



# The Certificate of Recognition Program

Standards  
and Guidelines

January 2011

**WORK SAFE BC**

WORKING TO MAKE A DIFFERENCE

## PREFACE

The first edition of the WorkSafeBC Certificate of Recognition Program *Standards and Guidelines* was published October, 2008. Its publication marked an important milestone in the development of the Partners Program, signifying the completion of a complex process during which WorkSafeBC and the certifying partners reached agreement on the criteria for employers to obtain and be recognized for having a Certificate of Recognition.

This hardcover Special Edition has been printed for the members of the Certifying Partners Committee who participated in this process, and in so doing demonstrated genuine dedication to improving the culture of health and safety in British Columbia workplaces.

WorkSafeBC extends a sincere thank you to all committee members and the organizations they represented:

- BC Food Processors Health and Safety Council
- BC Forest Safety Council
- BC Maritime Employers Association
- Construction Safety Association of BC
- Construction Safety Network
- Enform

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# INTRODUCTION



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**T**his document sets out the standards and guidelines associated with British Columbia’s Certificate of Recognition Program – an occupational health and safety program designed to reduce workplace injuries and assist injured workers in making an early, safe return to meaningful work.

## **Purpose of the COR Program**

WorkSafeBC is dedicated to ensuring that Workers and Workplaces are safe and secure from injury, illness, and disease. This is the vision and health and safety promise of WorkSafeBC. The mission and mandate of WorkSafeBC work toward making this vision a reality.

The mission of WorkSafeBC is to add value to workers and employers by

- assisting them to create a culture of health and safety in the workplace
- delivering quality decisions and advice
- providing compassionate and supportive services
- ensuring solid financial stewardship now and for the future.

In partnership with workers and employers, the mandate of WorkSafeBC is to

- promote the prevention of workplace injury and disease
- rehabilitate those who are injured and provide timely return to work
- provide fair compensation to replace workers’ loss of wages while recovering from injuries
- ensure sound financial management for a viable workers’ compensation system.

The Certificate of Recognition (COR) program is incorporated into the WorkSafeBC Strategic Plan. The strategic plan examines and details the methods by which WorkSafeBC will move forward, consistent with its vision, mission, and mandate. Incorporated into the strategic plan are the following concepts:

- societal attitudes need to change
- work-related death, injury, illness, and disease are not an inevitable and acceptable cost of doing business
- work-related deaths, injuries, and disease are unacceptable.

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The guiding principles and premise of WorkSafeBC recognize that societal and cultural change is essential for creating a culture of health and safety in the workplace, and define the promotion of healthy and safe workplaces as WorkSafeBC's principle focus.

The COR program is designed to be consistent with these principles by providing an opportunity for employers and industry based health and safety associations to take a proactive role in promoting the health and safety promise. Employers are encouraged to elevate the consideration of health and safety issues to the same level as the other important aspects of conducting business, by developing and implementing safety management systems. The involvement of health and safety associations is pivotal to the success of the COR program; as certifying partners they dedicate their expertise to promoting the program in their industry sector.

The COR program recognizes and rewards the implementation of health and safety management systems in occupational health and safety (the OHS COR) and return to work/injury management (the RTW COR). Because employers who implement such systems are exceeding the requirements of the *Occupational Health and Safety Regulation of BC*, WorkSafeBC offers them a partial rebate of assessments. The dual concepts of continuous improvement and quality assurance embodied in the program are intended to ensure that even modest initial efforts to participate in the program will produce significant changes in the culture of safety over time.

The COR program is intended to reduce workplace injuries and assist injured workers to make an early safe return to meaningful work. The standards and guidelines presented in this document are designed to help employers, certifying partners, and auditors to understand and progress through the COR program.

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## Main Features of the COR Program

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

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

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

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

Effective injury management/return-to-work programs are initiated when the injured worker first contacts the employer. At this time, an early intervention procedure can be initiated to determine if the worker is capable of staying at work performing normal duties or modified duties while the injury heals. These at-work programs can be an effective tool to ensure healing occurs while the injured worker is still performing meaningful and productive work. In many cases, this prevents any time loss from work.

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If workers do need time away from work, the injury management/return-to-work program can reintegrate the injured worker into the workforce at a much earlier time than has been experienced historically.

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

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

The rebates offered under the COR program are, in effect, an advance against the reduced costs that will result from improved attention to health and safety. The effect of health and safety management and return to work systems will be to prevent claims and reduce duration. Within a few years, individual employers will benefit from lower assessment rates as a result of the experience rated assessment (ERA) system. Over the long term, employers in industry sectors where a significant number of employers participate in the program should expect their base assessment rate to trend downward as the entire industry benefits from the improved safety infrastructure.

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## Development and Management of British Columbia's COR Program

The COR program has been developed by WorkSafeBC in partnership with industry across British Columbia. It represents a combined effort of WorkSafeBC and an advisory board of industry representatives. Similarly, ongoing management of the program involves the combined efforts of

- WorkSafeBC, through its Partners in Injury and Disability Prevention Program (Partners Program)
- certifying partners – industry-oriented organizations that assume responsibility for helping employers meet the requirements for certification
- employers
- auditors.

The COR program was first made available to BC employers in 2002 as a pilot program in the construction sector. The BC oil and gas sector entered the COR program in 2004, with a program closely aligned with industry in Alberta, where a COR program has been available since 1990. In 2006, the WorkSafeBC Board of Directors formally approved expanding the COR program from the pilot phase to become available to all industries in BC.

It is the intent of WorkSafeBC to make the COR program available to all employers in BC as soon as possible. Because the program is delivered by certifying partners (industry-based safety associations for the most part), access to the program is affected by the availability of certifying partners. WorkSafeBC is working to establish certifying partners for all industry sectors. Until this aim is achieved, WorkSafeBC will work with existing certifying partners to provide certification services to all employers who wish to participate in the program. Employers wanting to enter the program in sectors without a certifying partner will be aligned with the certifying partner that most closely matches their needs, by a process of “natural alignment” described in the Employer section of this document.

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## Overview of This Standards & Guidelines Document

This document has been developed by WorkSafeBC, with input from the Certifying Partners Committee to ensure the consistency of the COR program and to help both employers and certifying partners understand the COR process and what is expected of them. The information provided here addresses the COR process, and has been organized to outline the roles and responsibilities of each of the key participants:

- certifying partners
- WorkSafeBC
- employers
- auditors.

There are four main sections of the document, one focused on each of the key participants. The section on auditors also identifies specific requirements regarding the conduct of audits (i.e., audit standards).

In order to make the information contained in this document as clear and accessible as possible, each of the four main sections follows a consistent format. Each begins with a **Purpose/Rationale**, identifying how the involvement of the participant in question serves the overall purpose of the program (for a more comprehensive discussion on the overall intent and objectives of British Columbia's COR program, see the preceding section on Purpose of the COR Program). Each then provides a **Definition** that summarizes this participant's role within the COR process and describes the characteristics that qualify an individual or organization to participate in the COR program in the specified capacity.

The main body of each section then consists of a set of **Standards**, which are numbered for ease of reference. Each standard identifies a key requirement that the participant in question must meet. Together the standards set out a common, minimum level of expectation regarding the implementation and operation of the COR program in **any** industry. It is intended that they will serve to guide the ongoing operation of various aspects of British Columbia's COR program, with a view to continuously improving the program and making the province's workplaces among the safest in the world.

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Where applicable, **Guidelines** have also been provided in relation to specific individual standards and identified using a subsidiary three-digit numbering system. Guidelines provide advice and information about implementation of the standard, usually based on best practice identified in one or more industry sectors. While adherence to the standards is mandatory, the guidelines are advisory to COR program participants and may be adopted or adapted as appropriate. This flexibility is intended to recognize that the needs of certifying partners, employers and auditors in differing industry sectors can vary significantly, and that they may require flexibility in tailoring the Program.

This Standards and Guidelines document represents an updating of the Standards and Guidelines document published in 2008. The standards and guidelines set out here are based upon established administrative best practice, shared experience of similar programs in other jurisdictions, experience with pilot programs in BC, and with consideration given to input from external stakeholders. As experience is gained with the program, these standards and guidelines will be periodically reviewed by WorkSafeBC at a designated meeting of the Certifying Partners Committee. This document may be revised or updated to ensure the standards remain current, appropriate, and enforceable and continue to reflect best practice.

### **For More Information...**

- refer to the Partners Program web page at [http://www.worksafebc.com/insurance/partners\\_program/default.asp](http://www.worksafebc.com/insurance/partners_program/default.asp)
- contact the WorkSafeBC Partners Program via email at [partners.program@worksafebc.com](mailto:partners.program@worksafebc.com)
- contact the WorkSafeBC Partners Program by telephone at 604-244-6164 or toll free at 1-866-644-6164

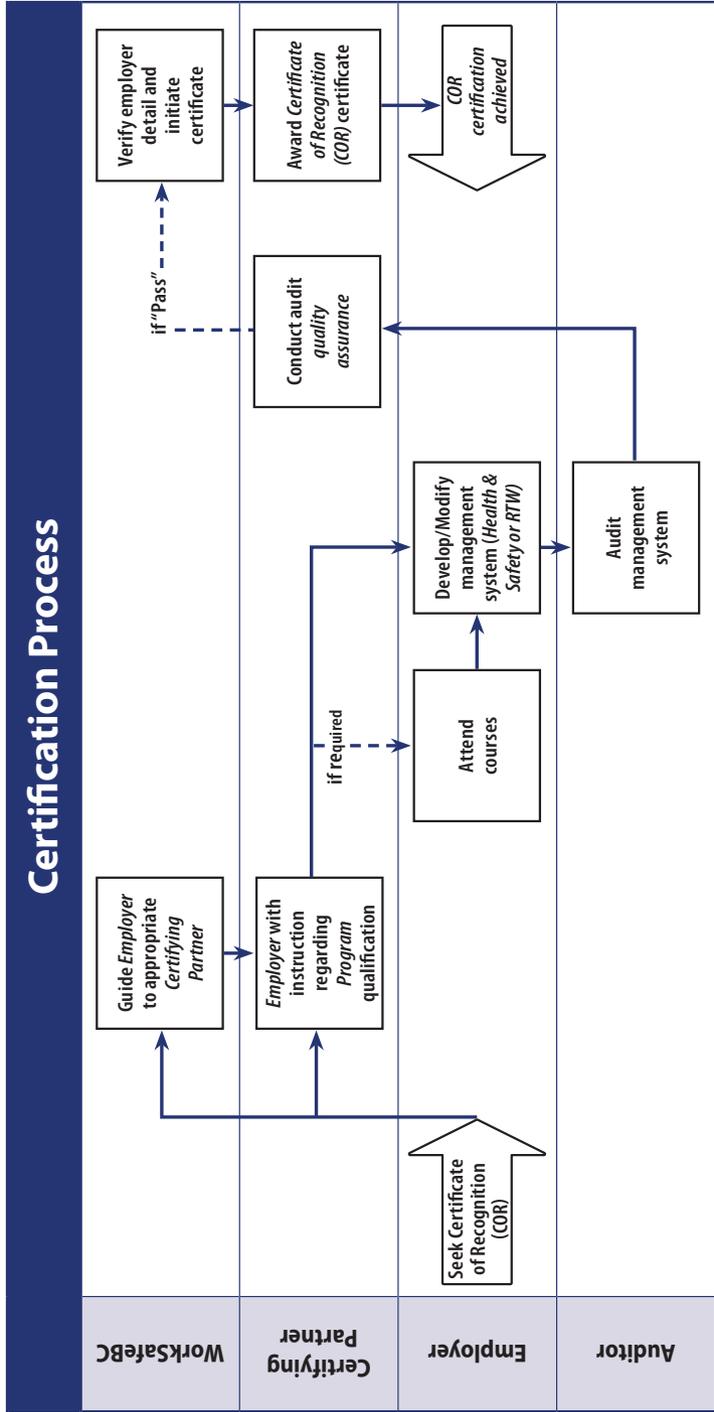
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## **Overview of the Certification Process**

Although a full understanding of the role, responsibilities, and interaction of the key participants requires knowledge of the standards and detailed guidelines set forth here for each of the participants, the process whereby an employer obtains certification is fairly straightforward.

The diagram on the next page outlines this process, showing in basic terms how the key participants interact to achieve the desired result: implementation of best safety practices in a manner that is effective, verifiable, and fair.

# Certification Process





**1**

**CERTIFYING  
PARTNER**



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## Purpose/Rationale

The function of the certifying partner is key to the success of the COR program. The certifying partner facilitates the participation of employers in the COR program, maintains records of steps taken by employers to meet COR standards, and helps ensure the availability of auditors needed to verify compliance with program requirements. In so doing, the certifying partner makes an important contribution to improving the culture of health and safety in its industry sector.

## Definition

A certifying partner is an independent agency approved and contracted by WorkSafeBC to implement the COR program and monitor employer compliance with program requirements. The certifying partner serves as the employers' main point of contact regarding all operational aspects of the COR program, though it is not responsible for issuing WorkSafeBC rebates to employers participating in the COR program. A certifying partner will generally, but need not necessarily, be an industry-based safety association.

## Becoming a Certifying Partner

Organizations may apply to the WorkSafeBC Industry and Labour Services department for designation as a certifying partner for a given Classification Unit (CU) or group of CUs. Applications are considered based on

- the ability and willingness of the organization to meet the standards set out for certifying partners
- the capacity of the organization to administer the program, given the size of the Classification Unit, and/or the number of employers whose participation in the COR program is to be managed by the certifying partner
- the amount of support demonstrated for the organization by the employers in the CU(s) concerned (the organization may provide letters of support from a significant portion of employers in the CU, or from a fewer number of large employers in the CU, but in either case a significant portion of the assessable payroll must be represented)

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- the extent to which the CU is already served by an existing certifying partner (WorkSafeBC reserves the right not to offer funding to additional certifying partners when a certifying partner is in place to offer service to the CU(s) in question)

### **The Certifying Partner Contract**

The COR contract is a written document outlining the commitments made by a certifying partner in furthering health and safety practices within a CU. Both WorkSafeBC and the certifying partner sign the document to acknowledge their commitment to the partners process. Contracts are dated, signed, and both parties receive a copy (see Appendix D: Sample Contract).

Contracts are issued for three to five year terms with, in principle, annual renewals. A key component of the contract is the development and implementation of annual goals and objectives. Annual review and renewal requires WorkSafeBC to assess the contribution that the certifying partner has made and assist in establishing new goals and objectives for the coming year.

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## Standards (& Guidelines) for Certifying Partners

In fulfilling their contractual responsibilities with respect to the COR program, certifying partners are expected to adhere to the requirements set forth in the following standards.

### ***1.1 Certifying partners must consistently adhere to the basic qualifying criteria for certifying partners, including***

- retaining extensive in-house knowledge of the type of work performed in its industry
- remaining represented in BC by an office and staff
- remaining registered with WorkSafeBC as an employer
- operating in compliance with the COR Standards and Guidelines
- operating in compliance with all applicable laws, including, but not limited to the *Society Act* of British Columbia
- participating in the Certifying Partners Committee to provide input into the direction of the COR program

### ***1.2 Certifying partners must plan and implement a coherent communications strategy to promote the COR Program and ensure that all key participants remain informed about operations and developments.***

Recognizing that effective business communication between certifying partners, employers, WorkSafeBC, and other stakeholders is essential to the success of the COR program, certifying partners must create and regularly update a **communications plan** that covers

- **COR promotion**

Certifying partners are expected to promote COR to their industry sector(s) by developing promotional materials such as

- brochures and pamphlets
- web site materials
- newsletters.

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Certifying partners will also promote COR during their attendance at industry meetings, tradeshow, and other appropriate industry functions in their industry sector.

- **keeping employers informed about the program**

In relation to employers, certifying partners are expected to

- provide information to employers enquiring about the COR program
- provide appropriate forms for employers to register in the program
- provide information regarding training course schedules and locations
- meet with employers in their industry to discuss and promote the program.

- **communication with WorkSafeBC**

Certifying partners are expected to

- report regularly to WorkSafeBC on progress, challenges, and issues related to the goals and objectives set out in the certifying partner's contract with WorkSafeBC
- provide information to WorkSafeBC in a timely manner regarding the issuance of COR certificates and the employer's eligibility for rebates
- provide all written communications with WorkSafeBC in an electronic format compatible with that used by WorkSafeBC.

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### **1.3 *Certifying partners will facilitate the registration of employers who fall within their area of responsibility.***

Each certifying partner will receive applications from interested employers within the Classification Unit for which the certifying partner is responsible. In addition to advising any such employer on the requirements for COR certification, the certifying partner must

- register the employer as a COR applicant in its employer database
- collect basic information from the employer, including
  - the employer’s trade name
  - the employer’s legal name
  - the employer’s WorkSafeBC account number (the certifying partner will verify the accuracy of the WorkSafeBC account number and the employer’s legal name as registered with WorkSafeBC by requiring employers to produce a copy of a letter from WorkSafeBC – e.g.. welcome letter, clearance letter, annual rate notification letter, or revised rate letter – samples are included in *Appendix A: Sample WorkSafeBC Letters*).
  - the employer’s WorkSafeBC Classification Unit(s)
  - whether the employer is a small or large employer (delineation of small versus large employers will be based on 20 or more workers, as indicated by the self-reporting of the employer to the certifying partner at the time of registration, and confirmed by WorkSafeBC through reference to the employer’s reported payroll).

For an example of how certifying partners might choose to set up their intake process for employers, see *Appendix B: Sample Application Form*.

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#### **1.4 *Certifying partners will help employers identify and meet their needs for COR-related training and qualified COR auditors.***

The certifying partner is expected to help employers qualify for COR certifications by

- providing information to employers about
  - training needed to qualify for COR (the certifying partner may determine mandatory training for employers in that sector to achieve a COR; the certifying partner’s assessment of training requirements will be based upon the minimum training required to allow employers to perform and pass an audit for COR certification.)
  - appropriate training opportunities (e.g., courses offered by an Industry Health and Safety Association – when and where they are offered)
  - financial provisions of the COR process (e.g., who has responsibility for various costs associated with the COR process)
- maintaining records of all training completed toward COR certification (see Standard 1.5)
- assisting with the provision of certified auditors when required or requested (a certifying partner is expected to maintain a register of certified auditors for employers – see Standard 1.5 and 1.10)

#### **1.5 *Certifying partners must maintain appropriate records related to employers whom they have registered as participating in the COR program.***

Certifying partners are responsible for maintaining a database of employers registered in their COR programs. The database maintained by the certifying partner will contain all the relevant employer and audit information used to

- create and maintain a list of employers participating in the COR program within their area of responsibility
- confirm completion of training

- audit for COR certification and recertification
- issue and maintain a COR
- respond to WorkSafeBC inquiries on a specific COR holder.

The following table outlines information the database must include:

Employer Information	COR Information	Audit Information
<ul style="list-style-type: none"> <li><input type="checkbox"/> legal name of employer, as registered with WorkSafeBC</li> <li><input type="checkbox"/> “doing business as” name, if different than legal name</li> <li><input type="checkbox"/> WorkSafeBC account number</li> <li><input type="checkbox"/> employer contact person</li> <li><input type="checkbox"/> address/telephone/fax/email</li> <li><input type="checkbox"/> relevant CUs</li> <li><input type="checkbox"/> designated small/large employer</li> <li><input type="checkbox"/> date of application to join the program</li> <li><input type="checkbox"/> operating locations</li> <li><input type="checkbox"/> training completed by employer (what, when, where, from whom, who completed it)</li> <li><input type="checkbox"/> employees with specific qualifying training/qualifications</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> WorkSafeBC account number</li> <li><input type="checkbox"/> work sites covered by the COR (if applicable)</li> <li><input type="checkbox"/> certifying audit date</li> <li><input type="checkbox"/> COR certificate number (generated by WorkSafeBC)</li> <li><input type="checkbox"/> COR issue date</li> <li><input type="checkbox"/> COR expiry date</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> audit results (all successive audit results/performance to be recorded)</li> <li><input type="checkbox"/> dates of audit</li> <li><input type="checkbox"/> whether audit is external or internal</li> <li><input type="checkbox"/> whether audit is for certification, maintenance, or re-certification</li> <li><input type="checkbox"/> auditor name</li> <li><input type="checkbox"/> audit instrument used</li> <li><input type="checkbox"/> work sites covered by the audit (if applicable)</li> <li><input type="checkbox"/> auditor tracking elements (a register of certified auditors)</li> </ul>

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### ***1.6 Certifying partners must regularly, and upon request, provide information from their COR-related records to WorkSafeBC***

If requested by WorkSafeBC, a certifying partner must provide the information contained in its database, or specific extractions, to WorkSafeBC for quality assurance. In addition, certifying partners must extract information from their databases on a monthly basis and submit it electronically to WorkSafeBC. The monthly update will contain the following information:

- new COR program participants
- new COR certified employers
- expired COR holders
- revoked COR holders
- account number and Classification Unit (CU) changes
- Addition of a CU
- Acquisition of one employer by another
- Changes in ownership of a COR certified employer

At the end of each calendar year, certifying partners will provide WorkSafeBC with a data extraction of all employers who possess a valid COR certification through them.

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**1.7 *Certifying partners must develop procedures and/or agreements for reciprocal acknowledgment of COR certifications, in response to the needs of employers within its sector***

Reciprocal acceptance of COR certification between industry sectors or between certifying partners in the same industry sector, is encouraged. The certifying partners will determine the circumstances under which they will recognize COR certification from other industry sectors. A certifying partner may not, however, set a higher standard for employers outside its industry sector than for those employers originally working in the sector.

In cases where two certifying partners cannot arrive at an agreement with respect to reciprocal acknowledgment of COR certifications, each must establish its own procedure for awarding full COR certification within its own sector to an employer who already has COR certification in the other sector, giving partial credit, as appropriate. In order to ensure that any employer will be able to voluntarily meet the requirements of another industry sector or jurisdiction, the option of utilizing an external audit for COR certification or re-certification in that sector must be available to all employers at any time.

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### ***Guideline 1.7.1***

Typically, because each certifying partner's process for certifying an employer will include aspects of health and safety management that may only be applicable to its own industry sector, the process of reciprocity involves

- initial acceptance based on an employer having passed an audit that meets the minimum standards set by WorkSafeBC (all audit tools used for COR certification in B.C. must meet the minimum audit standards set by WorkSafeBC – see Standards 4.6, 4.7, and 4.8)
- a period of adjustment (up to one year) in which the employer makes any necessary changes to its health and safety management system in order to be able to pass the audit for the industry sector in which it wants to do business (although all audits must meet the minimum standards set by WorkSafeBC, each certifying partner may customize its audit tool to include aspects of health and safety management applicable to its industry sector, which establishes the audit standard for its industry)
- a requirement (following the adjustment period) for employers who were granted reciprocal acceptance to meet the same standards as other employers in that sector.
- Reciprocity may also depend upon whether the audits an employer has passed are internal (performed by an employee) or external (performed by an outside auditor, typically a certified professional). For example, a certifying partner may determine that an internal audit is acceptable for initial consideration of reciprocity, but that an external audit is required to establish full COR certification. In most industry sectors, a small business (fewer than 20 employees) will use an internal audit for COR certification and for annual maintenance audits.

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**1.8 *Certifying partners must establish a Technical Advisory Committee to ensure their COR-related training and audit requirements for employers reflect OHS best practice and industry needs.***

Certifying partners must establish a Technical Advisory Committee to

- guide the development and maintenance of audit tools, training materials, and quality control processes that meet their industry needs
- solicit input from employers, subject matter experts in their industry, and WorkSafeBC to develop and continually improve their COR programs.

Depending on the needs of the certifying partner, the Technical Advisory Committee may be asked to perform other duties as well.

**1.9 *Certifying partners must provide industry-specific audit tools based on WorkSafeBC standards and approved by WorkSafeBC.***

Certifying partners must provide COR auditors with audit tools that

- address industry-specific needs
- they have developed themselves, adopted from another source (e.g., from another certifying partner, with appropriate permission), or adapted (e.g., from the work of another certifying partner, with appropriate permission)
- meet or exceed the WorkSafeBC audit standards (WorkSafeBC sets the standard for the audit process and audit tools to be used in the COR certification)
- have been approved by WorkSafe BC (the certifying partner must submit its proposed audit tool to WorkSafeBC for approval – see Standard 3.11).

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**1.10 Certifying partners must ensure the provision of auditor training and availability of auditors.**

Large employers wishing to participate in the COR program must be able to access the services of a certified external COR auditor, for certification (and in some cases, maintenance) audits. Small employers may voluntarily use the services of a certified external COR auditor. To this end, the certifying partner will maintain a register of certified external auditors and help employers locate and engage audit expertise as needed.

Further, a certifying partner must ensure that appropriate COR auditor training is made available to its employers. Specifically, all employers must be given the opportunity to train at least one in-house person (whether owner/manager or employee) to the level required of an internal auditor (see Standard 4.2). To this end, the certifying partner will develop training in health and safety management and injury management/return-to-work systems auditing, or ensure such training is available to employers through a third party.

***Guideline 1.10.1***

The DACUM process (acronym for develop a curriculum) is a recommended precursor to the development of learning objectives for training. Although the skills and qualifications required by auditors will not normally be specific to an industry sector, it is important that certifying partners ensure the training they provide for auditors is complete and appropriate to the industry sector to be audited. See ***Appendix K: Draft DACUM for External Auditor*** for a draft occupational profile for an internal auditor.

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### **1.11 Certifying partners must provide verification and quality assurance oversight.**

The certifying partner must confirm that employers seeking COR certification

- are registered with WorkSafeBC (this should occur when the employer first enrolls with the COR program)
- have completed training specific to the industry sector (if required)
- have successfully completed a health and safety management audit (overall pass mark of 80 percent, with no less than 50 percent on each element) and/or injury management/RTW audit (overall pass mark of 80 percent).

See Standard 1.5 for information about record-keeping requirements related to this verification. Once the certifying partner has reviewed and approved the audit submitted by an employer (or external auditor) and has confirmed that all training requirements have been met, the certifying partner notifies WorkSafeBC that the employer is COR certified.

Beyond this, working independently and in cooperation with WorkSafeBC, the certifying partner will

- perform review and investigation activities to ensure that a high level of confidence is maintained in the accuracy and timeliness of COR records
- maintain records of all quality assurance audits and will provide WorkSafeBC with an annual summary of the quality assurance activities.
- perform a detailed review (i.e., a paper review) of all COR audits, ensuring that audit process deficiencies are remedied as required (corrective action process – see Standards 2.4 and 4.7, as well as Element 8 of *Appendix I: Minimum Requirements for Small Employer OHS Audits*) so that all audits meet an acceptable standard.

- perform periodic verification audits, using an approved audit tool, to ensure the auditor's work is of acceptable quality (annually, at least 10 per cent of qualified external auditors **must** have their work on certification audits reviewed by the certifying partner; if a certifying partner's verification audit indicates significant variance from the audit performed by the qualified auditor, the certifying partner will withhold certification from the employer concerned and conduct further investigations into the conduct of the auditor)
- develop or adopt a set of principles and procedures to deal with audit irregularities and auditor conduct (for further details of the auditor's Code of Conduct see Standard 4.3); in the event an auditor fails to meet the standards required of auditors, a certifying partner is empowered to revoke that individual's certification as a COR auditor
- when requested to do so by WorkSafeBC, review audits on specified employers, review the audits performed by specific auditors, perform additional audits and/or coordinate the activities of a third party external auditor in order to confirm the validity of COR certification.
- respond in a manner that preserves the credibility of the COR program, if any complaints are received about the conduct of a COR certified employer or auditor for which the certifying partner is responsible.

**2**

**EMPLOYER**



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## **Purpose/Rationale**

As the entity most directly involved in directing the day-to-day activities of its workers, the employer is in the best position to manage the risks associated with the work it does and to create and maintain a safe and healthy working environment. By ensuring that operations are conducted so as to maximize the health and safety of workers and help injured workers return to active service as soon as appropriate, COR employers make an important contribution to the personal well-being of their employees and to the sustainable, cost-effective management of the worker safety and compensation system in BC. By participating in the COR program, an employer signals to everyone with whom it does business that it is taking active, meaningful steps to create and maintain a safe and healthy working environment. An employer that qualifies for a Certificate of Recognition and is in good standing with WorkSafeBC is accordingly entitled to a significant rebate on WorkSafeBC assessment remittances.

## **Definition**

COR employers are those who have registered in the program under the auspices of a certifying partner and who have met the standards set out here, as confirmed by a COR audit. For auditing purposes, employers are classified into one of two categories:

Large employers are those employers with 20 or more workers. For such employers, the large-employer OHS audit tool developed by the certifying partner will be the industry sector standard OHS audit.

Small employers are defined as those employers with fewer than 20 workers. Certifying partners are strongly encouraged to develop an audit tool, based on the large-employer audit tool, which addresses the required level of detail for small employers.

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## Standards (& Guidelines) for Employers

In order to be certified and receive a COR rebate on WorkSafeBC premiums, employers must actively choose to participate in the COR program and adhere to the requirements set forth in the following standards.

### ***2.1 Employers must register with a certifying partner.***

Employers voluntarily participate in the COR program by registering with a certifying partner, an organization that has a contractual agreement with WorkSafeBC to administer the COR program for a particular industry sector and help employers in that sector achieve COR certification. To do this, the employer will need to

- determine the appropriate certifying partner for its COR application

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

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

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- submit the required registration form and supporting information to the certifying partner

The certifying partner will provide the necessary registration form and may require employers to produce a copy of their WorkSafeBC welcome letter, clearance letter, annual rate notification letter, or revised rate letter (see *Appendix A: Sample WorkSafeBC Letters*) to confirm that the employer is registered with WorkSafeBC and to verify the accuracy of the employer's WorkSafeBC account number and legal name. The certifying partner will then confirm acceptance into the program and will enter the employer's details into its database of registered employers.

- inform the certifying partner of any changes in employer name, WorkSafeBC account number, or WorkSafeBC Classification Unit (CU). **Note that any change in this information must be provided to the certifying partner as soon as the changes occur, to prevent a loss of COR certification.**

## ***2.2 Employers must implement management systems and acquire needed in-house expertise, as specified by their certifying partner.***

As part of the COR program, employers must

- implement a health and safety management system (they may also choose to implement an injury management/return-to-work system)

When the employer's management system is completely in place (for the OHS COR and/or RTW COR), its implementation can be confirmed by an audit. Depending upon the employer size and industry sector, COR certification may require an external audit. In order to receive COR certification, an audit must demonstrate successful implementation of the management system. In order to achieve RTW COR certification, an employer must first obtain OHS COR certification, or both may be achieved concurrently. See Section 4 for more information on audits.

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- acquire in-house expertise related to the assessment of health and safety systems (auditor expertise) or retain consultants to provide such expertise

To effectively participate in the COR program employers must understand the concepts of COR certification such as health and safety management systems, audits, audit deficiencies, and continuous improvement. It is recommended that employers have at least one person (whether owner/manager or employee) trained to the level required of a COR auditor. This person would review and assess the organization's occupational health and safety management and/or return-to-work systems. This person would also be trained in the administration of the COR audit tools for the industry sector and be able to conduct a baseline or maintenance audit. (A baseline audit is an initial audit that serves to identify areas of health and safety management which are deficient and must be addressed by the employer in order to achieve COR certification. A maintenance audit is one that periodically occurs following the certification audit to ensure systems and practices remain functional and effective.) In the case of a small employer, this person may further be empowered to perform an internal audit of the system(s) as part of the COR certification process. Whether the certifying audit may be internal or must be external will depend on employer size and industry sector. For more information on auditor training and audits, please see Section 4.

The certifying partner will provide or facilitate provision of training for this person, since under the COR program, all employers must be given the opportunity to train at least one person to the level required of an internal auditor. Employers who do not wish to train someone internally may instead use the services of a safety consultant. Such a safety consultant will typically conduct a baseline audit and provide needed advice on developing an action plan to address deficiencies, in order to enable the employer to pass a certifying audit.

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- participate in additional operational training courses as required by the certifying partner

Depending upon industry requirements and employer size, various types of training may be required by the certifying partner (e.g., a course on the implementation of health and safety management systems may be required for the owner or chief executive, managers, and supervisors). The certifying partner provides information to the employer detailing the course requirements. The certifying partner will also provide dates and locations at which training courses are available, as well as critical dates by which certification must be completed in order to qualify for rebates for the current assessment year. The employer arranges and covers the costs of participation for appropriate managers, supervisors, and other workers.

### ***2.3 Employers must schedule and pass certification and maintenance audits in order to qualify for COR rebates (for OHS COR and/or RTW COR).***

Having met Standard 2.2, employers wishing to qualify for a COR rebate (in relation to either the OHS COR or the RTW COR) must conduct and pass a **certifying audit** that is specific to

- their industry
- their employer category (large or small)
- either the OHS COR or RTW COR (depending on the certification sought – recognizing that achievement of the RTW COR requires prior or concurrent achievement of the OHS COR)

The audit must be conducted by an appropriately trained auditor using the audit tool stipulated by the industry certifying partner. (For more information on auditor training and audits, please see Section 4.) Employers are responsible for costs associated with these audits.

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Once the employer successfully achieves either COR, **annual maintenance audits** are required to maintain certification. The COR certificate is valid for three years, after which a **re-certification audit** is required. Although there is some flexibility with respect to the scheduling of the three types of audit (certification, maintenance, and recertification), there are a number of scheduling considerations that employers must keep in mind:

- in order to qualify for rebates for the current assessment year, employers will need to take account of dates by which certification must be completed when scheduling their initial audits
- both certification and maintenance audits must be performed during a period when the employer is in a normal operating mode. Scheduling requires consideration of seasonal variation in volume and/or type of work, which may be a factor of weather or other business considerations
- maintenance audits may be performed at any time during a calendar year, but there must be at least six months between the initial certification date and the first maintenance audit submission and at least six months between each subsequent maintenance audit submission
- to avoid a lapse in certification, re-certification audits must be submitted before the COR certification expiry date
- when an employer has qualified for an OHS COR and an RTW COR at two differing times, harmonization of the two certifications should occur at the 1st recertification of the OHS COR.
- when an employer changes scope of operations by changing or adding a classification unit in which they are registered with WorkSafeBC, merging with or acquiring another business, or changing their WorkSafeBC account number, the employer must consult their certifying partner to determine whether an additional certification audit is required to maintain COR certification.

Recognizing that auditor availability is also a factor that will affect scheduling, employers are urged to seek advice from their certifying

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partner and/or auditor when making arrangements (see also Standard 4.11).

***Guideline 2.3.1***

In the event that the employer elects to have an external auditor perform the maintenance audit, and the standard is met for COR re-certification, the certifying partner may apply to WorkSafeBC to have the employer's COR certification extended for three years from the date of the audit.

***2.4 Employers must address any audit-identified deficiencies within their health and safety management systems (OHS COR) and/or their return-to-work programs (RTW COR).***

The audit process is designed to determine if the essential elements of a health and safety management system are present. For virtually all audits, some deficiencies in the employer's health and safety management system will be revealed. For all audits, the employer should develop and implement an action plan to address any audit-identified deficiencies in the health and safety management system, and/or the return-to-work program, as applicable.

The process of developing and acting on a plan to improve the management system each time an audit is performed is referred to as continuous improvement. The continuous improvement concept is a powerful management tool, allowing those who utilize it to repeatedly improve the system under study by applying a repetitive four-step process of "Plan, Do, Check, Act."

***2.5 Employers must submit the audit results and other required documentation to their certifying partner.***

In order to qualify for a COR, the employer certification audit (internal or external) conducted by a qualified auditor must be submitted to the appropriate certifying partner for review and approval. In addition, there may be industry-specific documentation requirements.

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Once the employer has arranged for and completed the certification audit, the employer or auditor submits the following to the certifying partner:

- the audit that meets the requirement for a COR, including an indication of steps that are being taken or will be taken to address any audit-identified deficiencies (i.e., a corrective action plan – see Standard 4.7; also see Appendices H and I)
- industry-specific documentation (e.g., occupational health and safety policy and procedure manual)
- confirmation that any additional training required by the certifying partner has been completed.

## ***2.6 Employers must remain in good standing with WorkSafeBC.***

In order to receive a COR rebate, an employer must be in good standing with WorkSafeBC.

At the end of each calendar year, certifying partners provide WorkSafeBC with a data extraction of all employers who possess a valid COR certification through them. WorkSafeBC determines if the employer is eligible for the rebate.

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

- the employer has engaged in activity which would cause WorkSafeBC to consider imposing, or has resulted in WorkSafeBC imposing, an administrative penalty (see Prevention Policy D-12-196-1)
- the employer has suppressed claims for compensation or suppressed claims costs

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- the employer has an outstanding balance related to its WorkSafeBC employer account
  - the employer has failed to register with WorkSafeBC
  - the employer has not reported payroll to WorkSafeBC for the audit year.
  - the employer has engaged in other misconduct considered by WorkSafeBC to be inconsistent with participation in the COR program

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

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

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



# 3

## WORKSAFEBC



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## Purpose/Rationale

WorkSafeBC envisions BC as a jurisdiction in which workers and workplaces are safe and secure from injury, illness, and disease. In keeping with this vision and its mandate to operate in partnership with workers and employers (see Definition below), WorkSafeBC has adopted as its mission to provide value to workers and employers by

- assisting them to create a culture of health and safety in the workplace
- delivering high-quality decisions and advice
- providing compassionate and supportive services
- ensuring solid financial stewardship now and for the future.

The Certificate of Recognition (COR) program is one means whereby WorkSafeBC seeks to accomplish this mission and achieve its vision. The program is designed to

- provide an opportunity for a wide range of employers in various industries to take a proactive role in promoting occupational health and safety
- recognize and reward by means of an incentive program employers who implement effective health and safety management and return-to-work systems
- ensure fairness and accountability by means of an audit system
- support continuous improvement through a quality assurance framework.

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## Definition

WorkSafeBC is an independent statutory agency whose mandate is to work in concert with workers and employers to

- promote the prevention of workplace injury and disease
- rehabilitate those who are injured and provide timely return to work
- provide fair compensation to replace workers' loss of wages while recovering from injuries
- ensure sound financial management for a viable workers' compensation system.

In relation to the COR program, WorkSafeBC has established the terms under which it operates and continues to ensure its ongoing sustainability by managing the financial incentive component and providing high-level administrative oversight.

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## **Standards (and Guidelines) for WorkSafeBC**

As a statutory agency with overall responsibility for the operation of British Columbia's worker safety and compensation systems, WorkSafeBC exercises a leadership and quality assurance role with respect to the COR program, to ensure that the integrity of the COR program is not compromised and that processes associated with the COR Program respect both accountability and fairness. In exercising this role, WorkSafeBC will consistently adhere to the following standards.

***3.1 WorkSafeBC will periodically seek input from certifying partners, employers, and other stakeholders to improve or refine the COR program.***

WorkSafeBC is receptive to feedback from stakeholders regarding the Standards and Guidelines under which the COR program operates. A system of periodic review will solicit input from stakeholders via the Certifying Partners Committee, in order to ensure that the operation of the COR program meets the needs of industry, as well as being consistent with the objectives and principles of WorkSafeBC.

***3.2 WorkSafeBC will promote and provide information about the COR Program, as needed, in an effective and timely manner.***

WorkSafeBC currently maintains and will continue to maintain regular and frequent communications with certifying partners, other industry or health and safety associations, and employers that have expressed interest in participation in the COR program. To the greatest degree possible, WorkSafeBC will cooperate with certifying partners in communication activities about the COR program.

WorkSafeBC utilizes many forms of media to ensure that all stakeholders are kept informed of issues relevant to health and safety in B.C. Initiatives such as the COR program are featured in focused advertising campaigns, and materials are prepared for ongoing distribution, as appropriate with the development of the program.

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Information on the COR program will be distributed to selected stakeholders (including personnel working in all divisions and offices of WorkSafeBC) as well as to industry groups through a variety of targeted media, including news releases, directed advertising, and printed and electronic publications. Information will also be made available via printed publications for general distribution and through industry-based or health and safety associations or conferences. Similarly, information will be posted on the WorkSafeBC web site at [www.WorkSafeBC.com](http://www.WorkSafeBC.com). All media presentations and publications will be consistent with the goals and objectives of WorkSafeBC and specifically with the WorkSafeBC Board of Directors' Health and Safety Initiative.

### **3.3 *WorkSafeBC will be responsible for approving and contracting with certifying partners***

WorkSafeBC is responsible for

- determining which organizations will be designated as certifying partners

WorkSafeBC reviews applications to determine that potential certifying partners meet the requirements (see Section 1 – Definition). Only organizations deemed able to fulfill the duties detailed throughout Section 1 will be approved. Where questions arise concerning which certifying partner is appropriate for a particular employer, WorkSafeBC will make a determination on the basis of natural alignment.

- entering into a contract with certifying partners.

The COR contract is a written document outlining the commitments made by WorkSafeBC and the certifying partner as partners in health and safety. The roles of the certifying partner with respect to issuing a COR, reviewing audits, program administration, communication, program evaluation, and quality assurance are outlined in the contract (see *Appendix D: Sample Contract*). Contracts are dated, signed, and both parties receive a copy.

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To ensure continuity within the COR program, WorkSafeBC will generally enter into a contract with certifying partners for three-year to five-year terms, with annual renewal requirements. A key component of the contract is the development and implementation of annual goals and objectives. Annual review and renewal requires WorkSafeBC to assess the contribution that the certifying partner has made and assist in establishing new goals and objectives for the coming year.

### **3.4 *WorkSafeBC will provide funding for eligible COR administrative expenses incurred by certifying partners.***

Working with the certifying partners, WorkSafeBC will review, approve, and process payments for administration funding and rebates. Certifying partner administration costs are sourced from the accident fund of WorkSafeBC.

WorkSafeBC will assist certifying partners to define the administration costs that are associated with offering a COR program and ensure sufficient funding is in place before a program is offered. Funding will be generally based on the generic administration budget included as *Appendix C: Generic Administrative Budget*.

The following types of expenses, at a level appropriate for the size and complexity of operation for the industry sector concerned, and in support of activities included in COR administration, are acceptable as COR administration costs:

- lease or rental of office space
- parking costs, if applicable
- lease or rental of office furniture and equipment (may be purchased and amortized, if approved)
- salaries of manager and staff, with benefits
- contract costs for consultants
- travel expenses
- office supplies

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- insurance
  - legal
  - accounting expenses
  - licences and permits
  - advertising
  - postage / courier
  - communication expenses
  - conferences and trade shows in the certifying partner's industry sector.

The following types of activities **ARE** included in COR administration:

- development of training courses and materials for auditor training.
- development and delivery of an "owner's course," if such a course is considered to be a tool for promoting the acceptance of the COR program in that industry sector.
- development of audit tool(s) specific to the industry sector, for large and small employers
- registration of employers in the program
- guiding employers through the registration, training, and auditing activities required for COR certification (this does not include the actual training or assisting the employer to build the safety management system)
- audit review and associated quality assurance activities
- database management, including collection and verification of employer data
- data submission to WorkSafeBC
- business development and associated activities intended to promote the business of the certifying partner and expansion/ acceptance of the COR program within the certifying partner's industry sector
- management and administrative support for the above.

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Training activities, including auditor training, **ARE NOT** considered expenses under the COR program. Training must be conducted on a cost recovery basis unless the industry sector has approved provision of some training on a “free” basis. In such cases, the cost of training will be funded from the sector.

### ***3.5 WorkSafeBC will provide oversight and quality assurance in relation to performance of certifying partners***

While certifying partners make an important contribution to quality assurance within the COR program (see Standard 1.11), WorkSafeBC has the overall responsibility for quality assurance within the program. In relation to the COR program generally and the performance of certifying partners in particular, WorkSafeBC seeks to ensure that all COR certifications meet the same minimum standard, irrespective of industry or certifying partner. WorkSafeBC exercises its oversight and quality assurance responsibility in relation to certifying partners by assuming direct control of some activities and by

- participating in some activities of the certifying partners through membership in Technical Advisory Committees (see Standard 1.8), thereby assisting the certifying partners to design processes and set controls that are consistent with the Standards and Guidelines.
- conducting ongoing reviews and annually auditing one or more certifying partners to confirm that their operation(s) conform to contractual obligations, good business practice, and objectives of the COR program. The audit tool for this purpose will be designed by WorkSafeBC; administrative practice and the certifying partner’s responsibilities as defined in Section 1 are the two main areas to be addressed by the audit tool. Operation inconsistent with the standards and guidelines set out in Section 1 will result in WorkSafeBC consulting with the certifying partner to deal with specific performance problems, with appropriate remedies if required.

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### **3.6 WorkSafeBC will issue COR certificates to employers who have met requirements.**

WorkSafeBC will prepare COR certificates for issue in response to submission of COR-certified (or recertified) employer names and other information by the certifying partner. Certificates of Recognition will be printed by WorkSafeBC. They will be standardized in format (see Guideline 3.5.1). WorkSafeBC will deliver the COR certificates to the certifying partner, who will in turn countersign and present them to the qualifying employers.

**Standardized certificates** for both the OHS COR and the RTW COR will

- be customized to each certifying partner by placement of an identifying logo, water mark, or other insignia appropriate to the certifying partner, in addition to the WorkSafeBC logo
- bear the signatures of the current WorkSafeBC vice-president responsible for the COR program and the designated executive of the certifying partner (signatures may be applied digitally, as deemed appropriate)
- recognize the employer by the name under which business is conducted (i.e., the trade name if one exists)
- indicate
  - the certifying partner
  - the certificate number – consisting of the six-digit WorkSafeBC account number followed by the two-digit certifying partner code (e.g., 01 is the code for the Construction Safety Network), then the certificate issue date (format is YYYYMMDD), an “H” or an “R” indicating the type of COR (H for Health and Safety and R for RTW), and finally a single letter to indicate employer size (L for large or S for small)
  - the certificate’s expiry date
  - the legal name of the business (if different than the name under which business is conducted)

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- the WorkSafeBC account number
  - the CU(s) in which the employer is receiving certification
  - the employer’s size: large or small

See *Appendix E: Sample Certificate of Recognition*.

### **Guideline 3.6.1**

Although WorkSafeBC issues only one original of each certificate (i.e., does not print multiple convenience copies for employers), it may issue a **replacement certificate** prior to the original expiry date when any of the following situations arise:

- the employer’s legal or trade name has changed
- the classification units have changed
- the employer’s account number has changed and it is deemed appropriate to transfer the COR status to another registration that has assumed the same operation
- an employer makes a special request citing legitimate circumstances (e.g., loss of the original due to fire or theft).

### **3.7 WorkSafeBC is responsible for issuing assessment rebates to COR-certified employers.**

Employers who earn the OHS COR receive rebates of 10 percent of their WorkSafeBC base assessment. Employers who also earn the RTW COR receive rebates of an additional 5 percent of their WorkSafeBC base assessment. Costs of these COR program rebates are amortized over five years and recovered from the respective industry sectors participating in the program by a levy on their base assessment rates.

As part of the COR program, WorkSafeBC assumes responsibility for

- defining the requirements to receive rebates (these are set forth in this document; see Standards 2.2, 2.3, 2.5, and 2.6)

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- setting the rebate amounts offered under the COR program, including percentages, minimums, employer maximums, and program maximums (the minimum annual rebate for achieving and/or maintaining one or both of the COR certifications is the lesser of \$500 or 50 percent of the premiums paid by the employer for the rebate year being calculated; this ensures a financial incentive to participate in the program is possible for even the smallest employers)
  - specifying the timing of rebate payments (certifying partners provide regular updates to WorkSafeBC identifying current COR holders and changes of COR status; at pre-defined dates, when assessment and payroll data are available for the previous calendar year, WorkSafeBC will issue the COR rebate cheques; thus, for example, an employer that achieved COR certification in 2006, received the appropriate rebate for that year in 2007)
  - specifying the basis for calculation of rebates (rebates are calculated as a percentage of the base assessment on the payroll of the year of COR certification; see *Appendix G: Example Rebate Calculation.*)
  - defining a total dollar rebate limit for the program, as may be appropriate
  - changing or modifying the rebate system as required
  - processing and issuing rebate payments, according to the direction of the WorkSafeBC Board of Directors (all COR rebates are issued as cheques to the employer by WorkSafeBC; cheques are produced once annually by WorkSafeBC and distributed with a congratulatory letter to the individual employers)
  - providing a list of employers receiving rebates to the respective certifying partners as confirmation that the rebates have been issued (in the event that an employer is found to be ineligible for a rebate, WorkSafeBC will notify the certifying partner).

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Where the employer is not in good standing (see Standard 2.6), the rebate will be withheld according to the circumstances of each employer.

In relation to the issuing of rebates, WorkSafeBC provides quality assurance by

- performing all rebate calculations
- reviewing all data submitted for rebate entitlement to confirm employer identity based on WorkSafeBC account number, firm legal name, and “doing business as” name
- reconfirming data with the certifying partner as required to ensure that COR-certified employers receive rebates based on correct assessable payroll and base assessment for time periods applicable to the employer’s certification.

### ***3.8 WorkSafeBC is responsible for maintaining a comprehensive COR program database and providing quality assurance in relation to data storage.***

While each certifying partner is responsible for maintaining a database of program participants and successful COR employers (see Standard 1.5), WorkSafeBC will maintain a master list of current COR holders. As WorkSafeBC receives regular updates from the certifying partners on program participants and current COR holders, it will update its database accordingly and place the list of current COR holders on the WorkSafeBC web site. The master COR list on the WorkSafeBC web site will contain

- Employer account number
- Employer name
- Employer CU(s)
- COR certificate number
- COR certificate issue date
- COR certificate expiry date

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To ensure accuracy in the COR program database(s), WorkSafeBC will compare the master list of COR employers with the certifying partners' submissions at the end of each calendar year. In cooperation with certifying partners, WorkSafeBC will reconcile variances between the databases.

WorkSafeBC provides further quality assurance in relation to the use and storage of data by

- using the same system of safeguards for COR program records as are applied to other WorkSafeBC electronic data records
- ensuring that certifying partners establish and maintain appropriate electronic data storage systems to safeguard data and protect the privacy of employers, in consideration of data collected from employers and provided by WorkSafeBC.

### ***3.9 WorkSafeBC is responsible for verifying that an employer is in good standing.***

Prior to issuing any rebate under the COR program, WorkSafeBC will verify that each employer is in good standing with WorkSafeBC by confirming that the employer

- is registered and is in the correct classification unit(s) (CUs)
- is up to date with respect to payment of assessment premiums
- does not have outstanding compliance issues.

Should it be determined an employer is not in good standing, WorkSafeBC will inform the certifying partner that the employer is not eligible to receive a rebate and the general reason(s) why. WorkSafeBC will then communicate in writing to the employer the specific reason(s) why they are not receiving a rebate and, if applicable, WorkSafeBC may suggest actions the employer can take to be reconsidered for the rebate.

The following are circumstances that would cause WorkSafeBC to designate an employer as “not in good standing”:

- the employer has engaged in activity which would cause WorkSafeBC to consider imposing, or has resulted in WorkSafeBC imposing, an

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

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

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

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

### ***3.10 WorkSafeBC will establish and refine audit standards.***

As the primary requirement to be awarded either an OHS COR or RTW COR, employers develop and implement a health and safety management system and measure the effectiveness of the system with a health and safety management audit (see Standard 2.2). It is the responsibility of WorkSafeBC to set the minimum expectations for these audits.

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The minimum expectations are set out as a basic set of measurable criteria for the COR program health and safety management audit. In establishing these criteria, WorkSafeBC considers

- the connections between an effective Health and Safety Management System and an effective Injury Management/Return to Work Program (an employer wishing to qualify for an RTW COR will already have qualified for an OHS COR; the RTW COR may be obtained subsequently or concurrently)
- both the **process** used to conduct the audit and the **features** of the employer's Health and Safety Management System and/or Injury Management/Return to Work Program that are to be examined
- An effective Health and Safety Management System includes the concept of a continuous improvement process, which is embodied in the development of an action plan to address deficiencies identified by the audit (see Standards 2.4 and 4.7, as well as Appendices H, I, and J).
- well-established best practice, based on analysis of the requirements of a health and safety management system, as well as current practice in other jurisdictions
- the promotion of reciprocity between industries and other jurisdictions, as well as the acceptability of audit tools recognized by other certifying agencies
- the differing certification requirements for small and large employers.

The minimum expectations for audits set by WorkSafeBC (sometimes referred to as “audit standards”) are customized for the applicable industry sector by the certifying partner. For specific and current information about the minimum expectations that WorkSafeBC has established for audits (audit standards), see Standards 4.6, 4.7, and 4.8, as well as Appendices H, I, and J.

As required, WorkSafeBC may periodically change the minimum expectations for audits in consideration of changes in the OHS Regulation, in light of current best practice, or in response to input

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from stakeholders. In this event, WorkSafeBC will communicate the nature and content of the changes to those concerned.

### **3.11 WorkSafeBC is responsible for approving audit tools.**

Certifying partners typically develop an audit tool that meets or exceeds the WorkSafeBC minimum expectations for audits (or audit standard), with appropriate modifications to accommodate the specific requirements of their industry sector (see Standard 1.9). WorkSafeBC is responsible for reviewing and approving these customized COR program audit tools (including any revisions to a previously approved audit tool), taking account of the following:

- Audit tools must meet the minimum expectations that WorkSafeBC has established for a health and safety management audit (the audit standard), and specifically in relation to their
  - content
  - scoring proportion
  - validation technique.
- Only audit tools approved by WorkSafeBC can be used to audit for COR certification.
- The rationale for customization of COR program audit tools is to meet industry-specific needs.
- Audit instruments considered for use within the COR program must be sponsored by a certifying partner.

If WorkSafeBC determines that the audit instrument meets the COR program audit standard, it can be used. WorkSafeBC notifies the certifying partner of findings, recommendations, and approval/rejection decision. Copies of the audit tool are kept on file and WorkSafeBC will maintain a list of all approved audit instruments.

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### ***3.12 WorkSafeBC will provide quality assurance in relation to auditor training and employer audits.***

The integrity of the COR program is dependent upon a high level of assurance that reported audit results are credible and verifiable.

In relation to auditor training, WorkSafeBC provides quality assurance by

- setting essential learning objectives, training time, and curriculum content for the auditor training courses
- requesting verification audits, as appropriate (in the event that WorkSafeBC considers the conduct of a COR certified employer to be inconsistent with the performance of an employer utilizing a health and safety management system, WorkSafeBC may require the employer to conduct an external audit of the employer's health and safety management system in order to confirm whether COR certification is appropriate)
- participating in the Technical Advisory Committees' process of auditor training design
- auditing a representative sample of auditor training courses to ensure that standards are being met

In relation to employer audits, WorkSafeBC provides quality assurance by

- reviewing the COR certified employer data submitted by certifying partners to ensure that employers are correctly identified and records are complete.
- requesting verification audits, as appropriate (in the event that WorkSafeBC considers the conduct of a COR certified employer to be inconsistent with the performance of an employer utilizing a health and safety management system, WorkSafeBC may require the certifying partner to conduct an external audit of the employer's health and safety management system in order to confirm whether COR certification is appropriate).

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(For additional detail on the auditor and audit process quality assurance framework, see *Appendix F: Auditor and Audit Process Quality Assurance*.)

**3.13 *WorkSafeBC can be expected to facilitate reciprocity (mutual recognition of each others' COR and COR-type certifications) among differing industry sectors.***

The benefit of COR certification to employers is clearly increased if their COR is recognized in other industry sectors in which they may choose to do business. By ensuring that each certifying partner uses an audit tool which meets the audit standard, WorkSafeBC establishes a basis for equivalency of COR programs offered in all industry sectors. Since each certifying partner's process for certifying an employer will include aspects of health and safety management that may only be applicable to its own industry sector, however, it is up to the certifying partners to develop procedures and/or agreements for reciprocal acknowledgement of COR certifications, in response to the needs of their sector employers (see Standard 1.7). To further facilitate inter-industry reciprocity, WorkSafeBC can be expected to assist with resolution of disputes that may arise should an employer's COR not be recognized in another industry sector for what may appear to be arbitrary reasons

**3.14 *WorkSafeBC can be expected to facilitate reciprocity (mutual recognition of each others' COR and COR-type certifications) between jurisdictions.***

Reciprocity involves acknowledgment of COR certification, which may allow an employer to carry on business in a jurisdiction different from the one in which COR certification was received. The benefit of COR certification to employers is clearly increased if their COR is recognized in other jurisdictions in which they may choose to do business. Because certifying partners are responsible for confirming the eligibility of employers in their industry sectors for certification, reciprocity between jurisdictions must be developed by agreement between certifying partners in the respective jurisdictions. The same general principles involved in inter-industry reciprocity apply (see Standard 3.13).

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COR certification established in one jurisdiction should be initially acceptable in another jurisdiction during a period in which the employer brings its health and safety management system to a point at which it will pass an audit in the new jurisdiction. The following caveats apply, however:

- deficiencies in an employer’s health and safety management system that are specifically addressed by legislation in the new jurisdiction must be immediately dealt with, regardless of considerations of reciprocity for COR certification
- an employer with a head office in another jurisdiction and one or more operating locations in BC that has been COR-certified in the other jurisdiction must have included the BC operating locations in the qualifying audit if it wants its COR recognized in BC
- in order to receive an assessment rebate, a COR-certified employer must have paid assessments in BC.

WorkSafeBC assists with resolution of disputes that may arise should a certifying partner’s COR not be recognized in another jurisdiction through their participation in a working group established by the workers compensation boards of B.C., Alberta, and Saskatchewan.

### ***3.15 WorkSafeBC can be expected to provide quality assurance in relation to complaints.***

WorkSafeBC provides quality assurance in relation to complaints brought forward by any COR program participant, by any worker, or by any member of the public. It does this by establishing reporting systems with certifying partners to ensure that

- complaints are shared by relevant parties
- an open, transparent system exists to deal with complaints in a manner that preserves the credibility of the COR program.

Whether complaints are received by the certifying partner or by WorkSafeBC, the response to the complainant must attempt to resolve the issue. As the need arises, complaints will be reviewed with certifying partners to deal with root causes.

# 4

## AUDITORS AND AUDITS



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## Purpose/Rationale

Auditors make an important contribution to the functioning of the COR program by conducting the audit – providing an informed, systematically constructed perspective on the quality and effectiveness of an employer’s

- health and safety management system and/or
- injury management/return-to-work system.

By reviewing key aspects of the system(s) that he or she is engaged to audit, the auditor ensures that their quality and effectiveness are assessed in a fair and consistent manner, according to defined criteria, thus upholding the credibility and value of the COR certification. The standardized audit is the cornerstone upon which the COR program rests, and adherence to the minimum required expectations (audit standards) built into COR audits ensures a level of consistency of health and safety management systems in use by COR-certified employers throughout B.C.

## Definition

A COR auditor is a recognized and specially trained individual who is qualified to assess an employer’s health and safety management system and injury management/return-to-work system. The COR program specifically recognizes two types of auditor:

- **internal auditor** – This individual is a permanent employee of the employer who has received a minimum of 14 hours of combined instruction and training from a certifying partner on how to conduct, document, and score a COR audit of health and safety management systems and/or injury management/return-to-work systems. If the employer is a small employer (with fewer than 20 workers), the internal auditor is empowered to conduct both certification audits and annual maintenance audits. If the employer is a large employer (with 20 or more workers), the internal auditor is empowered to conduct annual maintenance audits **only**. Note that in order to perform an internal audit on a large employer, the auditor must be trained to utilize the large employer audit tool, which may exceed the minimum 14 hours of required training.

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- **external auditor** – This individual has a high degree of expertise and competency in occupational health and safety auditing and is typically engaged by an employer for the sole purpose of conducting an audit of the organization’s health and safety management system or injury management/return-to-work system. An external auditor must have received a minimum of 35 hours of combined instruction and training from a certifying partner on how to conduct a COR audit of health and safety management systems and/or injury management/return-to-work systems, unless the auditor candidate has been exempted from a portion of the training due to prior qualifications. Regardless of the size of the employer, an individual certified as an external COR auditor is empowered to conduct both certification audits and annual maintenance audits.

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## Standards (& Guidelines) for Auditors and Audits

### **4.1** *COR external auditors must have a good working knowledge of industry sectors in which they audit.*

Industry sector work experience of candidates for external auditor training will be assessed by certifying partners for adequacy.

Experience in the industry sector is required so that the auditor will

- be aware of sector-specific hazards to their own safety in the workplace while they conduct an audit
- be able to determine whether activities they observe are acceptable practice
- recognize situations involving imminent danger to workers
- have a high level of credibility in interviews with workers.

#### **Guideline 4.1.1**

Factors that might be considered in assessing the industry sector work experience of candidates for external auditor could include any or all of the following:

- length of tenure within the industry or a related industry
- positions occupied within the industry or a related industry
- industry-specific training and/or education received (including quantity, currency, and certification type/level attained)
- personal references from knowledgeable persons within the industry or a related industry
- disciplinary record (if any).

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#### **4.2 COR auditors must observe professional practices, demonstrate competence in occupational health and safety, and possess an appropriate mix of skills and attributes.**

The levels of practice, competence, and skill, as well as the attributes required may be different between internal and external auditors, as deemed appropriate by the certifying partner.

**Large Employer COR auditors** will be expected to

- possess a significant technical competence
- demonstrate competence with respect to occupational health and safety to the satisfaction of the certifying partner. This demonstration will include evidence of
  - some background in occupational health and safety risk management
  - a familiarity with general occupational health and safety audit principles
  - proficiency in the application of audit data collection techniques
  - proficiency in the analysis and evaluation of occupational health and safety information

In their practice as large employer COR auditors, individuals will be expected to

- ensure that concise, detailed, and relevant notes are maintained during the data collection process
- conform to and be a role model in all occupational health and safety practices while on site
- ensure that both positive observations and opportunities for improvement are reflected in the final report
- undertake respectful, relevant, and engaging interviews with all client employees.

**Small Employer COR auditors** need to possess a technical competence appropriate to the scale, scope and complexity of the audit tool and the company operations as deemed appropriate by the certifying partner; in their practice as small employer COR auditors,

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individuals will be expected to

- ensure that audit paperwork is completed correctly to the best of the auditor's ability
- conform to and be a role model in all occupational health and safety practices
- ensure that both positive observations and opportunities for improvement are reflected in the final report
- be familiar with company operations and paperwork
- be an employee or dependent contractor of the company

#### **Guideline 4.2.1**

Depending on the situation within the industry sector within which an individual is seeking to work as a COR external auditor and on the decision of the certifying partner(s) involved, a candidate for COR auditor may be required to meet specific experience and certification requirements such as the following:

- possess a minimum of five years experience as a safety professional within the last ten years
- hold a certificate, diploma, or degree in Occupational Health and Safety or a Canadian Registered Safety Professional (CRSP) designation.

The certifying partners committee that provides advice on the operation of the COR program will review the substance and status of this guideline annually, with a view to continuously improving the qualifications of auditors.

### **4.3 *COR auditors must have completed COR-specific training required for the type of audit they will be performing.***

#### **Large Company External Auditors**

To qualify as an external auditor an individual must have received a minimum of 35 hours of combined instruction and training from a certifying partner on how to conduct, document, and score a health and

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safety management system audit, unless the auditor candidate has been exempted from a portion of the training due to prior qualifications. As part of the auditor training, this individual must have passed a qualifying examination. The auditor must conduct at least one audit that has been reviewed for acceptability by the certifying partner. This training audit does not count as enabling any employer to satisfy the certification or recertification audit requirements associated with COR certification. It may count as a maintenance audit for the employer if the audit is successfully reviewed for acceptability.

### **Large Company Internal Auditors**

To qualify as an internal auditor an individual must have received a minimum of 14 hours of combined instruction and training from a certifying partner on how to conduct, document, and score a health and safety management audit unless the auditor candidate has been exempted from a portion of the training due to prior qualifications. As part of the auditor training, the internal auditor must have passed a qualifying examination. The auditor must conduct at least one audit that has been reviewed for acceptability by the certifying partner. This training audit may have been performed on the auditor's employer, but does not count as enabling the employer to satisfy the audit requirements associated with COR certification or recertification. It may count as a maintenance audit for the employer if the audit is successfully reviewed for acceptability.

### **Small Company Internal Auditors**

To qualify as a small company internal auditor an individual must have received a minimum of 14 hours of combined instruction and training from a certifying partner on how to conduct, document, and score a health and safety management audit unless the auditor candidate has been exempted from a portion of the training due to prior qualifications, which may include large company COR auditor certification.

For owner-operators without a need for supervisory activities, a minimum 4-hour customized combined instruction and training session is considered sufficient, if the certifying partner deems

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appropriate. Successful completion of the training audit is considered to be the course exam if the certifying partner deems it appropriate. The training audit submitted by a student auditor counts fully as a certification, re-certification or maintenance audit for the company, provided the audit is successfully reviewed for acceptability and, in the case of certification and recertification audits, has a passing score. Only those individuals who have completed or have had standing granted in the theory portions of the course may submit an audit for certification, recertification, or maintenance purposes.

#### **4.4 *COR auditors must commit to the “Code of Conduct for COR Auditors.”***

The “Code of Conduct for COR Auditors” calls for auditors to refrain from entering into any activity that may be construed as a conflict of interest and/or might impair their ability to conduct their duties objectively; specifically, an individual acting as an external auditor within the COR program must not

- within the twelve month period preceding an audit conducted for certification and recertification purposes provide specific or generic training services that would be directly evaluated by the audit instrument
- within the twelve-month period preceding an audit conducted for certification and recertification purposes have any employment or direct contractual relationship with the employer (including establishing or implementing a health and safety management system), except for a relationship that involves the following:
  - auditing
  - delivering standard CP-developed training courses
  - delivering generic training courses (in either group or individual employer setting) for which they did not help develop the curriculum
  - providing other services not directly evaluated by the audit instrument

- 
- make audit recommendations with the intent to market or to justify the purchase of additional business services from the auditor

More generally, the “Code of Conduct for COR Auditors” calls for auditors to

- exercise honesty, objectivity, and diligence in the performance of their duties
- not knowingly engage in acts or activities that are discreditable to the profession of auditing in the occupational health and safety field
- only undertake work activity that they are competent and qualified to carry out
- protect the confidentiality of information obtained during the audit and ensure the anonymity of all individuals contacted during the audit process
- apply a continuous improvement methodology in all services rendered
- maintain the highest standards of honesty and integrity during the application of audits

#### ***4.5 COR auditors must maintain the quality and currency of their skill set and knowledge base.***

Approved COR program auditors are required to keep current on auditing quality standards and audit instrument use, and they are expected to pursue opportunities to improve and maintain their auditing skills. To this end, COR auditors (both internal and external) must

- be re-approved at least once every three years
- complete at least a minimum of 7 hours of auditor refresher/recertification training or equivalent as deemed appropriate by the certifying partner over the three-year auditor certification period to be eligible for re-approval (NOTE: the length of the refresher/recertification training will not exceed the length of the initial training. For internal **small-employer auditors**,

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consideration will be given to inclusion of training with a more general OHS focus, with the approval of WorkSafeBC).

**External auditors** must also conduct a minimum of two audits (or other audit-related activities of comparable scope as deemed appropriate by the certifying partner) within the three-year period between their initial approval certification and their re-approval. The certifying partner may accept team audits from certified external auditors to satisfy this requirement, provided the auditors are involved in all verification of the document review, interview, and observation processes.

**Internal auditors** (for both large and small employers) must conduct a minimum of two audits within the three-year period between their initial approval certification and their re-approval. The certifying partner may accept team audits from certified internal auditors or other audit-related activities of comparable scope as deemed appropriate by the certifying partner.

**4.6 *Health and safety management audits (OHS COR) for large employers must at minimum meet the audit requirements (audit standard) for large employers, as set out by WorkSafeBC.***

All employers seeking OHS COR certification must be able to prove – by means of an audit – that they have a health and safety management system in place. The audit will assess

- the provisions built into the health and safety management system
- specific instructions and assigned responsibilities for coordination and maintenance of the system.

Large employers (having 20 or more workers) must use a certified external auditor for their certification audit and re-certification audit every three years. An employee trained in auditing may be used for maintenance audits. Accordingly, all external auditors, and internal auditors who work with a large employer, must be familiar with the audit requirements (audit standard) for large employers set out by WorkSafeBC.

The standard audit tool for large employers consists of eight elements. The element details may be found in *Appendix H: Minimum Requirements for Large Employer OHS Audits*. Employers conducting the large employer OHS COR audit have the option of including the RTW COR audit as an optional ninth element, for convenience and efficiency of auditing.

The weighting of each element and method of scoring are as follows:

	<b>Element</b>	<b>Percentage of Total Audit</b>	<b>Verification Method</b>
<b>1</b>	Management Leadership and Commitment	10 to 15	documentation, interviews, observation
<b>2</b>	Safe Work Procedures and Written Instructions	10 to 15	documentation, interviews
<b>3</b>	Training and Instruction of Workers	10 to 15	documentation, interviews
<b>4</b>	Hazard Identification and Control	10 to 15	documentation, interviews, observation
<b>5</b>	Inspection of Premises, Equipment, Workplaces, and Work Practices	10 to 15	documentation, interviews, observation
<b>6</b>	Investigation of Accidents	10 to 15	documentation, interviews, observation
<b>7</b>	Program Administration	5 to 10	documentation, interviews
<b>8</b>	Joint Health and Safety Committee	5 to 10	documentation, interviews
<b>9</b>	Injury Management/RTW (Optional)	Independent of other audit elements	documentation, interviews, observation

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Auditors should be aware that the certifying partner may introduce other elements, in addition to the above basic elements common to all industries. The industry-specific audit requirements may also be reflected in training required prior to COR certification for the industry sector in question (see Standard 4.2).

Auditors are reminded that

- only audit tools approved by the certifying partner and WorkSafeBC may be used for conducting certification audits (see Standards 1.9 and 3.11).
- every audit result is subject to review by the certifying partner, as part of quality assurance processes (see Standard 1.11).

**4.7 *Health and safety management audits (OHS COR) for small employers must at minimum meet the audit requirements (audit standard) for small employers, as set out by WorkSafeBC.***

WorkSafeBC addresses the differing needs of large and small employers with the development of a separate set of audit expectations for small employers. The Minimum Requirements for Small Employer OHS Audits have been developed to address the limited resources of a small employer. Small employers, with fewer than 20 workers, may utilize an employee trained in auditing for all COR certification and recertification audits, although a higher audit standard may be required for reciprocity with some industry sectors.

The small employer audit standard consists of nine elements. The element details may be found in *Appendix I: Minimum Requirements for Small Employer OHS Audits*. Employers conducting the small employer OHS COR audit have the option of including the RTW COR audit as an optional tenth element, for convenience and efficiency of auditing. Verification for all elements is by documentation and/or interviews. The weighting of each element and method of scoring are as follows:

	<b>Element</b>	<b>Percentage of Total Audit</b>
<b>1</b>	Management (Owner) Commitment	10 to 15
<b>2</b>	Policy and Procedures (Work, Emergency)	10 to 15
<b>3</b>	Training, Education, and Certification	10 to 15
<b>4</b>	Risk or Hazard Identification, Assessment, and Control	10 to 15
<b>5</b>	Inspections	10 to 15
<b>6</b>	Incident or Accident Investigation	10 to 15
<b>7</b>	Program Administration	10 to 15
<b>8</b>	Action Plan	5 to 10
<b>9</b>	Contract Systems	5 to 10
<b>10</b>	Injury Management/RTW (Optional)	Independent of other audit elements

It should be noted that Element 8, Action Plans, applies to maintenance and recertification audits only; for certification audits there will have been no action plan generated from a previous audit. The inclusion of this element recognizes that all audits will identify some elements that can be improved. The employer is expected to develop and implement an action plan to address the deficiencies as identified by the audit process, and the succeeding audit examines whether these actions have been completed (see Standard 2.4).

Auditors should be aware that the certifying partner may introduce other elements, in addition to the above basic elements common to all industries. The industry-specific audit requirements may also be reflected in training required prior to COR certification for the industry sector in question (See Standard 4.2). Auditors are reminded that

- only audit tools approved by the certifying partner and WorkSafeBC may be used for conducting certification audits (see Standards 1.9 and 3.11).
- every audit result is subject to review by the certifying partner, as part of quality assurance processes (see Standard 1.11).

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**4.8 Injury Management/Return-to-Work Audits (RTW COR) must at minimum meet the audit requirements (audit standard) for this type of audit, as set out by WorkSafeBC.**

The injury management/return-to-work audit measures the effectiveness of the injury management/return to work (RTW) program, focusing on the management system that helps facilitate the return of injured workers to meaningful and productive employment in a timely manner. The audit also takes account of specific instructions and assigned responsibilities for coordination and maintenance of this system. WorkSafeBC has worked with the certifying partners to identify the minimum expectations required of an injury management/return-to-work system. This set of minimum expectations for a RTW system consists of four elements. Details of these elements may be found in Appendix J: Injury Management/Return-to-Work Audit Standard. The weighting of each element and method of scoring are as follows:

	<b>Element</b>	<b>Percentage of Total Audit</b>	<b>Verification Method</b>
<b>1</b>	Injury Management/Return-to-Work Policy, Management, and Leadership	20 to 25	documentation, interviews, observation
<b>2</b>	Resources, Education, and Training	15 to 20	documentation, interviews
<b>3</b>	Stay at work and return to work	35 to 45	documentation, interviews, observation
<b>4</b>	Communication	20 to 25	documentation, interviews, observation

Auditors should be aware that the certifying partner may introduce other elements, in addition to the above basic elements common to all industries. The industry-specific audit requirements may also be reflected in training required prior to COR certification for the industry sector in question (see Standard 4.2). Auditors are reminded that

- only audit tools approved by the certifying partner and WorkSafeBC may be used for conducting certification audits (see Standards 1.9 and 3.11).

- 
- every audit result is subject to review by the certifying partner, as part of quality assurance processes (see Standard 1.11).

WorkSafeBC has, with the participation of the certifying partners, developed a standard RTW COR audit tool, which has been made available for use by all certifying partners. Certifying partners may also modify this standard audit for use in their industry sector, and such modified audit tools must be submitted to WorkSafeBC for approval prior to their use. Certifying partners may also adapt the standard RTW COR audit tool for use by small employers, and submit same to WorkSafeBC for approval prior to use.

#### ***4.9 All audits must employ a mix of audit verification methods (approaches to gathering evidence of successful system design and implementation).***

Every audit must be based on evidence that is collected using, at a minimum, the following methods:

- documentation review to determine extent of the written program development
- interviews or questionnaires to
- determine whether the program has been communicated to employees
- obtain information not obtainable through document review
- workplace observational tour to
  - determine extent and effectiveness of program implementation
  - obtain information that cannot be learned through document review and from conducting interviews/questionnaires.

In any large employer audit used for COR certification, each of the three methods of evidence gathering (documentation, interview, and observation) will account for a minimum of 10 percent and a maximum of 50 percent of the possible points to be awarded. Auditors are reminded that every audit result is subject to review by the certifying partner, as part of quality assurance processes (see Standard 1.11).

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In any small employer audit used for COR certification, the documentation, interview and/or observation portions of the audit may be performed by the company or by the certifying partner as part of their Quality Assurance activities on a sampling basis.

**4.10 Audit scoring must be consistent with the standard interpretation of audit scores and their significance.**

Scoring of the OHS audit is uniform for all industry sectors. To pass the certification or re-certification OHS audit, a minimum 80 percent total score is required and the score on any individual element must not be less than 50 percent.

Scoring of the optional RTW audit element is likewise uniform for all industry sectors. To pass the certification or re-certification RTW audit element, a minimum 80 percent total score is required. When the RTW audit is submitted with the OHS audit for a combined certification, the RTW element scoring is considered separate from the OHS audit.

Auditors are reminded that every audit result is subject to review by the certifying partner, as part of quality assurance processes (see Standard 1.11).

**Guideline 4.10.1**

In the design of audit tools, discretionary scoring (i.e., awarding of all, some, or no points based on non-proportional or arbitrary rules) should be avoided, regardless of the verification method being scored (documentation, observation, or interview). For example, the auditor should **not** be directed to “award full points for use of personal protection equipment if workers are generally wearing their ppe, and subtract one mark for every worker seen not wearing their hard hat”. Rather, strong preference should be given to scoring based on defined point values and scoring decisions based on sound logic and best practice. It is anticipated that adoption of this practice will lead to

- inclusion of a greater number of more specific audit questions
- reduction in audit variability due to individual interpretation of employer circumstances.

#### ***4.11 Audits must be conducted according to a regular schedule.***

Auditors are responsible for ensuring that an audit is representative and accurately reflects the management system of the employer. Careful scheduling will help ensure that the situation at the time of the audit will be the one that ordinarily prevails within the organization (see Standard 2.3 for further information on scheduling).

Auditors should further be aware that large employers (with 20 or more workers) must have an external audit for certification and re-certification. Maintenance audits may be internal. Large employers have the option of using an external auditor for maintenance audits, if they wish.

Small employers (with fewer than 20 workers) are allowed to use internal audits for certification, maintenance, and re-certification. Employers wanting to perform internal audits must have an employee trained as an auditor. Small employers have the option of using an external auditor for any audits, if they wish.

<b>Audit Scheduling Comparison: Large and Small Employers</b>		
<b>Audit Function</b>	<b>Large Employers</b>	<b>Small Employers</b>
Initial audit for certification: If certifying audit is successful, COR is awarded, valid for three years	must be external	internal or external
Prior to end of year one: Maintenance audit	internal or external	internal or external
Prior to end of year two: Maintenance audit	internal or external	internal or external
Prior to end of year three: re-certification audit — if successful COR is awarded for another three years	must be external	internal or external
The process of maintenance audits for the next two years and re-certification audits after three years is repeated.		

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Maintenance audits – conducted yearly to track changes in the health and safety management system performance – should be undertaken on the same basis as certification audits, but the most critical element of this audit is generating an action plan to address deficiencies (see Standard 2.4).

#### ***4.12 Auditors must note audit scope***

Auditors are responsible for ensuring that the scope of the audit is accurately recorded and reported. Many employers operate a single business at multiple sites or operating locations. Careful questioning of the business owner, and specific enquiries directed to the certifying partner or to WorkSafeBC, may yield information which will enable the auditor to ensure that the audit covers all the operations of the employer in the WorkSafeBC classification unit (CU), which is a requirement for COR certification of the business and the payment of rebates. Indications that there is a change to the CU such as, addition of a CU, acquisition of one employer by another, changes to ownership of a COR certified employer should be reported to the Certifying Partner.



# APPENDICES

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# Appendix A: Sample WorkSafeBC Letters

## Sample Welcome Letter



Assessment Department	Location	Employer Service Centre
<b>Mailing Address</b> PO Box 5350 Station Terminal Vancouver BC V6B 5L5	6951 Westminster Hwy Richmond BC V7C 1C6 Telephone 604 244 6181 www.worksafebc.com	Telephone 604 244 6181 Toll Free within Canada 1 888 922 2768 Fax 604 244 6490

(Legal Name) \_\_\_\_\_ (form date)  
(Trade Name) \_\_\_\_\_  
(Address 1) \_\_\_\_\_  
(Address 2) \_\_\_\_\_  
(Address 3) \_\_\_\_\_  
(Address 4) \_\_\_\_\_  
(City) (Province) (Postal Code) \_\_\_\_\_

**Re: Your WorkSafeBC account, effective \_\_\_\_\_**

Welcome to WorkSafeBC – the Workers' Compensation Board, where you will find a wealth of resources to help you create a safe and healthy workplace. Your premiums contribute to the cost of health care, rehabilitation and compensation for workers who suffer work-related injuries, helping them return to productive lives. In return, you are protected against lawsuits by workers who suffer these occupational injuries and diseases.

### Here is a summary of your account information:

Account number	Business number	Class number	Class description	(year) rate	(year1) rate
----------------	-----------------	--------------	-------------------	-------------	--------------

As an employer, you have certain obligations, such as keeping your account up to date and complying with the *Workers Compensation Act* and Occupational Health and Safety Regulation. To keep your account up to date, you need to report your payroll to us and pay premiums. It's also your responsibility to report changes in your firm's operations, maintain a safe workplace, understand the claims process, and do what you can to assist an injured worker to return to work safely.

Each year, we will send you an Employer Payroll and Contract Labour Report, which you will need to complete to calculate premiums for your coverage. Your payroll report and your payment will be due each March. The exact due date will be noted on your payroll report.

While you can report your payroll and pay your premiums when you submit your payroll report, you can also file payroll reports and make payments online at [WorkSafeBC.com](http://WorkSafeBC.com), or by using our automated telephone system. For more information, including the financial and clearance benefits of these options, visit our web site.

To pay by phone, call 1 888 922-2768 or 604 244-6181. You can also pay at your bank, by mail, or in person at any WorkSafeBC office. For personal assistance, contact our Employer Service Centre during regular business hours, Monday through Friday.

If you operate as a proprietorship or partnership, the proprietors or partners of your firm will not receive workers' compensation benefits in the event of an injury unless they have Personal Optional Protection (POP) coverage. If you would like to add POP coverage to your account in the future, please apply on our web site or contact our Employer Service Centre.

*Please have your account number handy when contacting the Employer Service Centre.*

## Sample Clearance Letter



WORKING TO MAKE A DIFFERENCE

Assessment Department	Location	Clearance Section
<b>Mailing Address</b> PO Box 5350 Station Terminal Vancouver BC V6B 5L5	6951 Westminster Hwy Richmond BC V7C 1C6 www.worksafefbc.com	Telephone 604 244 6380 Toll Free within Canada 1 888 922 2768 Fax 604 244 6390

(Legal Name)  
(Trade Name)  
(Address 1)  
(Address 2)  
(Address 3)  
(Address 4)  
(City) (Province) (Postal Code)  
(Country)

(form date)

**Person/Business:** \_\_\_\_\_

**Project/File Number:** \_\_\_\_\_

We confirm that the above-mentioned account has satisfied its assessment remittance requirements for the period (from\_dt) to (to\_dt).

Contractor liability is outlined in Section 51 of the *Workers Compensation Act*.

Employer Service Centre  
Assessment Department

Comment:

**Clearance Reference #:**  
CLRA3-5

(ID#)

**Now you can get clearance letters, report payroll and pay premiums online.  
Go to [www.worksafefbc.com](http://www.worksafefbc.com)**

Please refer to your account number in your correspondence or when contacting the Assessment Department.

**To alter this document constitutes fraud.**

- 1 -

## Sample Rate Notification Letter



Assessment Department of the Workers' Compensation Board of British Columbia

**Mailing Address**  
PO Box 5350  
Station Terminal  
Vancouver BC V6B 5L5

**Location**  
6951 Westminster Hwy  
Richmond BC V7C 1C6  
Telephone 604 244 6181  
[www.worksafebc.com](http://www.worksafebc.com)

**Employer Service Centre**  
Telephone 604 244 6181  
Toll Free within Canada  
1 888 922 2768  
Fax 604 244 6490

April 11, 2008

**Account Number:**

**Classification:**

### Your Rate Information for 2008

WorkSafeBC - the Workers' Compensation Board of B.C. - is funded entirely by employers. Through your premiums, you are protected from lawsuits by workers who suffer work-related injuries and you help cover the cost of health care, rehabilitation and compensation for these employees.

Considering that a single injury can exceed \$1 million, the premiums we collect from employers must cover the current and future cost of claims. For instance, during 2006, WorkSafeBC paid \$1,125,000,000 in benefits to B.C.'s injured workers on behalf of employers.

To cover these expenses, each year we calculate a base rate, which reflects the historical cost of injuries in your industry. An experience rating discount or surcharge, based on your firm's health and safety record, is then applied to determine your net rate.

For 2008, your net rate will increase to \$1.18 from \$0.85 in 2007.

The table below shows how we calculated your rate.

Calculation Steps	% Adjustment	\$ Value	Description
Base rate		\$1.18	The rate per \$100 of assessable payroll for all employers who share this classification.
Experience rating adjustment	0.3% surcharge	\$0.00	Adjustment to your rate based on your claims' cost history.
<b>Net rate</b>		<b>\$1.18</b>	Your rate per \$100 of assessable payroll. For 2008, the maximum assessable payroll per worker is \$66,500.

This letter is for information only. For information about the claim costs in your rate group, refer to the last page of this document. If you have questions about your account, contact our Employer Service Centre at one of the numbers listed at the top of this page. Please note: WorkSafeBC policy requires that you contact the Centre if the classification listed above does not reflect your core business operations. You can find a description of the classification at [www.worksafebc.com/insurance/premiums/2007\\_rates/classification/search-classification.asp](http://www.worksafebc.com/insurance/premiums/2007_rates/classification/search-classification.asp).

Did you know you can conduct 80 percent of your WorkSafeBC business online? Sign-up today to report payroll, make payments, submit injury reports (Form 7), and much more. Go to [WorkSafeBC.com](http://WorkSafeBC.com).

Calculation Date: October 06, 2007

Please refer to your account number in your correspondence or when contacting the Employer Service Centre.

Page 1 of 1



Assessment Department of the Workers' Compensation Board of British Columbia

**Mailing Address**

PO Box 5350  
Station Terminal  
Vancouver BC V6B 5L5

**Location**

6951 Westminster Hwy  
Richmond BC V7C 1C6  
Telephone 604 244 6181  
[www.worksafebc.com](http://www.worksafebc.com)

**Employer Service Centre**

Telephone 604 244 6181  
Toll Free within Canada  
1 888 922 2768  
Fax 604 244 6490

For Information Only

April 11, 2008

**Account Number:**

**Classification:**

**Your Revised Premium Rate for 2008**

We have completed processing some changes on February 8, 2008 and this has resulted in a change to your 2008 net premium rate. The table below shows the steps we followed to calculate your net premium rate before and after we completed the changes.

Calculation Steps	Your Rate Prior to the Changes		Your Rate After the Changes	
Base premium rate		\$1.18		\$1.18
Experience rating adjustment	0.5% surcharge	\$0.01	0.0%	\$0.00
<b>Net premium rate</b>		<b>\$1.19</b>		<b>\$1.18</b>

If you have an account balance as a result of these changes, you will receive a statement showing the adjustments to your account.

**Changes That Prompted This Recalculation of Your Rate**

The calculation of your experience rating adjustment for 2008 uses data from previous years. The following information shows the years used in the calculation and the values used before and after the changes were made.

Claims Cost Change:	Changed From			Changed To		
	2004	2005	2006	2004	2005	2006
Year of injury						
Claims costs to June 30,2007	\$200,002.32	\$390,984.32	\$455,708.41	\$181,989.26	\$390,984.32	\$455,708.41

The table below shows the changes to the cost of claims associated with your account.

**Year of Injury: 2004**

Change to Claim	Name (Last/First/Middle)	Total Paid to June 30, 2007		
		Changed From	Changed To	Change
AC04163452	LOVASZ ILA V	\$18,013.06	\$0.00	-\$18,013.06
		<b>Total:</b>		<b>-\$18,013.06</b>

Calculation Date: February 08, 2008

Please refer to your account number in your correspondence or when contacting the Employer Service Centre.

Page 1 of 2

# Appendix B: Example Application Form

## APPLICATION FORM

CONSTRUCTION



### Certificate of Recognition (COR) WorkSafe BC Rebate

- I have read, understand and agree to the attached Terms and Conditions of Participation and put forward this application as my Letter of Commitment to participate in the Safety Network's Certificate of Recognition Program.
- My company's total assessable payroll is over \$1,000,000 or
- My company's total assessable payroll is under \$1,000,000\* (see Terms of Participation #13)
- Attached is my company's health & safety manual.
- My company is COR certified in another jurisdiction, attached is the COR certificate and the course certificates from my full time company representative. (see Terms of Participation #10)

Legal Name: \_\_\_\_\_

Operating Name: \_\_\_\_\_

Address: \_\_\_\_\_

City Province Postal Code

Phone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Company's Designated Health and Safety Person:

Direct Telephone \_\_\_\_\_

Print Name \_\_\_\_\_

Fax \_\_\_\_\_

Title \_\_\_\_\_

Email \_\_\_\_\_

The following list of WorkSafe BC account(s) is/are to be included in this application:

Legal Name:	WorkSafe BC Employers ID #	WorkSafe BC Classification Unit #
_____	_____	_____
_____	_____	_____
_____	_____	_____

- I would like to apply for my WorkSafe BC Rebate as outlined in the Terms & Conditions of Participation.  
I authorize WorkSafe BC to provide the CSN with my payroll information for purposes of administering and distributing my rebate if I am eligible.

I, \_\_\_\_\_ Name of Owner/CEO Title \_\_\_\_\_

hereby commit that our company will complete the program requirements set by the Construction Safety Network to achieve my Certificate of Recognition (COR) and will continually improve our company's safety culture.

Signature \_\_\_\_\_ Date \_\_\_\_\_

To register for the COR/Rebate program fax or mail this application to the location listed below.

COR Administrator  
Construction Safety Network  
225, 8678 Greenall Avenue  
Burnaby, BC V5J 3M6

Facsimile: 604.436.0623  
Email: info@safetynetwork.bc.ca  
Telephone: 604.436.0232 / 1.866.860.0232  
www.safetynetwork.bc.ca

\*application currently under review

# Appendix C: Generic Administrative Budget

## Proposed Budget for Certifying Partner COR Administration Expense

Expense Item	Year one		Year two		Year three		Year four		Year five	
	Monthly	Annual	Monthly	Annual	Monthly	Annual	Monthly	Annual	Monthly	Annual
Salary: office person(s)		\$42,000.00		\$42,000.00		\$72,000.00		\$110,000.00		\$110,000.00
benefits @ 20%		\$8,400.00		\$8,400.00		\$14,400.00		\$22,000.00		\$22,000.00
Salary: field person(s)		\$75,000.00		\$75,000.00		\$75,000.00		\$115,000.00		\$115,000.00
benefits @ 20%		\$15,000.00		\$15,000.00		\$15,000.00		\$23,000.00		\$23,000.00
Rental office space + utilities	\$1,000.00	\$12,000.00	\$1,000.00	\$12,000.00	\$1,000.00	\$12,000.00	\$1,300.00	\$15,600.00	\$1,300.00	\$15,600.00
Parking spaces	\$120.00	\$1,440.00	\$120.00	\$1,440.00	\$180.00	\$2,160.00	\$180.00	\$2,160.00	\$180.00	\$2,160.00
Travel expense	\$200.00	\$2,400.00	\$300.00	\$3,600.00	\$500.00	\$6,000.00	\$700.00	\$8,400.00	\$700.00	\$8,400.00
Rental office equipment										
computers	\$100.00	\$1,200.00	\$100.00	\$1,200.00	\$100.00	\$1,200.00	\$150.00	\$1,800.00	\$150.00	\$1,800.00
photocopy deposit		\$750.00						\$1,000.00		
photocopier	\$75.00	\$900.00	\$75.00	\$900.00	\$75.00	\$900.00	\$100.00	\$1,200.00	\$100.00	\$1,200.00
photocopier @ \$.02 per copy	\$20.00	\$240.00	\$60.00	\$720.00	\$100.00	\$1,200.00	\$120.00	\$1,440.00	\$120.00	\$1,440.00
Communications expense										
High speed internet	\$65.00	\$780.00	\$65.00	\$780.00	\$65.00	\$780.00	\$65.00	\$780.00	\$65.00	\$780.00
Telephone service	\$70.00	\$840.00	\$70.00	\$840.00	\$70.00	\$840.00	\$70.00	\$840.00	\$70.00	\$840.00
Cellphones	\$75.00	\$900.00	\$75.00	\$900.00	\$75.00	\$900.00	\$125.00	\$1,500.00	\$150.00	\$1,800.00
Office supplies	\$100.00	\$1,200.00	\$250.00	\$3,000.00	\$350.00	\$4,200.00	\$350.00	\$4,200.00	\$400.00	\$4,800.00
Legal expense		\$5,000.00		\$7,000.00		\$10,000.00		\$10,000.00		\$15,000.00
Accounting expense		\$1,000.00		\$1,000.00		\$1,500.00		\$1,500.00		\$2,000.00
Licences, permits		\$400.00		\$400.00		\$400.00		\$400.00		\$400.00
Advertising	\$300.00	\$3,600.00	\$300.00	\$3,600.00	\$300.00	\$3,600.00	\$300.00	\$3,600.00	\$300.00	\$3,600.00
Contract verification audits	\$1,500.00		\$15,000.00		\$30,000.00		\$30,000.00		\$30,000.00	
<b>Total annual expense</b>		<b>\$174,550.00</b>		<b>\$192,780.00</b>		<b>\$252,080.00</b>		<b>\$354,420.00</b>		<b>\$359,820.00</b>
<b>Total staff</b>		<b>2</b>		<b>2</b>		<b>3</b>		<b>4.5</b>		<b>4.5</b>
<b>Capacity</b>										
Employers registered in year		50		150		200		300		300
Employers dropping out		0		0		20		40		50
Net registered employers		50		200		380		640		890
Employers certified in year		20		80		147		169		163
Net certified employers @ 65%		20		100		247		416		579
<b>Productivity</b>										
New registrations per staff		25		75		67		67		67
New certifications per staff		10		40		49		38		36
<b>Total cost per registration</b>		<b>\$3,491</b>		<b>\$1,285</b>		<b>\$1,260</b>		<b>\$1,181</b>		<b>\$1,199</b>
<b>Total cost per certification</b>		<b>\$8,728</b>		<b>\$2,410</b>		<b>\$1,715</b>		<b>\$2,097</b>		<b>\$2,214</b>

## Appendix D: Sample Contract

**THIS AGREEMENT** is made the \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

BETWEEN:

**CONTRACTOR**

having a place of business at

\_\_\_\_\_  
\_\_\_\_\_.

(hereinafter called "Contractor")

AND

**THE WORKERS' COMPENSATION BOARD OF BRITISH COLUMBIA**

doing business as WorkSafeBC

having its mailing address at

PO Box 5350 Station Terminal, Vancouver BC, V6B 5L5

(hereinafter called "WorkSafeBC")

In the interest of meeting the objectives identified in the \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_ (the "Project").

## THE PARTIES AGREE AS FOLLOWS:

### 1. SERVICES:

- a) Contractor must provide the services specified in the Component Services Schedule or Schedules applicable to the Agreement that is attached as Schedule “A” (the “Services”).
- b) Unless the parties to this Agreement agree otherwise, Contractor must supply and pay for all labour, materials, facilities and approvals necessary or advisable to provide the Services.

### 2. TERM:

This Agreement is effective for the period commencing \_\_\_\_\_ and ending \_\_\_\_\_ (the “Term”).

### 3. FUNDING:

- a) WorkSafeBC will provide funding to Contractor for this Project in an amount not exceeding \_\_\_\_\_, according to the terms set out in the attached Component Services Schedule or Schedules.
- b) Distribution of funding depends on fulfillment of the terms of this Agreement and its Component Services Schedule or Schedules.
- c) WorkSafeBC is subject to the Goods and Services Tax (“GST”) and the Provincial Sales Tax (“PST”). Where applicable, the Contractor shall indicate GST and PST separately on all invoices.

### 4. REPORTS AND RECORDS:

Responsibilities of Contractor with respect to reporting and record keeping include the following:

- a) Contractor must collect information and produce and deliver to WorkSafeBC statements and other reports in accordance with the Component Services Schedule or Schedules.
- b) Contractor must produce and maintain segregated accounting and administrative records for the Services. Contractor must ensure that its annual financial statements (covering both the Services and any activities of Contractor outside this Agreement), are prepared in accordance with generally accepted accounting principles (“GAAP”) and that attached to

those statements are schedules which after excluding any activities of Contractor outside this Agreement, break down by Component Services Schedule Contractor's income and expense statement and any retained earnings or accumulated surplus.

- c) WorkSafeBC will have access at all reasonable times and upon 24 hours notice to the personnel, books, records and other documents pertaining to the Services provided under the Project for the purposes of auditing, reviewing or copying them.
- d) Contractor must preserve all those documents referred to above for seven years after the termination of the Project.

**5. ADDITIONAL SOURCES OF FUNDING:**

- a) Any additional funding obtained for the Project by Contractor from sources other than WorkSafeBC that was not included in the original Project plan and budget must be directed toward the Project and reported under the financial statements of the Project.
- b) All revenues received from materials, training or work related to the Project during the Term must be directed toward the Project and reported under the financial statements of the Project.
- c) The discovery by WorkSafeBC of sources of additional funding not identified in the financial statements may be considered cause for termination of the Agreement and recovery of any unused funds given by WorkSafeBC under the terms of this Agreement (pursuant to the Termination paragraph of the Agreement).

**6. OWNERSHIP:**

WorkSafeBC has the right to use, duplicate or distribute in whole or in part any report/document/training material or finding produced as a consequence of this Agreement, at any time and in any manner it considers useful or helpful to the administration of the *Workers Compensation Act*. [WorkSafeBC has the exclusive right to apply for a copyright or patent in relation to any design that is developed by Contractor as a result of this Agreement (WHERE APPLICABLE)]. Contractor must, upon request from WorkSafeBC, provide a copy of any report/document/training material or finding to WorkSafeBC and at no cost to WorkSafeBC.

## 7. REPRESENTATION

Unless otherwise specified in the Component Services Schedule or Schedules to this Agreement, Contractor must not advertise or otherwise make representation to third parties which might lead the third party to believe that WorkSafeBC is certifying or otherwise officially endorsing the approach taken or the reports, documents, or any materials or other products or findings produced as a consequence of this Agreement. If Contractor wishes to have any materials approved, certified or officially endorsed by WorkSafeBC, that approval process must take place separately from this Agreement.

## 8. CONFIDENTIALITY AND FREEDOM OF INFORMATION:

- a) Contractor will treat as confidential and will not, without the prior written consent of WorkSafeBC, disclose or permit to be disclosed, the information supplied to Contractor by WorkSafeBC as a result of this Agreement. Contractor recognizes that all material and other information referred to above is protected by the provisions of the B.C. *Freedom of Information and Protection of Privacy Act* ("FIPPA") and agrees not to use or disclose any such material or information except as permitted by the FIPPA.
- b) Each of the parties must use reasonable efforts to protect from disclosure the information of the other Party. Each of the parties must divulge such Confidential Information only to its employees or agents as necessary for the purposes of this Agreement. "Confidential Information" for the purposes of this Agreement includes all data and information relating to the business and management of either party, including proprietary and trade secrets, know-how, technology and accounting records to which access is obtained hereunder by the other party, provided, however, that Confidential Information must not include any information which:
  - i) is or becomes publicly available through no fault of the other party,
  - ii) is already in the rightful possession of one party prior to its receipt from the other party,
  - iii) is independently developed by the other party,
  - iv) is rightfully obtained by the other party from a third party,
  - v) is disclosed with the written consent of the party whose information it is, or,
  - vi) is disclosed pursuant to court order or other legal compulsion.

- c) Contractor recognizes that any information it provides to WorkSafeBC may be subject to disclosure under the FIPPA.

**9. CONFLICT:**

Contractor will not, during the Term, perform a service for or provide advice to any person, firm or corporation where the performance of the service or the provision of the advice may or does, in the reasonable opinion of WorkSafeBC, give rise to a conflict of interest between the obligations of Contractor to WorkSafeBC under this Agreement and the obligations of Contractor to the other person, firm or corporation. Contractor will notify WorkSafeBC forthwith of any proposed service or advice that might give rise to a conflict within the meaning of this provision.

**10. FINANCIAL DILIGENCE:**

Contractor must exercise due financial diligence, avoiding non arms-length transactions involving funds provided by WorkSafeBC as part of this Agreement. In situations where it is not possible to avoid transactions that may appear to be at non arms-length, in awarding any contracts Contractor will ensure that the selection is based on appropriateness, qualifications and cost.

**11. INDEMNITY:**

Contractor will indemnify and save harmless WorkSafeBC from and against all claims, demands, losses, damages, costs and expenses made against or incurred, suffered or sustained by WorkSafeBC at any time where the same are based upon or arise out of anything tortiously done or omitted to be done by Contractor or by any of its agents, employees, officers, directors or subcontractors.

**12. ASSESSMENT REGISTRATION:**

Contractor must be registered and in good standing with the WorkSafeBC Assessment Department, dependent on the scope of work and the eligibility of Contractor for registration.

**13. NOTICES:**

- a) Any notice, consent, waiver, statement, other document or payment and all or any part of the material or goods that either party may be required or may desire to give or deliver to the other will be conclusively deemed validly given or delivered to and received by the addressee, if delivered personally on the date of delivery or, if mailed, on the third business day after the mailing of the same in British Columbia by prepaid post addressed, if to WorkSafeBC:

Vice President, Worker and Employer Services Division  
WorkSafeBC  
P.O. Box 5350 Station Terminal  
Vancouver BC V6B 5L5

if to Contractor:

Contractor name  
Contractor address

- b) Either party may, from time to time, give to the other written notice of any change of address and after giving notice the address will, for the purposes of the preceding paragraph, be deemed to be the address of the party giving such notice.

**14. VARIATION OF AGREEMENT:**

This Agreement will not be varied save in writing and signed by both parties.

**15. TERMINATION:**

- a) WorkSafeBC reserves the right to cancel this Agreement if the Services are not to the satisfaction of WorkSafeBC. Such cancellation must be in writing and may be without notice and must not result in any penalty or other charges to WorkSafeBC. In addition, WorkSafeBC must have the right to terminate this Agreement at its sole discretion upon thirty (30) days notice.
- b) Upon termination of this Agreement, Contractor will complete financial statements identifying all Project costs incurred in accordance with the Project plan and budget. Upon review of the Project costs by WorkSafeBC:
- i) in the event WorkSafeBC determines that the total Project costs incurred at the date of termination exceed the amounts paid to Contractor under the Funding paragraph of this Agreement, WorkSafeBC will pay

the difference to Contractor up to the maximum amount specified in the Funding paragraph of this Agreement; or

- ii) in the event WorkSafeBC determines that the total Project costs incurred at the date of termination are less than the amounts paid under the Funding paragraph of this Agreement, Contractor will pay to WorkSafeBC the difference within thirty (30) days of the date of termination.

**16. ASSIGNMENT AND SUBCONTRACTING:**

- a) Contractor will not, without prior written approval of WorkSafeBC assign, either directly or indirectly, this Agreement or any right of Contractor under this Agreement.
- b) No subcontract, whether consented to or not, involving the Services of this Agreement relieves Contractor from any obligations under this Agreement.
- c) Contractor must ensure that any subcontractor fully complies with this Agreement in performing the subcontracted Services.

**17. MISCELLANEOUS:**

- a) Contractor is an independent Contractor and not an employee, agent or partner of WorkSafeBC.
- b) Contractor must comply with all applicable laws.

**18. AUDIT AND SERVICE EVALUATION:**

- a) Contractor must arrange for a financial statement audit to be conducted for each fiscal year of the Contract in accordance with Generally Accepted Auditing Standards and in accordance with audit procedures specified by WorkSafeBC.
- b) Contractor must arrange for reviews of its compliance with this Agreement in accordance with the Specified Audit Procedures and the terms set out in the Component Services Schedule or Schedules.
- c) Contractor must participate in any service evaluation process applicable to the Services, as developed from time to time by WorkSafeBC in consultation with Contractor, upon receiving reasonable notice from WorkSafeBC and at reasonable times.

**19. INTERPRETATION:**

- a) This Agreement will be governed by and construed in accordance with the laws of the Province of British Columbia.
- b) The headings appearing in the Agreement have been inserted for reference and as a matter of convenience and in no way define, limit or enlarge the scope of any provision of this Agreement.
- c) In this Agreement, wherever the singular or neuter is used, it will be construed as if the plural, masculine, or feminine, as the case may be, has been used where the context so requires.

**20. INSURANCE:**

During the Term, Contractor is required to maintain Comprehensive General Liability insurance in the minimum amount of not less than \$2,000,000 per occurrence. Contractor will provide, at the request of WorkSafeBC, documentation satisfactory to WorkSafeBC evidencing the insurance coverage required hereunder.

**21. FORCE MAJEURE:**

Neither party will be liable for any failure or delay to perform that party's obligations resulting from any cause beyond that party's reasonable control, including but not limited to fires, explosions, floods, strikes, work stoppages or slowdowns or other industrial disputes, accidents, riots or civil disturbances, acts of civil or military authorities, inability to obtain any license or consent necessary in respect of use with any telecommunications facilities, or delay caused by carriers, suppliers or material shortages.

**22. ENTIRE AGREEMENT:**

This document and the attached Component Services Schedule or Schedules constitute the complete and exclusive statement of the Agreement between the parties, which supersedes all proposals or prior Agreements, oral or written, and all other communications between the parties relating to the subject matter of this Agreement.

**23. OBLIGATION SURVIVING:**

The rights and obligations of this Agreement described in paragraphs Reports and Record, Ownership, Confidentiality and Freedom of Information, and Termination will survive and continue after any expiration or termination of this Agreement.

In witness whereof, THE WORKERS' COMPENSATION BOARD OF B.C. and CONTRACTOR have executed this Agreement as of the day and year above first written.

**Signed for and on behalf of WorkSafeBC**

---

Signature:

---

Signature of witness

---

Name of authorized WorkSafeBC signatory  
(Vice President, Worker and Employer Services)

---

Name of witness

---

Title

---

Title of witness

---

Date: \_\_\_\_\_

---

Signature

---

Signature of witness

---

Name of authorized WorkSafeBC signatory  
(Purchasing Department)

---

Name of witness

---

Title

---

Title of witness

---

Date: \_\_\_\_\_

**Signed for and on behalf of Contractor by**

---

Signature

---

Signature of witness

---

Name of authorized Contractor signatory

---

Name of witness

---

Title

---

Title of witness

---

Date: \_\_\_\_\_

## COMPONENT SERVICES SCHEDULE “A”

### 1. INTRODUCTION

- a) This Component Services Schedule forms part of the Agreement between the Workers’ Compensation Board of British Columbia (hereinafter “WorkSafeBC”) and \_\_\_\_\_ (hereinafter “Contractor”), dated for reference the day of \_\_\_\_\_, \_\_\_\_\_ (the “Agreement”).
- b) This Component Services Schedule applies only to those Services described herein.

### 2. SERVICES

The Parties have agreed as follows:

WorkSafeBC agrees to contribute funding for the delivery of the following activities (the “Services”):

- a) **(Include separate paragraphs for outcomes and for reporting requirements.)**

### 3. FUNDING

- a) WorkSafeBC will provide funding to Contractor for this Project in an amount not exceeding \$\_\_\_\_\_, according to the terms set out in this Component Services Schedule.
- b) Upon execution of this agreement, funding will be provided on receipt of invoices in installments as follows:
  - i) \$\_\_\_\_\_ payable upon the completion of a Project plan and budget and baseline data evaluation plan for the Project in a manner acceptable to WorkSafeBC,
  - ii) \$\_\_\_\_\_ six months after the first installment and on receipt of the second quarterly status report, and
  - iii) up to \$\_\_\_\_\_ at completion of the final report referred to in paragraph 1(i) in a manner acceptable to WorkSafeBC and in accordance with the Project budget and actual costs incurred on the Project.
- c) Project cost will be limited to the amount and type detailed in the Project Budget that WorkSafeBC has approved. Notwithstanding this statement, the allowable travel expenses of Contractor must not exceed the amounts outlined in WorkSafeBC Employees Travel Expense Policy unless pre-approved by WorkSafeBC.

#### **4. REPORTING**

- a) Copies of any contracts awarded by Contractor for completion of the Project.
- b) A written quarterly status report indicating progress against the work plan and budget and summarizing results achieved to date.
- c) An annual report for the year \_\_\_\_\_ activities that includes an evaluation of year \_\_\_\_\_ success in achieving intended outcomes and recommendations as appropriate.

# Appendix E: Sample Certificate of Recognition

## Certificate of Recognition

This certificate is awarded to

In recognition of your company's commitment to  
raising the standard of worker health and safety in  
the Province of British Columbia

Diana Miles, Vice President, Worker and Employer Services WorkSafeBC	
COR Certificate Number:	WorkSafeBC Account No:      Classification Unit:
WorkSafeBC Legal Name:	Certified as a Large / Small Employer:
	Expiry Date:



**WORK SAFE BC**

WORKING TO MAKE A DIFFERENCE

Appendices

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## Appendix F: Auditor and Audit Process Quality Assurance

The WorkSafeBC Board of Directors endorsed the following framework for quality assurance related to auditor training and the audit process.

Activity	Quality assurance
Auditor training	<ul style="list-style-type: none"> <li>• Auditor selection – pre-qualifications to enter auditor training (OH&amp;S and industry knowledge)</li> <li>• Auditor DACUM – must establish learning objectives and outcomes</li> <li>• Auditor training verification (testing)</li> <li>• Auditor training sample audit – complete prior to being considered a qualified auditor – reviewed by qualified person</li> <li>• WorkSafeBC conducts annual review of auditor training programs</li> <li>• Auditor retraining every 3 years</li> </ul>
Qualified auditor	<ul style="list-style-type: none"> <li>• Meet the above auditor training requirements</li> <li>• Code of Ethics</li> <li>• Conflict of interest policy</li> <li>• Failure to comply with Code of Ethics - consequence process progressing to de-certification</li> <li>• Work toward auditor certification</li> <li>• Work toward auditor professional association</li> </ul>
Audit completed and submitted to Certifying Partner to qualify employer for COR	<ul style="list-style-type: none"> <li>• 100% of audit documents reviewed – coordinated by Certifying Partner – review performed by qualified auditor</li> <li>• Random review of 10% of external auditors (partial or verification audit of employer to confirm quality and skill of auditor)</li> <li>• Results of auditor and audit QA shared with auditor and employer               <ul style="list-style-type: none"> <li>- Used for continuous improvement of auditing skills</li> <li>- Used to detect below-standard auditing</li> <li>- Consequence process for sub-standard auditing progressing to de-certification of auditor</li> </ul> </li> <li>• CP tracks audit activities and scores of auditors</li> <li>• Employer OH&amp;S program gaps must be identified within the audit and the employer is notified of gaps through the audit process. Employer expected to implement corrective actions</li> </ul>

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*Appendix F (continued)*

<p>Certifying Partner determines that employer meets COR program requirements and forwards to WorkSafeBC for rebate consideration</p>	<ul style="list-style-type: none"><li>• WorkSafeBC applies “in good standing” rules to COR qualified employers</li><li>• Notify CP/employer of WorkSafeBC concerns related to issuing rebate and/or COR</li><li>• WorkSafeBC annual audits of the certifying partner, including random review of submitted audits and audit/ auditor QA documents</li></ul>
<p>Complaint and issue management</p>	<ul style="list-style-type: none"><li>• WorkSafeBC process to manage officer complaints, repeat &amp;/or frequent orders, fatal and serious injuries, penalties and other issues related to OH&amp;S and the COR program – result in review of employer program and auditor activities progressing to verification audit and de-certification – done in partnership with CP</li><li>• Certifying partner and WorkSafeBC process to manage complaints from public, employers and auditors about the program or certified employers – result in review of employer program and auditor activities progressing to verification audit and de-certification – done in partnership with CP</li></ul>

## Appendix G: Example Rebate Calculation

10% rebate

Rebate	Rebate Percentage
Health & Safety Management COR	10%

Employer 'X' - CU 704002 Oil or Gas Drilling

2005 Assessable Payroll – \$5,993,741

2005 CU Base Rate – \$3.25 / \$100 of Assessable Payroll

Calculation: (10% x CU Base Rate) x Assessable Payroll

$$\left(10\% \times \frac{\$3.25}{\$100}\right) \times \$5,993,741$$

10% calculated rebate = \$19,479.66

# Appendix H: Large Employer Occupational Health and Safety Audit Standard

## Methodology of Audit:

Every audit must be based on evidence that is collected using, at a minimum, the following methods:

- documentation review to determine extent of the written program development
- interviews or questionnaires to determine
  - if the program has been communicated to employees
  - information not learned through document review.
- workplace observational tour to determine
  - program implementation
  - information that cannot be learned through document review and conducting interviews/questionnaires
- minimum 10 percent of possible points required of total score for each technique by itself or in required combination (“and” questions).
- maximum 50 percent of possible points of total score for each technique by itself or as an option (“or” questions).

## Content and Scoring of Audit:

### Management Leadership and Commitment

Score: 10 to 15 percent of total audit score

Verification Method: Documentation, Interviews, Observation

An effective occupational health and safety program must demonstrate management leadership and commitment to the program and a willingness to improve the workplace safety culture. The audit will measure the level of leadership and commitment toward health and safety within the organization by assessing the following items:

- a current written health and safety policy that clearly states the employer’s aims, and responsibilities of the employer, managers, supervisors and workers and awareness of these individual responsibilities at all levels of the organization.
- a system for accountability of health and safety roles and responsibilities at all levels of the company.
- levels of senior and middle management and worker involvement in the program.

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## Appendix H (continued)

- levels of knowledge and awareness of applicable legislation.
- allocation of sufficient resources for health and safety.
- level of commitment from the senior management (CEO or most senior management in B.C.) toward improving the workplace safety culture.

### Safe Work Procedures and Written Instructions

Score: 10 to 15 percent of total audit score

Verification Method: Documentation, Interviews

An effective health and safety program needs to ensure that systems are in place for the workers' safe performance of their duties. Safe work procedures and practices must be developed and available to workers as required by the Occupational Health and Safety Regulation. Appropriate written instructions must also be developed to supplement the Occupational Health and Safety Regulation. Measurement of these items in the audit will include written safe work procedures, practices and/or instructions to supplement the requirements of the Occupational Health and Safety Regulation including

- instructions that assign responsibility for a Workplace Hazardous Materials Information System (WHMIS), in accordance with the Occupational Health and Safety Regulation.
- instructions that direct the first aid services, supplies and equipment to be provided and that state the procedure for rendering and reporting of first aid services.
- procedures addressing possible emergencies, training of workers to the procedures, a means to test the effectiveness of the procedures and evaluating and revising the procedures to correct identified deficiencies.

## Training and Instruction of Workers

Score: 10 to 15 percent of total audit score

Verification Method: Documentation, Interviews

All workers need to know how to perform their jobs safely and to understand their role in maintaining a healthy and safe workplace. Employers must ensure that workers are trained, qualified and competent to perform their tasks.

Adequate instruction and supervision must also be provided to workers in the safe performance of their work. The audit will measure the following:

- a system to ensure job specific instructions and training (including job specific hazards and work procedures and practices) have been given to workers, is current, enforced and followed.
- a system to assess and ensure that all employees are qualified and competently performing their duties in a safe manner.
- new employee, visitor and contractor orientation covering critical issues (emergency procedures, hazard reporting) and health and safety policies and procedures delivered in a timely manner.

## Hazard Identification and Control

Score: 10 to 15 percent of total audit score

Verification Method: Documentation, Interviews and Observation

A process to identify and control workplace hazards is critical in order to eliminate, minimize or prevent unsafe or harmful conditions and work procedures. All work, equipment, tools, machinery, work practices and conditions need to be included in the hazard recognition process. The audit will measure the following:

- a process to analyze jobs, equipment and conditions for hazards according to risk and to review the hazards when changes are made.
- a system to control the workplace hazards by
  - engineering controls (preventive maintenance programs, proper use of controls by workers and management enforcement of their use and availability of standardized engineering controls).
  - administrative controls (including workers following written safe work procedures, rules and practices for hazardous jobs and management enforcement of the use).
  - personal protective equipment controls (including availability, training and maintenance of PPE, worker use of PPE and enforcement of the use of PPE).

## **Inspection of Premises, Equipment, Workplaces and Work Practices**

Score: 10 to 15 percent of total audit score

Verification Method: Documentation, Interviews and Observation

Regular inspection of the premises, equipment, work methods and work practices must be included in an effective health and safety program. The audit must ensure for the provision of formal inspection activities by measuring the following:

- specific written instruction that states the intent of inspections, who is to inspect (including worker representative(s) from the health and safety committee), what is to be inspected, and inspection frequency
- regular inspections are carried out as outlined in the written instructions by designated personnel
- a system to ensure that unsafe or harmful conditions and work procedures are identified, reported, corrected, and followed up without delay
- adequate training is provided for personnel responsible for inspection.

## **Investigation of Accidents**

Score: 10 to 15 percent of total audit score

Verification Method: Documentation, Interview and Observation

The need for prompt investigation of accidents, including instructions on what to report to WorkSafeBC, is required in accordance with the Occupational Health and Safety Regulation. The investigation process reveals information necessary to prevent recurrence. The audit will measure the following:

- a procedure for the immediate investigating and reporting of incidents that identifies what to report to WorkSafeBC, which incidents to investigate, the intent of the investigation and the content, distribution and follow-up of reports
- a process to identify and record the action(s) necessary to prevent recurrence and to implement and follow-up on those actions
- designated investigating personnel are adequately trained and knowledgeable of the type of work involved.

## **Program Administration**

Score: 5 to 10 percent of total audit score

Verification Method: Documentation, Interviews

The maintenance of health and safety records is necessary in order to determine the effectiveness of a health and safety program. Reports of inspections and incident investigations are required in order to determine frequency, severity and incident trends. Effective communication of the program is necessary in order to promote a good safety culture. The audit will measure the following:

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

## **Joint Health and Safety Committee**

Score: 5 to 10 percent of total audit score

Verification Method: Documentation, Interviews

A joint health and safety committee (JHSC) or health and safety representative is required at every workplace and is an integral part of an effective occupational health and safety program. The audit will measure the following:

- a functioning JHSC that includes instruction that sets out the committee involvement, membership, function, and duties
- committee members' active involvement in health and safety activities
- a process that ensures committee minutes are maintained and communicated and recommended actions to the employer are followed up.

**Sample Audit Scoring:**

<b>Audit Element</b>	<b>Sample Weighting (percent of total)</b>	<b>Sample Scoring (total 1000)</b>
Management Leadership and Commitment	15 percent	_____/150 (min. score of 75)
Safe Work Procedures and Written Instructions	15 percent	_____/150 (min. score of 75)
Training and Instruction of Workers	15 percent	_____/150 (min. score of 75)
Hazard Identification and Control	15 percent	_____/150 (min. score of 75)
Inspection of Premises, Equipment, Workplaces and Work Practices	15 percent	_____/150 (min. score of 75)
Accident Investigations	10 percent	_____/100 (min. score of 50)
Program Administration	5 percent	_____/50 (min. score of 25)
Joint Health and Safety Committees	10 percent	_____/100 (min. score of 50)
<b>TOTAL SCORE</b>	<b>100 percent</b>	_____/1000 (min. score is 800)

# Appendix I: Small Employer Occupational Health and Safety Audit Standard

## Methodology of Audit:

Every audit must be based on evidence that is collected using the following methods:

- Documentation review to determine extent of the written program development.
- Interviews or questionnaires to determine:
  - If the program has been communicated to employees and
  - Information not learned through document review.

## Content and Scoring of Audit:

### Management (Owner) Commitment

Score: 10 to 15% of total audit score

An effective occupational health and safety program must demonstrate management leadership and commitment to the program and a willingness to improve the workplace safety culture. The audit will measure the level of leadership and commitment toward health and safety within the organization by assessing the following items:

- A current written health and safety policy that clearly states the employer's aims, and responsibilities of the employer, managers, supervisors and workers and awareness of these individual responsibilities at all levels of the organization.
- Levels of knowledge and awareness of applicable legislation.
- Level of commitment from the senior management (CEO or most senior management in B.C.) toward improving the workplace safety culture.

### **Policy and Procedures (Work, Emergency)**

Score: 10 to 15% of total audit score

An effective health and safety program needs to ensure that systems are in place for the workers' safe performance of their duties. This includes safe work procedures and practices as well as instruction for emergency situations. These policies and procedures must be developed and available to workers, as required by the Occupational Health and Safety Regulation. Appropriate written instructions must also be developed to supplement the Occupational Health and Safety Regulation. Measurement of these items in the audit will include written safe work/emergency procedures, practices and/or instructions to supplement the requirements of the Occupational Health and Safety Regulation including:

- Instructions that direct the first aid services, supplies and equipment to be provided and that state the procedure for rendering and reporting of first aid services.
- Levels of knowledge and awareness regarding policy and procedures for safe work and/or emergency.
- Procedures addressing possible emergencies, training of workers to the procedures, a means to test the effectiveness of the procedures and evaluating and revising the procedures to correct identified deficiencies.

### **Training, Education and Certification**

Score: 10 to 15% of total audit score

All workers need to know how to perform their jobs safely and to understand their role in maintaining a healthy and safe workplace. Employers must ensure that workers are trained, qualified and competent to perform their tasks. Adequate instruction and supervision must also be provided to workers in the safe performance of their work. The audit will measure the following:

- A system to ensure job specific instructions and training (including job specific hazards and work procedures and practices) have been given to workers, is current, enforced and followed.
- A system to assess and ensure that all employees are qualified and competently performing their duties in a safe manner.
- New employee, visitor and contractor orientation covering critical issues (emergency procedures, hazard reporting) and health and safety policies and procedures delivered in a timely manner.
- A system to ensure certification requirements are met for applicable jobs within operations.

### **Hazard or Risk Identification, Assessment, and Control**

Score: 10 to 15% of total audit score

A process to identify and control workplace hazards or risks is critical in order to eliminate, minimize or prevent unsafe or harmful conditions and work procedures. All work, equipment, tools, machinery, work practices and conditions need to be included in the hazard recognition process. The audit will measure the following:

- A process to analyze jobs, equipment and conditions for hazards (real or potential) according to risk and to review the hazards when changes are made.
- A system to control the workplace hazards or risks by:
  - Engineering controls (preventive maintenance programs, proper use of controls by workers and management enforcement of their use and availability of standardized engineering controls).
  - Administrative controls (including workers following written safe work procedures, rules and practices for hazardous jobs and management enforcement of the use).
  - Personal protective equipment controls (including availability, training and maintenance of PPE, worker use of PPE and enforcement of the use of PPE).

### **Inspections**

Score: 10 to 15% of total audit score

Regular inspection of the premises, equipment, work methods and work practices must be included in an effective health and safety program. The audit must ensure for the provision of formal inspection activities by measuring the following:

- Specific written instruction that states the intent of inspections, who is to inspect (including worker representative(s) from the health and safety committee), what is to be inspected, and inspection frequency.
- Regular inspections are carried out as outlined in the written instructions by designated personnel.
- A system to ensure that unsafe or harmful conditions and work procedures are identified, reported, corrected and followed-up without delay.
- Adequate training is provided for personnel responsible for inspection.

### **Incident or Accident Investigation**

Score: 10 to 15% of total audit score

The need for prompt investigation of incidents or accidents, including instructions on what to report to WorkSafeBC, is required in accordance with the Occupational Health and Safety Regulation. The investigation process reveals information necessary to prevent recurrence. The audit will measure the following:

- A procedure for the immediate investigating and reporting of incidents or accidents that identifies what to report to WorkSafeBC, which events to investigate, the intent of the investigation and the content, distribution and follow-up of reports.
- A process to identify and record the action(s) necessary to prevent recurrence and to implement and follow-up on those actions.
- Designated investigating personnel are adequately trained and knowledgeable of the type of work involved.

### **Program Administration**

Score: 10 to 15% of total audit score

The maintenance of health and safety records is necessary in order to determine the effectiveness of a health and safety program. Reports of inspections and incident investigations are required in order to determine frequency, severity and incident trends. Effective communication of the program is necessary in order to promote a good safety culture. The audit will measure the following:

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

**Action Plan**

Score: 5 to 10% of total audit score

All audits will have some element(s) which can be improved. The employer is expected to develop and implement an action plan to address the deficiencies as identified by the audit process. The process of developing and acting on a plan to improve the management system each time an audit is performed is referred to as continuous improvement. The audit will measure the following:

- An 'Action Plan' has been developed to address items answered 'No' in previous audits.
- Action Plan contains clear timelines for completion and personnel accountabilities to address goals.

For certification audits, there will have been no Action Plan in place.

**Contract Systems**

Score: 5 to 10% of total audit score

An employer may be involved with work projects in differing roles, either as a hiring contractor or a hired contractor. Project work may be in a location other than the employer's regular place of business. Either role requires an integration of health and safety management systems with other employers to ensure worksite safety. The audit will measure the following:

- A plan or system, developed in conjunction with other employers, is in place to ensure worksite health and safety. The prime contractor is responsible for leading the plan development.
- Records of regular worksite health and safety meetings with other employers.
- Employees at worksites are aware of site-specific hazards and control measures.

# Appendix J: Injury Management / Return-to-Work Audit Standard

## Methodology of the Audit

Every audit must be based on evidence that is collected using, at minimum, the following methods:

- Documentation review to determine the extent of the written program development.
- Interviews or questionnaires to determine:
  - If the program has been communicated to employees, and
  - Information not learned through document review.
- Observation to determine:
  - Program implementation.
  - Information that cannot be learned through document review or through interviews or questionnaires.

## Content and Scoring of Audit:

### **Injury Management/Return-to-Work Policy, Management and Leadership**

Score: 20-25% of audit element score

Verification Method: Documentation, Interview, Observation

An effective injury management/return-to-work program must demonstrate management leadership and commitment to the program. Further, measurement of Injury Management/RTW performance is required to determine the effectiveness of the program. It provides insight into areas that are strengths as well as areas for improvement. The Injury Management/RTW audit element will measure the level of leadership and commitment toward injury management/return-to-work services within the organization by assessing the following items:

- A written corporate statement or letter of intent outlining the company's value of, goals for, and commitment to the Injury Management/RTW program.
- A written Injury Management/RTW program.
- A system to track outcomes of the Injury Management/RTW Program and a process to address opportunities for improvement of the Injury Management/RTW program.
- Resources have been provided to support the Injury Management/RTW process.

### **Resources, Education and Training**

Score: 15-20% of audit element score

Verification Method: Documentation, Interview

There should be an individual(s) assigned the duties to coordinate and have responsibility for the Injury Management/RTW program. The person(s) must have an understanding of Injury Management/RTW principles and practices. This will include an understanding of relevant legislation. The audit will measure the following:

- Specific responsibilities and authority have been assigned for coordination of the program.
- Adequate training is provided for persons responsible for the Injury Management/RTW process.
- Adequate training has been provided to groups involved in the Injury Management/RTW process.

### **Stay at Work and Return to Work Program**

Score: 35-45% of audit element score

Verification Method: Documentation, Observation, Interview

An effective Injury Management/RTW Program requires that systems are in place to evaluate injuries to determine the appropriate course of action when the injury is first reported to the employer. If there is an absence due to injury, reintegration into the workplace requires that a RTW framework be established prior to any injury occurring. Roles and responsibilities should be outlined and the possible work accommodations should be identified. RTW planning should be based on the workers physical abilities and skills. The audit will measure the following:

- A process to identify alternate duties.
- Procedure that includes modified duties and/or transitional return-to-work opportunities for injured workers before there is time loss.
- Procedure outlining the steps and responsibilities to reintegrate a worker back into the workplace following an injury.
- Policies and/or procedures of various departments that support an effective Injury Management/RTW program.

### **Communication**

Score: 20-25% of audit element score

Verification Method: Documentation, Observation, Interview

Communication is an integral part of any Injury Management/RTW Program. Workers and supervisors should be made aware of the program and of its benefits. In addition, all supervisors and workers need to understand the processes involved. Employers must ensure workers are educated in the usage of an early intervention process, as well as, if time away from work is required, the assistance of the return-to-work program provided in reintegrating an injured worker back into the workplace.

The audit will measure the following:

- A process to ensure all managers, supervisors and workers are advised of the Injury Management/RTW Program and its benefits.
- A system to ensure instructions surrounding the use of the Injury Management/RTW services has been communicated to workers.
- A process to advise medical practitioners of the employer's Injury Management/RTW initiatives.

# Appendix K: Draft DACUM for External Auditor

## SAFE Companies DACUM Occupational Profile for a Forestry Industry Safety Auditor

### Safety Auditor DACUM Outline

<b>A Define Audit Scope</b>	
A-1	Determine client profile (business nature and cycles)
A-2	Compile client information (WCB industry code, account no.)
A-3	Determine client organizational structure (people, locations)
A-4	Determine documentation, audit interview, and worksite sampling strategy and size.
A-5	Determine applicable legislation (OHS, fire, etc)
A-6	Determine appropriate audit protocol
A-7	Establish general audit DOI parameters
A-8	Identify company audit history.
A-9	Determine client's audit expectations and needs.
A-10	Prepare and submit audit services proposal to client.
A-11	Present credentials.

<b>B Organize Audit Activities</b>	
B-1	Send pre-audit confirmation letter to client.
B-2	Identify specific documentation and records required to be available for audit.
B-3	Conduct pre-audit meeting with client.
B-4	Assign audit responsibilities.
B-5	Identify PPE requirements for audit.
B-6	Determine visitor protocol and orientation requirements.
B-7	Schedule audit activities.
B-8	Conduct cursory familiarization tour.
B-9	Schedule post-audit activities.

<b>C Review Audit Documentation</b>	
C-1	Collect client safety program documentation and records.
C-2	Review documentation and records.
C-3	Record documentation and records findings.
C-4	Review findings and recommendations of previous audits.
C-5	Validate audit documentation and records findings.
C-6	Identify specific interview and observation requirements from documentation findings.
C-7	Evaluate/re-evaluate impact of findings on other audit DOI activities (continuous evaluation process).

---

### **D Conduct Interview Process**

- |   |
|---|
| D-1 Determine formal interview questions according to audit protocol and position (management, supervisor, worker, and contractor). |
| D-2 Establish formal interview plan.  |
| D-3 Conduct formal interviews.  |
| D-4 Record interview findings.  |
| D-5 Evaluate/re-evaluate impact of findings on other audit DOI activities (continuous evaluation process).                          |

### **E Conduct Worksite Observations**

- |  |
|--|
| E-1 Comply with client's on-site requirements (orientation, access restrictions) |
| E-2 Comply with client's PPE requirements.                                       |
| E-3 Identify workplace hazards.  |
| E-4 Intervene in imminent danger situations.                                     |
| E-5 Evaluate client's corporate and industry regulatory compliance.              |
| E-6 Record workplace observations.   |
| E-7 Evaluate/re-evaluate impact on findings on other audit DOI.                  |
| E-8 Conduct informal interviews.   |

### **F Process Audit Data**

- |  |
|--|
| F-1 Consolidate audit data (DOI).                                  |
| F-2 Evaluate audit data against audit protocol and guidelines.     |
| F-3 Verify audit data (DOI).                                       |
| F-4 Determine and justify audit scores (additions and deductions). |
| F-5 Analyze audit data (DOI).                                      |
| F-6 Identify safety management system strengths.                   |
| F-7 Develop audit recommendations based on opportunities.          |

### **G Generate Audit Reports**

- |  |
|--|
| G-1 Complete detailed auditors report.   |
| G-2 Prepare audit scoring summary.       |
| G-3 Prepare auxiliary documents.         |
| G-4 Complete audit submission checklist. |

<b>H Present Audit Findings</b>
H-1 Conduct post-audit debriefing with client.
H-2 Submit final audit report to certifying partner
<b>I Maintain Professional Competence</b>
I-1 Maintain auditor certification.
I-2 Attend relevant safety courses.
I-3 Attend relevant management courses.
I-4 Attend safety seminars and conferences.
I-5 Keep current with relevant legislation, audit protocols and auditing performance standards.
I-6 Keep current with industry best practices and initiatives
I-7 Participate in safety association activities.
<b>J Manage Audit</b>
J-1 Maintain liability and vehicle insurance.
J-2 Initiate, or respond to, client contacts.
J-3 Educate clients on audit protocol, process, benefits and PIR.
J-4 Advise certifying partner of audit initiation
J-5 Submit audit invoice to client.
J-6 Follow audit protocol and standards
J-7 Comply with auditor Code of Ethics.
J-8 Demonstrate safe behaviour (walk the talk, stop audit).
J-9 Network with other stakeholders (industry, peers, gov't).

