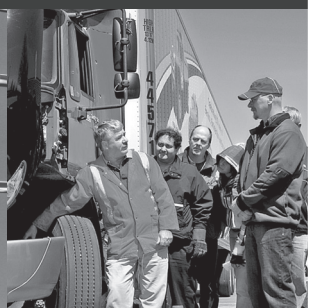




COR™ 2020 TRANSITION TOOL



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.

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Certificate of Recognition™ 2020 - **Transition** - Audit Tool

Version 1.0

Note: Definitions for **bolded** terms are included in the Definitions section at the end of this Transition Tool

Instructions

Forward

With the release of COR 2020, IHSA has set the following guidelines in place for organizations to transition from COR to COR 2020.

- All organizations will be required to transition to COR 2020 by 2024
- COR external audits will be offered until October 1, 2021
- All external audits after October 1, 2021 will be done using the COR 2020 audit tool

Purpose

The COR 2020 Transition Assessment allows an organization to transition from COR to COR 2020 prior to their next external audit.

It is recommended that all organizations submit the COR 2020 Transition Assessment along with their final Internal Maintenance Audit prior to their External Re-Certification Audit to facilitate the transition to COR 2020.

The COR 2020 Transition Assessment will be focused entirely on a document review. Once you have successfully completed the COR 2020 Transition Assessment, all future Internal Maintenance Audits and External Re-Certification Audits will be done using the COR 2020 audit tool.

Process

1. Download the COR 2020 Transition Tool from the IHSA website
2. Complete the COR 2020 Transition Tool by self-scoring and completing the auditor notes
3. Provide evidence to support your conclusions. This will include cross-referencing sections within your HSMS and providing three copies of documented evidence to demonstrate implementation. For further information on submitting evidence, the COR 2020 Audit Handbook outlines the full instructions and requirements for submitting evidence.
4. Submit the COR 2020 Transition Assessment to IHSA either on a USB key, or through access to a cloud based system. If submitting through a cloud based system, contact IHSA at cor@ihsa.ca to ensure that we are aware of the submission.
5. IHSA will complete the review of the COR 2020 Transition Review within 60 days, and contact you with a report and the results.

Scoring

To successfully complete the COR 2020 Transition Assessment, your organization must achieve:

- A score of 80% overall
- A minimum of 65% per element
- A minimum of 65% per sub-element

Upon successful completion, your organization will receive a COR 2020 Certificate.

	Certificate of Recognition™ 2020 - Transition - Audit Tool	September 25, 2020
Version 1.0	Instructions: Please complete this information form and submit with the Audit Tool and relevant documentation.	

Audit Information Form

General Information

Company Legal Name					
Company Trade Name					
WSIB Firm #		WSIB Account #		# of employees <small>(Under the WSIB Account)</small>	
Address					
City/Town		Province		Postal Code	
Type of Audit		Audit Start Date/ Opening Meeting		Audit End Date/ Closing Meeting	

Signatures

Senior Management Representative overseeing OHSMS	Name		Title		Signature	
	Email Address				Phone Number	
Senior Management Representative overseeing COR™ process <small>(COR™ Contact Person)</small>	Name		Title		Signature	
	Email Address				Phone Number	
Internal Auditor	Name		Title		Signature	
	Email Address				Phone Number	

Please note that the above information will act as a revised application form.

WSIB Organization Information

Description and Scope of organization of work under the WSIB account & unique considerations	Please enter additional notes and unique considerations here (if applicable):				
Active WSIB Work Predominant Class					
Class					
Subclass(es) <small>(please select all that apply)</small>	<input type="checkbox"/>		<input type="checkbox"/>		
	<input type="checkbox"/>		<input type="checkbox"/>		
	<input type="checkbox"/>		<input type="checkbox"/>		
	<input type="checkbox"/>		<input type="checkbox"/>		


Employment Status Attestation

This internal audit was completed by a full time employee of the organization as per the COR™ 2020 Program Guideline. To qualify as an Internal Auditor, the employee appointed by the organization must be a permanent full-time employee of the organization and must complete specific IHSA training (see section 2.2 of the guideline). The employee's name and records of training must be submitted with the transition tool to IHSA for verification.	<input type="checkbox"/> Yes, this transition tool was completed by a full time employee of the organization.			
Senior Management Representative overseeing OHSMS	Name	Title	Signature	
Senior Management Representative overseeing COR™ process	Name	Title	Signature	
Internal Auditor	Name	Title	Signature	

COR™ Program Code of Ethics

This internal audit was completed in accordance with the COR™ Program Code of Ethics. Senior Management Representatives, Internal Auditors and external auditors must strive to maintain a high level of professional conduct at all times. To ensure the quality of the program they must: • Maintain high standards of honesty, integrity and trust. • Ensure that information is accurately interpreted and communicated, based on objective findings, and free of bias. • Maintain confidentiality of information. • Maintain sound judgment in pursuance of their duties. • Report conflicts as soon as possible and immediately withdraw from the program and/or audit if so requested. • Comply with COR™ Program requirements. If, after investigation, the IHSA determines that an Auditor has intentionally breached the Code of Ethics, the Auditor will be removed from the Program.	<input type="checkbox"/> Yes, this transition tool was completed in accordance with the COR™ Program Code of Ethics.			
Senior Management Representative overseeing OHSMS	Name <small>(acknowledgment of COE)</small>	Title <small>(acknowledgment of COE)</small>	Signature <small>(acknowledgment of COE)</small>	
Senior Management Representative overseeing COR™ process	Name <small>(acknowledgment of COE)</small>	Title <small>(acknowledgment of COE)</small>	Signature <small>(acknowledgment of COE)</small>	
Internal Auditor	Name <small>(acknowledgment of COE)</small>	Title <small>(acknowledgment of COE)</small>	Signature <small>(acknowledgment of COE)</small>	

Audit Submission Checklist	
1. <input type="checkbox"/>	All fields complete on the Audit Information Form
2. <input type="checkbox"/>	Completed COR™ Transition Tool – use the e-file submission tool
3. <input type="checkbox"/>	Current Health & Safety manual – cross referenced to validate audit questions
4. <input type="checkbox"/>	Submit copies of supplemental documents used for verification – such as completed inspection forms, incident investigation forms, records of training, etc. Ensure that you submit three consecutive samples of evidence .

	<p>Please review this form to ensure all fields are accurate & complete, thank you. Should this document not be complete, the audit will be returned.</p>	<p><small>Click the button below to save progress in this tool for transition tool completion.</small></p>
		<p>Save Audit Last Saved On:</p>



Certificate of Recognition™ 2020 - **Transition** - Audit Tool

Version 1.0

Note: Definitions for **bolded** terms are included in the Definitions section at the end of this Transition 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
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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.

1.2 Document and Record Control

*A **document/record** control procedure provides direction to track, manage, and store **documents** and **records** and assists with accuracy and due diligence.*

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

Element - 1.2 - Subtotal	11	0
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0%

Element - 1 - TOTAL	11	0
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0%



Certificate of Recognition™ 2020 - **Transition** - Audit Tool

Version 1.0

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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:

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 :	1	
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		
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	

Documentation

	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

2.3	Are hazard assessments conducted, documented and approved for all operations including routine and non-routine operations and human factors?	6			Documentation
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Auditor's Notes

2.4	Have hazard assessments been updated as per the procedure ?	4			Documentation
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Auditor's Notes

2.13	Are documents and records maintained as per the procedures in 1.2 Document and Record Control?	2			Documentation
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Auditor's Notes

Element - 2 - Total		27	0	0%	
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Version 1.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Transition Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
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Element 3: Controls	Score Possible	Score Achieved	Legislated	Verification Technique
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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
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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

3.5	Have controls been developed following the hierarchy of controls?	4			Documentation
Auditor's Notes					
Element - 3 - Total		14	0	0%	



Certificate of Recognition™ 2020 - **Transition** - Audit Tool

Version 1.0

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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
<p><i>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.</i></p>				

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
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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

4.3	Has your organization followed its OHS criteria for selecting contractors and service providers?	4			Documentation
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Auditor's Notes

4.4	Has your organization monitored your contractors and service providers as per the procedure?	4			Documentation
Auditor's Notes					
4.5	Has your organization evaluated the contractors and service providers as per the procedure?	4			Documentation
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%	



Certificate of Recognition™ 2020 - **Transition** - Audit Tool

Version 1.0

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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
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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 disciplinary procedure	1				
Total	6	0				

Auditor's Notes

Element - 5 - Total

8

0

0%

	Certificate of Recognition™ 2020 - Transition - Audit Tool
Version 1.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Transition Tool

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Element 6: Personal Protective Equipment	Score Possible	Score Achieved	Legislated	Verification Technique
<i>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.</i>				

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
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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 that 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

Element - 6 - Total	10	0	0%
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Version 1.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Transition Tool

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Element 7: Preventative Maintenance	Score Possible	Score Achieved	Legislated	Verification Technique
<p><i>Preventative maintenance is a formalized system to ensure that equipment, tools, vehicles and facilities are kept in safe working order.</i></p>				

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

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		12	0	0%	



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Version 1.0

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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
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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

8.1.4	Have competencies been identified for each task/ role?	4			Documentation
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Auditor's Notes

8.1.5	Has the organization conducted a training needs analysis as per the procedure ?	4			Documentation
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Auditor's Notes

8.1.13	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
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Auditor's Notes

Element - 8.1 - Subtotal	21	0
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0%

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 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					

8.2.7	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
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Auditor's Notes					

Element - 8.2 - Subtotal		12	0	0%	
Element - 8 - TOTAL		33	0	0%	

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Element 9: Workplace Inspections	Score Possible	Score Achieved	Legislated	Verification Technique
<i>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.</i>				

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

9.12	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
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Auditor's Notes

Element - 9 - Total	13	0	0%
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Version 1.0

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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
<i>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.</i>				

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
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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, and 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

Element - 10 - Total	11	0	0%
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Certificate of Recognition™ 2020 - **Transition** - Audit Tool

Version 1.0

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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
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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: <ul style="list-style-type: none"> i. First aid station, facilities and supplies ii. Qualified first aiders iii. Provision to transport injured workers to medical facility 	1				
	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

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
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Auditor's Notes

11.5	Have emergency response resources been identified and are they available?	2			Documentation
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Auditor's Notes

Element - 11 - Total		22	0	0%
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	Certificate of Recognition™ 2020 - Transition - Audit Tool
Version 1.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Transition Tool

Please fill in your company information in the Audit Information Form.	Not yet saved.
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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 information helps identify gaps and trends in your OHSMS . This can be done weekly, monthly, quarterly or annually.				

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
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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 organization	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

12.9	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
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Auditor's Notes

Element - 12 - Total	13	0	0%
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Certificate of Recognition™ 2020 - **Transition** - Audit Tool

Version 1.0

Note: Definitions for **bolded** terms are included in the Definitions section at the end of this Transition 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
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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

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

13.4	Has the organization evaluated their compliance to current applicable legislation as per the procedure ?	4			Documentation
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Auditor's Notes

Element - 13 - Total	17	0	0%
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Version 1.0	Note: Definitions for bolded terms are included in the Definitions section at the end of this Transition Tool

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Element 14: Management Review and Management of Change	Score Possible	Score Achieved	Legislated	Verification Technique
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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				
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14.1.1	Does your organization have a documented policy statement for Management Review that is current, signed and dated by senior management ?	2			Documentation
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Auditor's Notes

14.1.2	Does your organization have a written procedure for Management Review that includes:				Documentation
	a) Roles and responsibilities	1			
	b) The following inputs to the 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					

14.1.3	Does the review include all inputs as per the procedure ?	12			Documentation
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Auditor's Notes					

14.1.8	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
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Auditor's Notes					

Element - 14.1 - Subtotal	38	0
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0%

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					
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
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Auditor's Notes

14.2.6	Are documents and records maintained as per the procedure in 1.2 Document and Record Control?	2			Documentation
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Auditor's Notes

Element - 14.2 - Subtotal	23	0	0%		
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Element - 14 - TOTAL	61	0	0%		
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COR™ 2020 - **Transition** - Performance Summary

Version 1.0

Note: Definitions for **bolded** terms are included in the Definitions section at the end of this Transition 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	1.1 Health & Safety Policy / 1.2 Document & Record Control	11	0	0%
Element # 2	Hazard Assessment, Analysis and Control	27	0	0%
Element # 3	Controls	14	0	0%
Element # 4	Procurement and Contractor Management	26	0	0%
Element # 5	Company Rules	8	0	0%
Element # 6	Personal Protective Equipment	10	0	0%
Element # 7	Preventative Maintenance	12	0	0%
Element # 8	8.1 Training / 8.2 Communication	33	0	0%
	E-8.1 {21} = 0 E-8.2 {12} = 0			
Element # 9	Workplace Inspections	13	0	0%
Element # 10	Investigations and Reporting	11	0	0%
Element # 11	Emergency Preparedness	22	0	0%
Element # 12	Statistics and Records	13	0	0%
Element # 13	Legislation and Other Requirements	17	0	0%
Element # 14	14.1 Management Review / 14.2 Management of Change	61	0	0%
	E-14.1 {38} = 0 E-14.2 {23} = 0			
TOTAL Elements Score		278	0	0.0%

NOTE: To achieve a passing grade for this COR Transition Audit:

- a) You must score **223** points (80%) or greater AND,
- b) Each of the 14 Elements (or sub-Elements) must achieve a score of 65% or more (otherwise shown here in **PINK**).

	<h1 style="margin: 0;">COR™ 2020 - Transition - Audit Tool</h1>
Version 1.0	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	<p>A person performing a task for, or on behalf of, the organization is competent to do so by means of appropriate:</p> <ul 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	<p>The process of conducting a systematic review to:</p> <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 <p>This can be broken down into 3 levels:</p> <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.

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