomplete Score	

	<h1>Certificate of Recognition® 2020 Audit Tool</h1>
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form. Not yet saved.

Element 8: Training and Communication	Score Possible	Score Achieved	Legislated	Verification Technique
---------------------------------------	----------------	----------------	------------	------------------------

*Training and communication are fundamental to ensure that **workplace parties** understand their roles and responsibilities to implement the **OHSMS**. Training aids in the development and maintenance of job specific knowledge and skills needed to work safely and efficiently. Good communication allows all **workplace parties** to stay current with the **OHSMS** and deal with any issues quickly and effectively.*

8.1 Training

8.1.1	Does your organization have a documented policy statement for training that is current, signed and dated by senior management ?	2			Documentation
-------	--	---	--	--	---------------

Auditor's Notes

8.1.2	Does your organization have a written procedure for training that includes:			Documentation
	a) Setting roles and responsibilities for those administering and managing the training procedure	1		
	b) Identifying competencies for each task/role	1		
	c) Ensuring in-house trainers are competent	1		
	d) Determining OHS training needs by: <ul style="list-style-type: none"> i. Conducting training needs analysis ii. Reviewing legislated and other training requirements iii. Taking into consideration different levels of responsibilities, abilities, language skills and literacy iv. Including information on the organization's OHSMS including purpose, roles, responsibilities and rights, importance of conformity, potential consequences for deviations or noncompliance and importance of workers' participation within the OHSMS 	1		
	e) Requirement to provide training prior to the worker performing the relevant task	1		
	f) An orientation program that: <ul style="list-style-type: none"> i. Is completed prior to starting work ii. Is provided for new and young workers, returning workers, change of role iii. Is mandatory for all workers 	1		
	g) How the training will be administered and managed	1		
	h) Evaluation of learning	1		
	i) Method of maintaining training and orientation records ?	1		
Total	9	0		

Auditor's Notes Please enter a score of 0 or 1 in 'Score Achieved' cells above.

8.1.3	Does the training accommodate differing levels of responsibilities?	4			Documentation
-------	---	---	--	--	---------------

Auditor's Notes

8.1.4	Have competencies been identified for each task/role?	4			Documentation
Auditor's Notes					
8.1.5	Has the organization conducted a training needs analysis as per the procedure ?	4			Documentation
Auditor's Notes					
8.1.6	Have employees received training that is required by legislation?	3		*	Documentation
Auditor's Notes					
8.1.7	Have employees received training as per the procedure ?	4			Documentation
Auditor's Notes					
8.1.8	Is the training provided prior to the worker performing the relevant task?	2			Documentation and Interview
Workers	What tasks do you generally do? Were you trained before starting each task?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
8.1.9	Is orientation mandatory for all workers?	2			Documentation
Auditor's Notes					

8.1.10	Has orientation training been provided as per the procedure ?	2			Documentation and Interview
Workers	Have you received orientation? Did you receive orientation before starting work?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
8.1.11	Is in-house training delivered by a qualified competent person as per the procedure ?	2			Documentation
Auditor's Notes					
8.1.12	Does the organization evaluate learning as per the procedure ?	2			Documentation
Auditor's Notes					
8.1.13	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 8.1 Subtotal		42	0	0% achieved E8.1 ❌ Failed LQ(s)*	

8.2 Communication					
8.2.1	Does your organization have a documented policy statement for communication that is current, signed and dated by senior management ?	2			Documentation
Auditor's Notes					
8.2.2	Does your organization have a written procedure for communication that includes:				Documentation
	a) Roles and responsibilities	1			
	b) Senior management holding regularly scheduled organization-wide OHS meetings with all employees that include the OHSMS and its implementation at least annually	1			
	c) Communication delivered in a manner that is understood by the receiver of the message and considers ability, language skills and literacy	1			
	d) Opportunity for input from workers	1			
	e) Receiving, documenting and responding to internal an external OHS communications	1			
	f) Tailgate or tool box talks or their equivalent	1			
	g) Specific forms for recording attendance, agendas, meeting minutes and tool box talks	1			
	h) Requirement to maintain records ?	1			
	Total	8	0		
Auditor's Notes		Please enter a score of 0 or 1 in 'Score Achieved' cells above.			
8.2.3	Does senior management of the organization hold scheduled company-wide OHS meetings with all employees?	3			Documentation and Interview
Management	Are there any organization-wide health and safety meetings that are held at least once a year? Do you attend these meetings?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Have you ever attended organization-wide health and safety meetings? When were the meetings?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes					

8.2.4	Does senior management attend/participate in organization-wide OHS meetings with all employees?	3				Documentation and Interview
Management	Do you attend these meetings?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL		TOTAL (percentage)
Workers	Does senior management attend and participate in these health and safety meetings?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL		
Auditor's Notes						
8.2.5	Does two-way communication exist during these meetings?	3				Documentation and Interview
Management	How do you actively participate and promote the participation of other employees, including workers?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL		TOTAL (percentage)
Workers	Are you encouraged to participate (speak up) at these meetings?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL		
Auditor's Notes						
8.2.6	Are tailgate or tool box talks or their equivalent held as scheduled?	3				Documentation
Auditor's Notes						
8.2.7	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2				Documentation
Auditor's Notes						
Element 8.2 Subtotal		24	0	0% achieved	E8.2	
Element 8 Total		66	0	0% total achieved		
				⊗ Failed LQ(s)*		
				⊗ Incomplete Score		

	Certificate of Recognition® 2020 Audit Tool
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element 9: Workplace Inspections	Score Possible	Score Achieved	Legislated	Verification Technique
----------------------------------	----------------	----------------	------------	------------------------

*Workplace and pre-use inspections are a proactive method to check if controls are working, identify hazards and ensure that **corrective actions** are taken. There are legislated requirements for workplace and pre-use inspections. It is a good practice to involve as many workers and managers as possible in the inspection process.*

9.1	Does your organization have a documented policy statement for workplace inspections that is current, signed and dated by senior management ?	2			Documentation
-----	---	---	--	--	---------------

Auditor's Notes

9.2	Does your organization have a written procedure for workplace inspections that includes:			Documentation
	a) Roles and responsibilities	1		
	b) Requirement to conduct and keep records for workplace inspections including identifying and preventing potential non-conformities and corrective actions	1		
	c) Requirement to conduct and keep records for pre-use inspections of vehicles, machines, tools and equipment including corrective actions	1		
	d) Inspection frequencies and who is responsible to conduct them	1		
	e) Worker participation in the inspection process	1		
	f) Requirement to meet all legislation (e.g. Regulation 1101 First Aid Requirements) and manufacturer's requirements	1		
	g) What must be inspected	1		
	h) Specific forms for recording workplace and pre-use inspections	1		
	i) Requirement to communicate inspection results to Senior Management and other relevant workplace parties	1		
Total		9	0	

Auditor's Notes Please enter a score of 0 or 1 in 'Score Achieved' cells above.

9.3	Are workplace inspections being conducted using the specific forms and checklists as per the procedure ?	2			Documentation
-----	---	---	--	--	---------------

Auditor's Notes

9.4	Are inspection frequencies being adhered to?	3		*	Documentation
-----	--	---	--	---	---------------

Auditor's Notes

9.5	Are assigned personnel performing inspections as required?	3		*	Documentation
-----	--	---	--	---	---------------

Auditor's Notes

9.6	Are pre-use inspections being performed as per the procedure ?	3		*	Documentation and Interview
Workers	Are you required to do pre-use inspections? Please provide some examples.	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
9.7	Are workplace and pre-use inspections meeting all legislative and manufacturer's requirements?	3			Documentation
Auditor's Notes					
9.8	Are workers involved in the general workplace inspection process ?	3			Documentation and Interview
Workers	Are you or any other workers involved in the inspection process?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
9.9	Are identified deficiencies corrected in a timely manner as per the inspection procedure ?	3			Documentation
Auditor's Notes					

9.10	Are the results of workplace inspections communicated to senior management as per the inspection procedure ?	2			Documentation and Interview
Management	How are the results of inspections communicated to senior management?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
9.11	Are inspection reports communicated to all relevant workplace parties ?	2			Documentation and Interview
Management	How do you ensure that inspection results are communicated to relevant workplace parties?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
9.12	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 9 Total		37	0	0% total achieved ☒ Failed LQ(s)*	

	<h2>Certificate of Recognition® 2020 Audit Tool</h2>
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form. Not yet saved.

Element 10: Investigations and Reporting	Score Possible	Score Achieved	Legislated	Verification Technique
--	----------------	----------------	------------	------------------------

*Investigations are a method to gather information to determine the cause(s) of an incident. **Corrective and preventative actions** are identified and recommendations made to prevent similar incidents. There are both internal and legal reporting requirements.*

10.1	Does your organization have a documented policy statement for investigations and reporting that is current, signed and dated by senior management ?	2			Documentation
------	--	---	--	--	---------------

Auditor's Notes

10.2	Does your organization have a written procedure for investigations and reporting that, at minimum, meets legislated requirements and includes:			Documentation
	a) Roles and responsibilities for workplace parties to report incidents, including near misses, for conducting investigations in a timely manner and for implementing corrective and preventive actions identified as a result of investigations	1		
	b) Requirement that training is provided in legislative and organization specific reporting requirements and investigations procedures	1		
	c) Requirement to take action to mitigate any additional consequences of the incident	1		
	d) Determination of OHS deficiencies including root causes of the incident	1		
	e) Determination and implementation of corrective and preventative actions	1		
	f) Communication of investigation results and corrective and preventative actions to interested parties	1		
	g) A process measuring the effectiveness of corrective and preventative actions	1		
	h) Specific forms for investigations	1		
	i) Methods for maintaining records of incident reporting and investigation results?	1		
Total		9	0	

Auditor's Notes Please enter a score of 0 or 1 in 'Score Achieved' cells above.

10.3	Do records show that the incident investigation and reporting procedure is being followed?	2			Documentation and Interview
		2			
Management	Does someone do an investigation as per the procedure when an incident occurs? What steps are required for an investigation as per the procedure?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Are you aware of any incidents that occurred with your current employer? Did someone do an investigation?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	

Auditor's Notes

10.4	Are all workplace parties aware of reporting procedures ?	3			Interview
Workers	How do you report incidents and/or near misses?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
10.5	Have required personnel been trained in legislative and organization specific reporting requirements and investigation procedures ?	3			Documentation and Interview
Management	Have you been trained how to investigate incidents including your organization's specific reporting procedures?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
10.6	Are appropriate personnel involved in investigations as per the incident investigation and reporting procedures?	2			Documentation
Auditor's Notes					
10.7	Are opportunities for corrective and preventative actions being identified and addressed?	4			Documentation
Auditor's Notes					
10.8	Are corrective and preventative actions implemented as per the procedure?	4			Documentation
Auditor's Notes					
10.9	Are corrective and preventative actions communicated to workers?	2			Documentation and Interview
		2			
Management	How do you let the workers know about the corrective and preventive actions that have been identified?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Following an incident investigation, what changes have been made?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes					

10.10	Is the organization measuring the effectiveness of the corrective and preventive actions ?	2			Documentation
Auditor's Notes					
10.11	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 10 Total		39	0	0% total achieved Incomplete Score	

	Certificate of Recognition® 2020 Audit Tool
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element 11: Emergency Preparedness	Score Possible	Score Achieved	Legislated	Verification Technique
------------------------------------	----------------	----------------	------------	------------------------

Emergency response **plans** must be developed for potential emergency situations that are identified through the **hazard assessment process**. There are legislated requirements for emergency response.

11.1	Does your organization have a documented policy statement for emergency preparedness that is current, signed and dated by senior management ?	2			Documentation
------	--	---	--	--	---------------

Auditor's Notes

11.2	Does your organization have a written procedure for emergency preparedness that includes:				Documentation
	a) Roles and responsibilities	1			
	b) Identification of potential emergency situations that are linked to completed hazard assessments	1			
	c) Documented response plans including roles and responsibilities of relevant employees during emergencies	1			
	d) Input to the response plan from relevant interested parties	1			
	e) Identification of resources needed to implement the emergency response plans	1			
	f) Requirement for emergency equipment to be in place, well-marked and regularly inspected and maintained	1			
	g) Prevention or minimization of injury or occupational illness for the identified emergency situations	1			
	h) First aid requirements that includes:	1			
	i. First aid station, facilities and supplies				
	ii. Qualified first aiders				
	iii. Provision to transport injured workers to medical facility				
	i) An appropriate emergency communication system	1			
	j) Requirement for emergency response training appropriate for employees' role	1			
k) Periodic testing of the emergency response plans (e.g. drills) and the maintenance of records of testing and corrective actions	1				
l) Periodic review of emergency procedures and response plans at least annually and revision as appropriate	1				
m) Communication of relevant information to all involved including workers, visitors, contractors, emergency response services, government authorities and the community regarding emergency response	1				
n) Specific forms for documenting the implementation of emergency response plans e.g. inspection of equipment and testing emergency response?	1				
Total	14	0			

Auditor's Notes Please enter a score of 0 or 1 in 'Score Achieved' cells above.

11.3	Do documented Emergency Preparedness and Emergency Response Plans include the most appropriate responses to identified hazards and address the potential for emergency situations?	4			Documentation and Observation
		2			

Auditor's Notes/Observation Notes

11.4	Are the emergency response plans reviewed as per the procedure ?	2			Documentation
------	--	---	--	--	---------------

Auditor's Notes

11.5	Have emergency response resources been identified and are they available?	2			Documentation and Interview
Workers	If an emergency occurred right now, do you feel that you have what you need to respond appropriately?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
11.6	Do the plans include periodic inspection of first aid facilities and equipment?	2		*	Observation
Auditor's Notes					
11.7	Do the plans define the roles and responsibilities of relevant employees and include training in emergency procedures that is appropriate to the roles and responsibilities?	2			Documentation and Interview
		2			
Management	What is your role and responsibilities in the emergency preparedness plan?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	What are your responsibilities should a workplace emergency occur?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
11.8	Is relevant information communicated to relevant workplace parties regarding emergency response, as per the procedure?	2			Documentation
Auditor's Notes					
11.9	Is an appropriate emergency communication system in place to alert workplace parties to the emergency?	2		*	Observation and Interview
Management	How is an emergency communicated to the workers?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	If an emergency were to occur right now how would you know?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes/Observation Notes					

11.10	Has the plan been tested for deficiencies and corrective action taken (if necessary)?	3			Documentation
Auditor's Notes					
11.11	Are the appropriate number and type of fire extinguishers at marked locations?	2		*	Documentation and Observation
Auditor's Notes/Observation Notes					
11.12	Are workers who are required to use fire extinguishers trained how to use them?	2			Documentation
Auditor's Notes					
11.13	Are fire extinguishers regularly inspected and maintained as per manufacturer and legislative requirements?	2		*	Documentation and Observation
Auditor's Notes/Observation Notes					
11.14	Is there provision for transporting an injured worker to a hospital or medical facility?	1		*	Observation and Interview
Management	If someone gets hurt on the job how do they get to medical assistance?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes/Observation Notes					

11.15	Are required first aid stations, facilities and supplies available?	2		*	Observation
Auditor's Notes/Observation Notes					
11.16	Are qualified first aiders available on every shift?	3		*	Documentation and Interview
Workers	Who is in charge of the first aid station nearest you? How can you reach the first aider?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes					
11.17	Is all other emergency response equipment regularly inspected and maintained?	2			Documentation
Auditor's Notes					
11.18	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 11 Total		55	0	0% total achieved ❌ Failed LQ(s)* ❌ Incomplete Score	

	Certificate of Recognition® 2020 Audit Tool
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element 12: Statistics & Records	Score Possible	Score Achieved	Legislated	Verification Technique
----------------------------------	----------------	----------------	------------	------------------------

Statistics and records must be collected and reviewed to get a clear picture of your organization's OHS performance. This can be done weekly, monthly, quarterly or annually. This information helps identify gaps and trends in your OHSMS.

12.1	Does your organization have a documented policy statement for statistics and records that is current, signed and dated by senior management ?	2			Documentation
------	---	---	--	--	---------------

Auditor's Notes

12.2	Does your organization have a written procedure for statistics and records that includes:			Documentation
	a) Roles and responsibilities	1		
	b) Requirement to measure OHS performance at a specified frequency, at minimum annually	1		
	c) Qualitative and quantitative measurements appropriate to the	1		
	d) Leading and lagging performance indicators	1		
	e) Comparison of current health and safety performance with past performance	1		
	f) Analysis of statistics and identification of trends	1		
	g) Analysis of first aid treatment records	1		
	h) Results recorded and communicated to relevant workplace parties	1		
	i) Specified forms and/or software as needed?	1		
Total		9	0	

Auditor's Notes

Please enter a score of 0 or 1 in 'Score Achieved' cells above.	

12.3	Are health and safety summaries developed and maintained?	2			Documentation
------	---	---	--	--	---------------

Auditor's Notes

12.4	Is OHS performance being measured at a specified frequency as per the procedure?	2			Documentation
------	---	---	--	--	---------------

Auditor's Notes

12.5	Does the organization compare their health and safety performance with past performance?	2			Documentation
Auditor's Notes					
12.6	Are the statistics analyzed and needs or trends identified?	2			Documentation
Auditor's Notes					
12.7	Are first aid treatment records analyzed?	2			Documentation
Auditor's Notes					
12.8	Have results been communicated to relevant workplace parties as per the procedure ?	2			Documentation and Interview
Management	Have health and safety trends been identified? Have the trends been communicated to the workforce?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Have the health and safety trends been communicated to you? Can you give us an example of a health and safety trend?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes					
12.9	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 12 Total		25	0	0% total achieved ⊗ Incomplete Score	

	Certificate of Recognition® 2020 Audit Tool
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element 13: Legislation and Other Requirements	Score Possible	Score Achieved	Legislated	Verification Technique
--	----------------	----------------	------------	------------------------

Your **organization** must identify all applicable **OHS** legislation and ensure **compliance** in the workplace. There are **other requirements** such as standards, codes, guidelines and manufacturer's specifications that must be considered.

13.1	Does your organization have a documented policy statement for legislation and other requirements that is current, signed and dated by senior management ?	2			Documentation
------	--	---	--	--	---------------

Auditor's Notes

13.2	Does your organization have a written procedure for legislation and other requirements that includes:			Documentation
	a) Roles and responsibilities	1		
	b) Identification of applicable legislation, regulations, standards and any other requirements	1		
	c) Methods to ensure compliance with applicable legislation	1		
	d) All documentation related to legislation, regulations, standards and any other requirements are up to date	1		
	e) Visible posting or availability of relevant legislation at each workplace as required	1		
	f) Evaluation of compliance to legislation at regularly planned intervals and retention of records of evaluations	1		
	g) Specific forms as required?	1		
Total		7	0	

Auditor's Notes	Please enter a score of 0 or 1 in 'Score Achieved' cells above.

13.3	Has the organization identified legislation, regulations, standards and any other requirements that apply to them?	4			Documentation
------	--	---	--	--	---------------

Auditor's Notes

13.4	Has the organization evaluated their compliance to current applicable legislation as per the procedure ?	4			Documentation
------	---	---	--	--	---------------

Auditor's Notes

13.5	Are copies of relevant legislation readily available and/or posted when required at each workplace?	2		*	Observation and Interview
Workers	Tell me where to find workplace health and safety legislation?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Auditor's Notes/Observation Notes					
13.6	Are legislated posting requirements being met?	2		*	Observation
Auditor's Notes/Observation Notes					
13.7	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 13 Total		23	0	0% total achieved ❌ Failed LQ(s)* ❌ Incomplete Score	

 Version 2.0	Certificate of Recognition® 2020 Audit Tool
Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool	

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element 14: Management Review and Management of Change	Score Possible	Score Achieved	Legislated	Verification Technique
--	----------------	----------------	------------	------------------------

Senior management must review the effectiveness of the OHSMS at regularly planned intervals, and at least annually. The review will help senior management identify OHS objectives and aid in the development of action plans for continual improvement of the OHSMS.

14.1 Management Review

14.1.1	Does your organization have a documented policy statement for senior management review that is current, signed and dated by senior management ?	2			Documentation
--------	---	---	--	--	---------------

Auditor's Notes

14.1.2	Does your organization have a written procedure for management review that includes:				
	a) Roles and responsibilities	1			
	b) The following inputs to the senior management review:				
	i. Evaluation of the effectiveness of all elements of the OHSMS	1			
	ii. Status of actions from previous management reviews	1			
	iii. Results of internal audits, including COR® Audits	1			
	iv. Evaluations of compliance with legal requirements	1			
	v. Results of participation and consultation with employees/Health and Safety Representative/Joint Health and Safety Committee	1			
	vi. Communication from external parties	1			
	vii. OHS performance of the organization	1			
	viii. Evaluation of the extent to which OHS objectives have been met	1			
	ix. Status of incident investigations, trends identified, implementation of corrective actions , implementation of preventative actions and status of actions taken	1			
	x. Changing circumstances related to OHS such as developments in legal requirements or technology	1			
	xi. Identified barriers to worker participation in OHSMS	1			
	xii. Recommendations for improvement	1			
	c) The following outputs to the management review:				
	i. OHS policy updates	1			
	ii. Measurable OHS objectives	1			
	iii. Action plan to achieve objectives	1			
	iv. Required resources	1			
	v. Revisions to any other elements of the OHSMS as appropriate	1			
	vi. Removed barriers to worker participation in the OHSMS	1			
	vii. Communication of the objectives and action plan(s) to all employees	1			
	d) Specified forms for recording Management Review	1			
	e) Method for maintaining records?	1			
	Total	22	0		

Auditor's Notes Please enter a score of 0 or 1 in 'Score Achieved' cells above.

Auditor's Notes

14.1.3	Does the review include all inputs as per the procedure ?	12			Documentation
Auditor's Notes					
14.1.4	Have measurable OHS objectives been identified as a result of the review as per the procedure ?	4			Documentation
Auditor's Notes					
14.1.5	Have OHS policies been reviewed and updated?	3			Documentation
Auditor's Notes					
14.1.6	Has an action plan been developed and resources identified to meet the objectives as per the procedure ?	3			Documentation
Auditor's Notes					
14.1.7	Have the OHS objectives and action plan(s) been communicated to all employees as per the procedure ?	3			Documentation and Interview
		2			
Management	How does your organization communicate the annual OHS objectives to the workers?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	TOTAL (percentage)
Workers	Name two of your organization's health and safety objectives for the upcoming year?	# of POSITIVE (+)	# of NEGATIVE (-)	SUBTOTAL	
Auditor's Notes					
14.1.8	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 14.1 Subtotal		53	0	0% achieved	E14.1

14.2 Management of Change					
<p>Management of change is a process to ensure that when changes occur hazards are assessed and addressed. Some examples of changes are new legislation, new products, and different work processes.</p>					
14.2.1	Does your organization have a documented policy statement for management of change that is current, signed and dated by senior management ?	2			Documentation
Auditor's Notes					
14.2.2	Does your organization have a written procedure for management of change that includes:				Documentation
	a) Roles and responsibilities	1			
	b) Identification of when the management of change procedure will be implemented which includes at a minimum:				
	i. Changes in legal requirements	1			
	ii. Significant changes in work processes , control measures, equipment, organization , work location	1			
	iii. Introduction of new products, processes or services	1			
	iv. Introduction of new developments in OHS knowledge or technology	1			
	c) Requirement to apply Element 2 Hazard Assessment, Analysis and Control and Element 3 Controls to any identified changes	1			
d) Provision of information and training for relevant workplace parties where appropriate?	1				
	Total	7	0		
Auditor's Notes					
Please enter a score of 0 or 1 in 'Score Achieved' cells above.					
14.2.3	Has a hazard assessment been done as a result of changes identified as per the procedure ?	4			Documentation
Auditor's Notes					
14.2.4	Has the organization developed relevant controls as a result of the hazard assessment?	4			Documentation
Auditor's Notes					

14.2.5	Have the controls been communicated and training provided to relevant workplace parties ?	4			Documentation
Auditor's Notes					
14.2.6	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
Auditor's Notes					
Element 14.2 Subtotal		23	0	0% achieved	E14.2
Element 14 Total		76	0	0% total achieved Incomplete Score	

 	Certificate of Recognition® 2020 Audit Tool
Version 2.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Audit Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
--	----------------

Element Name & Number	Score Possible	Score Achieved	Total (Percentage)
Element 1: Health and Safety Policy and Document and Record Control	37	0	0%
Element 2: Hazard Assessment, Analysis and Control	52	0	0%
Element 3: Controls	39	0	0%
Element 4: Procurement and Contractor Management	26	0	0%
Element 5: Company Rules	18	0	0%
Element 6: Personal Protective Equipment	32	0	0%
Element 7: Preventative Maintenance	29	0	0%
Element 8: Training and Communication	66	0	0%
Element 9: Workplace Inspections	37	0	0%
Element 10: Investigations and Reporting	39	0	0%
Element 11: Emergency Preparedness	55	0	0%
Element 12: Statistics & Records	25	0	0%
Element 13: Legislation and Other Requirements	23	0	0%
Element 14: Management Review and Management of Change	76	0	0%
Total Score Achieved	554	0	0%

 	<h1>Certificate of Recognition® 2020 Audit Tool</h1>
Version 2.0	Note: Definitions for bolded terms used throughout the tool are included in this Definitions section

Term	Definition
Audit	Systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which pre-determined criteria are fulfilled.
Audit Program	A set of one or more audits planned for a specific time frame and directed towards a specific purpose.
Competency	A person performing a task for, or on behalf of, the organization is competent to do so by means of appropriate: <ol style="list-style-type: none"> a) Knowledge of the hazards and risks associated with the tasks for the operations and activities b) Demonstrated understanding and working knowledge of the control measures associated with the hazards and risks c) Training with regard to the hazards, risks and associated control measures d) Aptitudes, such as skillset, ability and willingness to deal with the hazards, risks and control measures
Compliance	Meeting all requirements outlined within applicable legislation and regulations.
Conformity	Fulfillment of a requirement.
Consultation	Process by which the organization seeks the views of the workers, worker representatives, and workplace parties before it makes a decision.
Continual Improvement	Recurring activity to enhance performance and achieve a measurable result.
Contractor	Person or organization providing services to another organization in accordance with agreed upon specification, terms and conditions.
Corrective Action	Action to eliminate the cause of a non-conformity and to prevent recurrence. There can be more than one cause for a non-conformity.
Document	Medium containing information related to the OHSMS.
Hazard	Source, situation or act with a potential for harm in terms of human injury.
Hazard Assessment	The process of conducting a systematic review to: <ul style="list-style-type: none"> • Identify hazards associated with work activities • Analyze or evaluate the risks(s) associated with the hazards • Determine appropriate ways to eliminate or control the hazards This can be broken down into 3 levels: <ol style="list-style-type: none"> 1. Formal Hazard Assessment: A documented overall hazard assessment encompassing all of the organizations potential hazards/risks. 2. Site Specific Hazard Assessments: A documented hazard assessment identifying any hazards specific to the work sites. 3. Field Level Hazard Assessment: A documented hazard assessment, which can identify the specific conditions present where the work is being performed.
Human Factors	Is concerned with fitting the job or task to the physical and mental capabilities of the worker. Also commonly called ergonomics.
Incident	Work related event(s) in which an injury, fatality or occupational illness occurred; and includes event(s) where no injury or illness occurred, such as a near hit or property damage.
Interested Parties	Persons or groups, inside or outside the workplace, concerned with or affected by OHS performance of an organization.
Legal Requirements	All applicable legislation, including but not limited to the <i>Occupational Health and Safety Act</i> and its regulations.
Management	People who have care and control over people and/or processes.
Non-conformity	Non-fulfillment of a requirement.
Objective	Result to be achieved. An objective can be expressed in many ways, e.g. as an intended outcome, a purpose, an operational criterion, as an OHS objective or by the use of other words with similar meaning (e.g. aim, goal, or target).

Occupational Health and Safety (OHS)	Conditions and factors that affect, or could affect the health and safety of employees or other workers, inclusive of temporary workers and contractor personnel, visitors, suppliers, vendors, or any other person in the workplace.
Occupational Health and Safety Management System (OHSMS)	As defined in the OSHA, “means a coordinated system of procedures, processes and other measures that is designed to be implemented by employers in order to promote continuous improvement in occupational health and safety.
OHS Objective	OHS goal, in terms of OHS performance, that an organization sets itself to achieve.
OHS Performance	Measureable results of an organization’s management of its OHS risks.
OHS Policy	Overall intentions and direction of an organization related to its OHS performance as formally expressed by senior management in relation to the implementation of the OHSMS.
Organization	Company, corporation, firm, enterprise, authority or institution, or part or combination thereof, whether incorporated or not, public or private, that has its own functions, management and administration.
Other Requirements	Requirements or provisions the organization subscribes, however are not legally binding, such as industry standards.
Participation	Involvement of workers, or worker representatives, in decision-making process(es) regarding the OHSMS.
Plan	Detailed method for doing or achieving something.
Policy	A policy is a general commitment, direction or intention and is formally stated by top management. A quality policy statement should express top management’s commitment to the implementation and improvement of its management system.
Preventative Action	Action to eliminate the cause of potential non-conformity or other potential undesirable potential situation. There can be more than one cause for a potential nonconformity . (For the purposes of this Standard, this refers to any action taken to fix a potential OHS problem.)
Procedure	A documented, specified method to carry out an activity.
Process	A set of interrelated or interacting activities that transforms inputs into outputs.
Record	Document stating results achieved or providing evidence of activities performed.
Qualitative	Relating to the nature or description of something, rather than to its quantity.
Quantitative	The measurement or number of something rather than its quality
Residual Risk	Combination of the likelihood of the occurrence after the hierarchy of controls has been implemented for an identified hazard.
Risk	Combination of the likelihood of an occurrence of a hazardous event or exposure(s) and the severity of injury or occupation illness that can be caused by the event or exposure(s).
Risk Assessment	Process of evaluating the risk(s) arising from a hazard(s), taking into account the adequacy of any existing controls, and deciding whether or not the risk(s) is acceptable.
Senior Management	Person(s) at the highest level of an organization’s structure responsible for leading, managing and/or directing an organization’s day-to-day activities and/or operations.
Workplace Parties	Includes, but is not limited to, the employer, supervisor(s), workers, constructor, visitors and owner.



About IHSA

IHSA's vision is the elimination of all workplace injuries, illnesses, and fatalities within our member firms.

We engage with our member firms, workers, and other stakeholders to help them continuously improve their health and safety performance. We do this by providing effective and innovative sector-specific programs, products, and services.

We offer

- Training programs
- Consulting services
- Health and safety audits
- Publications and e-news
- Posters and stickers
- Reference material
- A resource-rich website.

Find out what we can do for you at www.ihsa.ca

Infrastructure Health & Safety Association (IHSA)

21 Voyager Court South
Etobicoke, Ontario M9W 5M7 Canada
Tel: 1-800-263-5024 • Fax: 905-625-8998
www.ihsa.ca